

**Appointment and Re-Appointment
Retention, Promotion, Tenure,
Range Elevation,
Post-Tenure**

**Procedures and Criteria
Architectural Engineering Department
College of Architecture and Environmental Design**

Revision Dates:

July 18, 2002
Oct. 16, 2002
Nov. 1, 2002
Nov. 30, 2002
September 22, 2003

Approved by:

Tenured Faculty

Date

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Approved BY:

Chair of the Committee

Date

Employment Equity Facilitator

Date

Department Head

Date

Dean

Date

Provost

Date

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Introduction

1. Purpose:

This document prescribes the Architectural Engineering Department's policies, evaluative criteria, and procedures for academic personnel actions in 1) original appointments, 2) reappointments, 3), promotion, 4) tenure, and 5) post-tenure review.

Basic eligibility standards are presented for each academic rank. Appointment, Reappointment, Promotion and Tenure (ARPT) decisions are to be based on individual records of performance as demonstrated by the submittals to the Working Personal File, the Personnel Action File, fulfillment of Professional Development Plan objectives, as well as classroom visitations, and external reviews. In addition to the performance record, each candidate will be viewed with regard to his/her leadership and contributions in achieving the departmental mission and programmatic objectives.

2. Mission Statement:

The Architectural Engineering Department is an important and integral part of the College of Architecture and Environmental Design. The department shares and supports the mission of the College. The department has the specific mission of educating students to join the structural engineering profession. This commitment to the structural engineering profession includes the interdisciplinary concerns of the design, planning and construction professions. Additionally, graduates are prepared to pursue graduate studies in related academic programs.

3. Goals and Objectives of the Department:

The goals of the department are to provide an educational opportunity that provides students with the ability to apply knowledge of mathematics; science and engineering; design and conduct experiments, as well as to analyze and interpret data; design a system, component, or process to meet desired needs; function on multi-disciplinary teams; identify, formulate and solve engineering problems; communicate effectively; understand the impact of engineering solutions in a global and societal context; recognize the need for, and an ability to engage in life-long learning; understand contemporary issues; and use the techniques, skills and modern engineering tools necessary for engineering practice.

The department's learn-by doing philosophy is part of a pedagogy that emphasizes design-centered laboratories, integrating theory and design, culminating in a senior project capstone design experience.

A primary goal of the architectural engineering department is to create a cohesive program consistent with the ABET accreditation objectives and to dedicate itself to the teaching mission of the department. To accomplish this, a well balanced

and qualified faculty is essential. This faculty should have a balance between the theoretical and the practical in order to provide the breadth of education appropriate to the department's mission. It follows that each faculty member should have an in-depth knowledge of the subject area for which the faculty member is teaching, an understanding of the curricular areas outside of the faculty member's prime teaching area, the ability to communicate this knowledge to the students, and an educational and professional attitude consistent with the goals and objectives of the program.

The common characteristics of all faculty should be their cooperative spirit, their dedication to teaching and their willingness to share their knowledge with students and peers. Additionally all faculty should share the vision of interdisciplinary education which integrates the interests of all of the college departments into cohesive project development decisions.

4. CAM and MOU Precedent Statement:

The role and scope of responsibility for the candidate, tenured faculty, peer review committee(s), and Department Head are incorporated herein to offer clarification of the process and respective responsibilities of the participants in the appointment and review processes. If conflict arises between this document and the MOU or CAM, then the MOU or CAM shall prevail, with the MOU superceding.

5. Definitions

5.1 Performance Reviews:

A Performance Review shall normally be required for retention of: probationary faculty unit employees after their first year of tenure-track employment; award of tenure; and promotion

5.2 Periodic Evaluations:

A periodic evaluation of a faculty unit employee shall normally be required for: evaluation of temporary faculty unit employees; probationary faculty unit employees who are not subject to a Performance Review (1st academic year evaluation); and tenured faculty unit employees who are not subject to a Performance Review (post-tenure reviews).

5.3 Personnel Files Defined:

The Personnel Files references in this document include the following:

Applicant Working File (AWF) - established by each applicant for a faculty position. It contains the original faculty application and supporting materials submitted by an applicant when applying for a position. Selected materials from

the Applicant Working File become part of the Personnel Action File if the applicant receives an appointment by the Department. If no appointment is made, materials are retained by the department for a period of three years during which period applicants not hired may request that their materials be returned, or may use them for a subsequent recruitment within the department.

Working Personnel Action File (WPAF) - established for faculty undergoing a formal review for Retention, Promotion, Tenure (RPT) or for Periodic Evaluation including Post-Tenure review. It contains an updated resume/vitae, an Index of Materials submitted, all other material submitted by the candidate and the comments submitted by each level or review during any phase of faculty evaluation. The updated resume/vitae and the Index, along with the evaluations and professional development plans, are copied to the Personnel Action File after completion of the review process. The WPAF is returned to the review candidate.

Personnel Action File (PAF) - the official, permanent campus personnel file. It contains such items as application and resume/vitae, letters of offer, student evaluation of faculty, and previous faculty evaluations for faculty members who have been appointed within the College. The Personnel Action File is maintained by the Dean.

Part I. Procedures and Process

1. General

1.1 Personnel Files:

Security of Personnel Files - During the period of review for appointment, retention, promotion, or tenure, the candidate's Applicant Working file or Working Personnel Action File shall reside in the Architectural Engineering Department in the custody of the Department Head. The Department Head shall assure the integrity and security of the files while in his/her custody and shall facilitate access to the personnel files by the faculty body participating in the review of the files.

1.1.1 Dissemination:

This document and its appendices shall be distributed to the faculty unit employee at the time of employment. Available for online viewing are the Campus Administrative Policies Manual (www.policy.calpoly.edu), Faculty Personnel Handbook (www.academic-personnel.calpoly.edu) and Memorandum of Understanding (http://www.calstate.edu/LaborRel/Contracts_HTML/CFA_CONTRACT/CFAtoc.shtml).

1.2 Departmental Employment Equity Facilitator:

The department is responsible for providing equal employment opportunities to all applicants. The Department Head appoints an Employment Equity Facilitator (EEF) for each job search/selection committee. The role of the EEF is to ensure that the selection process is a careful, thorough, and systematic consideration of the job qualifications of each applicant, and the selection is based on valid job-related criteria. The EEF will, among other things: assist in the development of the job announcement; suggest recruitment strategies; brief the committee on Employment Equity Guidelines, and participate in search committee meetings.

2. Procedures and Process for Appointments

2.1 Recruitment and Appointment Committees:

The department elects a Recruitment and Appointment Committee at the beginning of each academic year for the purpose of reviewing and recommending with the Department Head the anticipated recruitment needs, review of applicant pools, and assisting the Department Head in developing faculty position advertisements. The committee reviews and ranks all applicants according to departmental needs and recommends to

the Department Head in matters of recruitment to meet department needs. This committee is comprised of tenured faculty. The Recruitment and Appointment Committee may include elected probationary tenure-track faculty when recommended by the Department and with the consent of the College Dean.

The Recruitment and Appointment Committee shall be elected of tenured faculty by the probationary and tenured faculty of the department. At the discretion of the president and upon request of the department the Recruitment and Appointment Committee may also include probationary faculty (MOU 12.22a).

2.2 Initial Appointments for probationary, tenured, full-time and part-time pools:

The procedure for appointment of probationary faculty as well as temporary faculty shall be consistent with Article 12 "Appointment" of the M.O.U.

2.2.1 Advertising and Recruitment:

Advertising and recruitment shall be done by the Department Head with the consultation of the Recruitment and Appointment Committee following established Cal Poly procedure and with the approval of the Dean. Announcements shall appear in the local daily newspapers and any appropriate professional periodical the Department Head deems useful to disseminate the announcement.

2.2.2 Faculty Review of Applicants:

For probationary and full-time lecturers, the Recruitment and Appointment Committee chairperson shall establish a time for the full committee to review applicants that is no later than 10 working days after the position closes. This day and time shall be disseminated to the Recruitment and Appointment committee members at least one week prior to meeting.

If a previously employed lecturer of the Department applies for a tenure track position or the part-time pool, then his/her previous periodic evaluations located in the official Personnel Action File shall be carefully reviewed (in addition to the applications materials submitted) by each member of Recruitment and Appointment Committee and the Department Head.

For part-time lecturer pools, the Recruitment and Appointment committee shall review the applicant files no later than 10 working days after the pool closes. The part-time review shall consist of

the reviewers providing the Department Head with a signed list of candidates deemed qualified.

The Recruitment and Appointment Committee recommendations to the Department Head may take the form appropriate to each recruitment but must always inform the Department Head of the Committee vote for each applicant.

The Recruitment and Appointment Committee shall consider all appropriate factors in forming their recommendations including the checking of references which support the candidate's application.

When an on-campus visit is recommended by the Committee, these campus visits are the responsibility of the Recruitment and Appointment Committee. The visits for tenure track positions shall at a minimum include a formal teaching presentation to students and faculty. The presentation should specifically reflect the applicant's teaching ability to teach material typical to the Architectural Engineering Department curriculum.

Campus visits shall also include opportunity for input to the Committee from students and all full-time faculty, meetings with other Department Heads as well as the College Dean and a separate meeting with the Department Head.

2.2.3 Appointment Procedures:

For candidates for probationary, tenure track and full-time lecturers, the Recruitment and Appointment committee chairperson shall establish a procedure to collect input from non-tenured faculty and students. After input is taken, a meeting shall be held with the committee to formulate a ranked list of acceptable candidates to be forwarded to the Department Head. The Department Head, in consultation with the Committee, determines the appropriate offers for employment to be considered and consults with the Dean prior to extending potential offers to candidates. The Department Head acts as the representative of the Dean for preliminary discussions with the candidate, but no offer should be considered official until the applicant receives a signed contract from the dean. All tenure track offers require the approval of the Provost. Should the candidate chosen not accept the offer, the Department Head shall consult with the Recruitment and Appointment Committee regarding the remaining pool, and if the search should be re-advertised.

Upon successful completion of the recruitment the Appointment Committee notifies all candidates of their status and the status of the recruitment.

For candidates for part-time lecturers, the Recruitment and Appointment committee chairperson shall formulate a ranked list of acceptable candidates to be forwarded to the Department Head. The Department Head, in consultation with the Committee, determines a final ranked list, the appropriate offers for employment to be considered, and consults with the Dean prior to extending potential offers to candidates. The Department Head acts as the representative of the Dean for preliminary discussions with the candidate, but no offer should be considered official until the applicant receives a signed contract from the dean. Should the candidate chosen not accept the offer, the Department Head shall proceed to extend offers following the ranked list, or consult with the Recruitment and Appointment Committee as to whether the search should be re-advertised.

Upon successful completion of the recruitment the Appointment Committee notifies all candidates of their status and the status of the recruitment.

2.3 Faculty Transfers from within the university:

Should a tenured or probationary faculty member from another campus department wish to seek transfer to the Architectural Engineering Department, the candidate shall go through a comparable application and review process as that of a recruitment for a probationary position. The Recruitment and Appointment Committee comments and recommendations shall be considered by the Department Head, who shall make a recommendation to the Dean for or against approval of the transfer. The Department Head shall report the recommendation to the Recruitment and Appointment Committee.

2.4 Reappointment of Lecturers:

Reappointment(s) is not a guarantee of subsequent reappointment. Previous periodic evaluations located in the official Personnel Action File are required to be carefully reviewed by the Committee and the Department Head along with any application materials. The signature logs in the PAF must be signed before a recommendation is made.

The Recruitment and Appointment Committee provides a recommendation to the Department Head. The Department Head shall make a separate recommendation to the Dean, who is the appointing authority.

2.5 Emergency Appointments:

Should it be necessary to make an Emergency Appointment, the Department Head shall conduct a search for a qualified candidate through professional contacts and phone networking. The results of this search shall be shared with the Recruitment and Appointment Committee Chairperson regarding qualified candidates. Upon consultation with the Recruitment and Appointment Committee Chairperson, the Department Head shall proceed to present the Dean with one or more eligible candidates for appointment. A statement of qualifications shall be written for each appointment, and three references obtained.

3. Procedures and Process for Evaluations and Reviews

Recommendations for personnel action will be made after review of the candidate's Working Personnel Action File and Personnel Action File. Such review is a professional responsibility of all evaluators. All evaluators are required to sign the file review log sheets in both files. It is the responsibility of the Peer Review Committee (PRC) to ensure that the evaluating faculty conducts the review. No recommendation shall be made prior to examining these files. Evaluations should contain factual and specific evidence in support of the recommendation.

3.1 Performance Reviews for Retention, Tenure and Promotion:

General - Peer Review Committees: The probationary and tenured faculty of the department shall elect a Peer Review Committee (PRC) of tenured full-time faculty for the purpose of reviewing and recommending faculty who are being considered for retention, tenure, and promotion. The PRC elects, by simple majority, a chairperson for the year. When there are insufficient eligible members to serve on the PRC, the department shall elect members from related academic disciplines.

3.1.1 Faculty Submittals:

It is the responsibility of the candidates to present evidence of their qualifications for retention, promotion and tenure.

Candidates shall include the following applicable materials in their Working Personnel Action File. (Materials already contained in the candidate's Personnel Action File need not be duplicated for the Working Personnel Action File):

Index of Materials submitted:

- Current curriculum vitae (required): up to month of submittal (see Appendix 1)
- Current professional development plan: all full-time faculty members are required to develop a Professional Development Plan (PDP). The PDP will follow the department Professional Development Plan Guidelines. As a minimum the plan shall state how the faculty member intends to provide substantive contributions to his/her discipline and how these contributions are useful in keeping his/her teaching current and relevant to the field. For probationary candidates specific milestones shall be established related to teaching, professional development and service with an emphasis on the time consideration for tenure and promotion. (see Appendix 2 for PDP guidelines)
- Copies of all recent publications submitted or published (not in progress)
- Curriculum development materials
- Copies of papers read at scholarly meetings or professional conferences that appear on the CV or for which the College or Department provided financial support.
- Course syllabi for the prior year
- Clear identification of the candidate's role in any group work submitted
- Statement of areas of improvement relative to recommendations of previous evaluation(s)
- Evidence of awards, honors, and recognitions (professional, academic, and service)
- Documentation of areas of meritorious service

3.1.2 Professional Development Plan:

At the time of annual evaluation each faculty member updates and submits their professional development plan (see Appendix 6) and Working Personnel Action File.

The Department Head and the Peer Review Committee members shall jointly review and approve the professional development plans annually.

3.1.3 Levels of Review:

Evaluations of an individual's teaching performance, professional development and achievement, and service, for reappointment and tenure will be made by the elected Peer Review Committee, for retention review.

If each member of the elected Peer Review Committee has prepared evaluations separately, each shall complete and sign a memo to the Department Head summarizing the evaluations. The vote of the Peer Review Committee shall be recorded. Abstaining from a recommendation is to be resorted to only in unusual circumstances and will result in a recusal of the abstaining member from the total review process for that year; such circumstances shall be fully explained.

Department Peer Review Committee:

Shall include all elected full-time tenured faculty who are not on leave or on off-campus assignment during the review cycle or serving on the College Peer Review Committee. For promotion, Committee members must hold a higher academic rank than the candidate under consideration. Candidates being considered for promotion are not eligible to serve on promotion or tenure committees, but may serve on retention committees.

The Chair of the Peer Review Committee shall discuss the written recommendations with the candidate. The recommendation of the PRC should be consistent with the provisions of CAM 341.A.8 (as amended). The candidate will have a seven-day period for response or rebuttal, and/or to request a meeting before the recommendation is forwarded to the next level of review. Subsequently, the Chair of the Peer Review Committee shall forward the recommendation to the Department Head in accordance with the university RPT cycle time lines.

Department Head:

The Department Head shall receive the Working Personnel Action file which includes written reviews of the Peer Review Committee, and any written statement or rebuttal from the candidate. The Department Head may consult with the committee chairperson for clarification. The Department Head shall prepare an additional evaluation and recommendation to be forwarded to the candidate seven days before it is forwarded to the Dean. During this time, the candidate may request to meet with the Department Head, and/or provide a written statement or rebuttal.

College Peer Review Committee:

The department will elect one full-time full professor, to serve on the College Peer Review Committee for a period of two years at the beginning of each academic year that begins with an odd number. This committee serves as the college wide personnel review committee.

3.2 Evaluations for Probationary Faculty and Full/Part Time Lecturers

3.2.1 Faculty Submittals:

It is the responsibility of the lecturer to present evidence of their qualifications for range elevation.

Full-time candidates shall include the following applicable materials in their Working Personnel Action File. (Materials already contained in the candidate's Personnel Action File need not be duplicated for the Working Personnel Action File):

Index of Materials submitted:

- Current curriculum vitae (required): up to month of submittal (see Appendix 1)
- Current professional development plan: all full-time faculty members are required to develop a Professional Development Plan (PDP). The PDP will follow the department Professional Development Plan Guidelines. As a minimum the plan shall state how the faculty member intends to provide substantive contributions to his/her discipline and how these contributions are useful in keeping his/her teaching current and relevant to the field. For probationary candidates specific milestones shall be established related to teaching, professional development and service with an emphasis on the time consideration for tenure and promotion. (see Appendix 2 for PDP guidelines)
- Course syllabi for the prior year
- Statement of areas of improvement relative to recommendations of previous evaluations

3.2.2 Levels of Review:

First Year Probationary Faculty and Full-time Lecturers:

The Department Peer Review Committee:

The committee shall include all elected tenured faculty who are not on leave or on off-campus assignment during the

review cycle. The committee shall write a review using the WPAF and PAF Files. The candidate shall have seven (7) days to respond to the review. This review shall be forwarded to the Department Head in accordance with the University timeline.

The Department Head:

shall write a separate review (Form AP109) using the Peer Review Committee's assessment of the WPAF and PAF files. The candidate shall have seven (7) days to respond to the Department Head review. This review shall be forwarded to the College Dean.

Part-time Lecturers:

There is no formal peer review process for part-time lecturers; however the Department Head will solicit input from all tenured faculty as to the performance and quality of instruction provided by the faculty under review.

The Department Head shall conduct reviews of all part-time faculty appointed for the entire academic year, and for those with one or two quarter appointments as is deemed necessary. The Department Head shall write a review using the WPAF and PAF files. The candidate shall have seven (7) days to respond to the Department Head review. This review shall be forwarded to the College Dean.

3.3 Periodic Evaluations for Post-tenure

For the purpose of maintaining and improving a tenured faculty member's effectiveness, tenured faculty members shall be subject to periodic performance evaluations at intervals of no greater than five (5) years. Such periodic evaluations shall be conducted by the Peer Review Committee and the Department Head. Consideration shall include student evaluations of teaching performance.

A tenured faculty unit employee shall be provided a copy of the Peer Review Committee report of their periodic evaluation. The Peer Review Committee chair and the Department Head shall meet with the tenured faculty member and the Dean to discuss the strengths and weaknesses of the candidate along with suggestions, if any, for their improvement.

A copy of the Peer Review Committee's and the Department Head's reports shall be placed in the tenured faculty member's Personnel Action File.

3.4 Department Head Periodic Review Procedures:

The full-time faculty shall select the form of evaluation to be consistently used by the department for review of the Department Head - either short or long form (see Appendix 8). This review shall occur to coincide with the university review of department heads.

Each full-time faculty member (including lecturers) should evaluate the Department Head. Individual evaluations should be completed by each faculty member as distinguished from a composite evaluation by a departmental committee. Complete evaluations should be submitted to the Dean with a copy to the Department Head for his/her response. The Department Head shall submit responses, if any, to the Dean. After reviewing the forwarded documents, the Dean should schedule a time to further discuss the evaluation and any of his/her comments about the person being reviewed. The evaluations will be forwarded to the Provost in concert with the university department head review schedule.

Part II: Criteria

1. Criteria for Initial Appointment

1.1 Probationary Appointments:

To meet the objectives of a broad based program in both theory and practice it is acknowledged that there are two basic tracks for a faculty member:

- A. One track is the theoretical track. Characteristic of this track is an earned Doctorate degree in Structural Engineering or a closely related field, along with evidence of scholarly theoretical work related to building structures.
- B. A second track is based on a background in professional practice in the area of structural engineering or a closely related field. Characteristic of this track is an earned Masters degree in structural engineering, a structural engineering (SE) license and significant structural engineering experience (a minimum of 10 years).

Probationary appointments are normally at the Assistant Professor rank. Appointment at a higher level is considered when the candidate has substantial teaching and/or practice experience and meets all eligibility requirements of the academic rank under consideration. The tenured faculty are to act in a consultative role regarding such exceptions.

1.2 Full-Time Lecturers:

A Master's degree in structural engineering or a closely related field is the standard requirement for appointment as a full-time lecturer in the teaching of the structural systems and design subjects. However, a Bachelor of Science degree in structural engineering or a closely related field with extensive experience and professional licensure will also be given serious consideration. The tenured faculty are to act in a consultative role regarding such exceptions.

1.3 Part-Time Lecturers:

A Master's degree in structural engineering or a closely related field is preferred. However, a Bachelor of Science degree in structural engineering or a closely related field with extensive experience will also be given serious consideration. The tenured faculty are to act in a consultative role regarding such exceptions.

1.4 Emergency Hires:

Qualifications for emergency hires shall be determined on a “case-by-case” basis and shall at a minimum be either professional or academic experience in the specific courses that the individual is being hired for.

2. **Criteria for Retention / Reappointment, Promotion / Elevation, and Tenure:**

Effective teaching is the primary faculty mission of the Architectural Engineering Department. The minimum ARCE faculty requirement is to maintain currency in the topical content of all courses taught and to enhance teaching effectiveness.

Teaching effectiveness will be evaluated with reference to student and faculty evaluations of teaching performance over the prior period, with the achievements for the prior two-year period being the basis for PRC recommendations. Student evaluations will be conducted on all faculty as follows: (1) At least two classes per year for all full-time faculty; (2) all courses will be evaluated for part-time faculty.

Faculty evaluations and recommendations shall be based on individual records of achievement in a particular period of time. Such recommendations shall include consideration of the candidate's progress relative to previous evaluations and the candidate's value to the teaching program. Decisions will be based, in part, on professional judgment as to the quality of the candidate's work and experience in advancing the program mission of the Department.

Retention/Reappointment, Promotion/Elevation, and Tenure are not automatic. For consideration, in addition to those criteria established for initial appointment, the following sets the criteria for each level of appointment.

The ultimate purpose of evaluations and recommendations is to ensure the highest quality of professional education possible for future structural engineers from the teaching

programs of this Department. In all evaluations and recommendations, any evaluative statements should be accompanied by supporting evidence.

Retention/Reappointment, Promotion/Elevation, Tenure and Post-Tenure evaluation criteria fall within the areas of teaching, professional growth, and service established by the University. These categories and specifically as they are outlined in each individual faculty member's approved professional development plan constitute the general expectations for faculty performance at the college level. The ultimate purpose of this set of criteria is to ensure the highest quality of professional education possible for future structural engineers from the Architectural Engineering Department.

Refer to Appendix 2: Professional Development Guidelines for a list of appropriate activities for merit consideration under each category of criteria stated in the Faculty Evaluation Form (AP109) (refer to Appendix 5: AP 109 Form) that has been established by the University as the formal faculty evaluation tool. The Faculty Evaluation Form (AP 109) will become a part of the Personnel Action File. Should the AP 109 criteria be revised at a future date, Appendix 2: Professional Development Guidelines shall be updated to reflect those changes.

2.1 Probationary (Tenure Track) Faculty:

In addition to those Eligibility Criteria established for initial appointment to an academic rank position, the candidate must demonstrate continued growth and achievement in teaching, professional development and service as per the candidate's approved professional development plan (refer to Appendix 2: Professional Development Guidelines and Appendix 6: Annual Faculty Professional Development Plan).

2.2 Reappointment of Lecturers:

Reappointment is not automatic. Reappointment is substantiated by evidence of successful teaching effectiveness, active participation in departmental affairs, academic and professional achievement, professional development, and attention to suggestions for improvement noted in performance reviews. Student evaluations will be conducted on all faculty as follows: (1) At least two courses per year for all full-time faculty; (2) all courses will be evaluated for part-time faculty.

2.2.1 Full-time Lecturers:

In addition to those eligibility criteria established for initial appointment to a lecturer position, the candidate must demonstrate continued growth and achievement in teaching and professional development (see Appendix 2: Professional Development Guidelines).

2.2.2 Part-time Lecturers:

All years: Teaching ability, relevance and currency of course materials, and coordination of courses with ARCE curricula.

2.2.3 MOU Entitled Lecturers:

Lecturers with earned rights under the MOU shall be evaluated as set down in Part II, Section 2.2.1 (A-D) above.

2.3 Range Elevation of Lecturers:

Elevation is not automatic. It is awarded after review and currency with the CAED ARPT document.

2.4 Service Step Increase:

In any given year, a faculty member shall meet the minimum conditions for retention, promotion, and/or tenure as they apply to his/her individual situation. To be eligible for step increases based on service, the candidate must provide satisfactory evidence of academic, professional, research, and/or general activities and accomplishments during the previous year. Accomplishments should be of a quality and scope appropriate to academic rank. The awarding of service step increases is dependent upon the provisions of the MOU in force at the time.

2.5 Post-Tenure:

It is the responsibility of individuals to continue professional growth and to fulfill the responsibilities of a tenured faculty member.

Promotion to Professor rank is a special acknowledgment of exceptional career accomplishment, both as a dedicated academician and an outstanding professional.

Part III: Appendix

APPENDIX 1

FACULTY RESUME (REQUIRED UPDATE)

This worksheet is intended to assist you in preparing your resume. Included are many categories of professional activity which may be appropriate. It might be appropriate to index the entries on the resume to any supporting material which also appears in your file.

Please keep in mind that the supporting materials that you submit should be thorough but not extraneous. They should be concise and appropriate to the period in rank (promotion candidates), the period of your probationary tenure-track appointment at Cal Poly, and for post-tenure review. Please endeavor to keep these materials as brief and as organized as possible, while ensuring that your application is thoroughly documented.

Evaluation Categories

I. BACKGROUND

- Education (all earned degrees and dates issued)
- Certification or licensing (list only current licenses, with numbers)
- Academic experience
- Related professional experience

II. TEACHING RELATED ACTIVITIES – Cal Poly

- Courses and laboratories taught
- New course preparation
- Major revisions and innovations in existing courses
- Curriculum development
- Senior projects or student research supervised
- Student advising
- Current instruction related projects
- Other

III. TEACHING RELATED ACTIVITIES – Other than Cal Poly

- Courses and laboratories taught

IV. PROFESSIONAL GROWTH AND DEVELOPMENT ACTIVITIES

- Activities completed (with primary emphasis on activities completed since coming to Cal Poly for probationary faculty, for period in rank for candidates for promotion, and for post-tenure review). Be specific, including dates, about activities such as research; consulting; commissions; patents; copyrights; creative or artistic achievement; relationships with business and industry; projects completed; publications; editorial work, including refereeing; papers presented; reviews; professional workshops offered; professional conferences/workshops attended, etc.
- Published professional work
- Published scholarly works
- Participation in professional associations and organizations
- Grants, contracts, fellowships, honors
- Current projects and activities
- Invited professional and scholarly lectures given outside of Cal Poly (place, dates, topic)

V. SERVICE

- University
- College
- Department
- Community (activities related to professional expertise)

APPENDIX 2

PROFESSIONAL DEVELOPMENT GUIDELINES

(September 10, 2003)

A. Introduction:

The Cal Poly Strategic Plan states: “The faculty shall be encouraged to be proficient and current in their disciplines as well as their teaching skill. Excellence in teaching is the primary purpose of Cal Poly's faculty, and active participation in various types of scholarly activities is essential to meeting this goal. Cal Poly recognizes and endorses four types of scholarship as part of the expectations for faculty.

A Carnegie Foundation report entitled Scholarship Reconsidered: Priorities of the Professorate identifies these as the Scholarship of Teaching, the Scholarship of Discovery, the Scholarship of Integration, and the Scholarship of Application. Each of Cal Poly's faculty members shall be active and proficient in the Scholarship of Teaching. While activity in the three remaining areas characterizes the career of a faculty member, at any given time it is likely that one area will receive greater emphasis than the others.

- B. All full-time Architectural Engineering Faculty (Probationary, tenured and lecturer) shall be involved in professional development activities that contribute knowledge to the field and that informs and assists in their teaching effectiveness.

All members of the department faculty from part time faculty members to tenured faculty members share a common goal which is the mission of the department. As a commitment to fulfilling that mission each full time faculty member sets his or her own goals consistent with the department's own commitment to excellence. Those goals are established in the faculty member's professional development plan. The plan is reviewed and approved by the Peer Committee. During the annual evaluation process the faculty member reports on their progress in meeting the goals of the plan and updates the plan through the submission of their Working Personnel Action File.

The professional develop plan, as outlined below, sets the standards for evaluation of faculty performance. The intent of the program is to have each faculty member set a measurable outline of goals based on the outline below. The evaluation procedure is the responsibility of the appropriate committee and the department chair.

The following is an outline for developing a measurable professional development statement for each full time faculty member. The outline is formatted to be consistent with the University criteria while focusing on the department's specific goals. Each faculty member's professional development plan should be formatted to respond to these guidelines although it is not expected that each subset is addressed in the plan.

1. Teaching performance and/or other professional performance:
 - a. Teaching effectiveness as recognized by peers and students:
 - Response to RPT reviews of teaching effectiveness.
 - Ranking by the department chair based on the RPT review
 - Student evaluations: effective response and improvement plan based on student evaluations
 - b. Curriculum development-new courses-programs:
 - Active participation in department curriculum committee
 - Development of new curriculum proposals, which lead to adoption.
 - c. Scholarship of teaching
 - Development of teaching methods or displays which assist the department faculty
 - Development and presentation of papers in the scholarship of teaching
 - Participation in the development of state of the art knowledge
 - d. Techniques that show excellence in teaching - Development of new techniques for utilization by department and faculty
 - e. Professional development related to teaching
 - Teaching of continuing education to professionals
 - Attendance at seminars on state of the art subjects
 - f. Scholarly activity as it relates to teaching
 - Writing of papers in area of courses taught
 - Development of text in areas of courses taught
2. Professional growth and achievement:
 - a. Activities in scholarships of teaching, discovery, integration and application:
 - Scholarship of discovery.
 - Scholarly research
 - Participation within the student environment stimulating students' discovery
 - Scholarship of integration
 - Participation in stimulating the integration of learning between disciplines
 - b. Activities in professional growth and development:
 - Membership in professional organizations such as: SEAOC, EERI, ACI, AISC, ICBO, ASCE
 - Chair of professionally significant committee.
 - Officer of professional organization
 - Professional consulting

3. Service to University, Students and Community:
 - a. Participation in governance:
 - Department governance: department chair, associate department chair.
 - Department governance shared responsibility-participation in administrative leadership efforts
 - College level representation and active participation in governance committee
 - Academic Senate
 - Chair of academic senate committee
 - Chairman of College-level governance committee
 - University level committee active participation governance
 - Dean's search committee
 - President's committees
 - Member of ASI committee
 - b. Participation, as an advisor or mentor, to student organizations
 - c. Involvement in diversity-related activities - Affirmative action coordinator
 - d. Involvement: talks, colloquia, service as an officer in community or profession:
 - Presentation of talks to professional organizations
 - Advisor to or member of City, County and/or State committees.
 - e. Involvement in community with K-12 beyond unit requirements:
 - Participation in offering ARCE contribution to K-12
 - K-12 Outreach program participants.
 - f. Community related service beyond unit requirements - Service representing ARCE or profession in community organizations
 - g. Participation governance and committees of bargaining unit – Officer or representative of Union organization.

APPENDIX 3

PROFESSIONAL CONDUCT

- A. Faculty members are expected to conduct themselves in a professional manner. Examples of the professional conduct expected of faculty are given in the *Faculty Handbook* under the faculty code of ethics. For example:

“Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. They avoid any exploitation, harassment, or discriminatory treatment of students.”

“Professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates. In the exchange of criticism and ideas, professors show due respect for the opinions of others. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.”

- B. The following procedural steps will be followed in determining whether the code of ethics has been violated:

1. At any time a CRP faculty member may submit a narrative description and supporting documentation of an incident or incidents that s/he perceives in conflict with the code of ethics.
2. The narrative shall first be reviewed by the Department Head.
3. The party submitting the narrative and the Department Head, Associate Dean or Dean, jointly decide whether to submit the narrative for inclusion with the Personnel Action File.
4. A faculty member who receives a negative narrative that will be included with his/her Working Personnel Action File is notified and allowed to review it. The faculty member will then have seven days to provide a written rebuttal, which will be included in the materials.

APPENDIX 4

CALIFORNIA STATE UNIVERSITY FACULTY ACTIVITY REPORT (sample)

For Period July 1, ____ through June 30, ____

Name _____ Department _____

Highest degree and date: _____

Due to department: End of Week 5 – Fall Quarter

____ Check here if eligible for SSI (Service Salary Increase) – those with SSI Counter 1-8

____ Check here if you do NOT want to be considered for a Faculty Merit Increase should a merit review take place in ____ - _____. (Note: a Faculty Activity Report is required even for those employees who elect not to be considered for a faculty merit increase.)

In no more than four (4) typewritten pages, using 12-point type and one-inch margins, provide information on your activities, contributions, and accomplishments in the areas applicable to your work assignment for the period covered by this report. Most tenure track faculty have a work assignment of teaching, scholarship, and service, whereas a typical lecturer's work assignment consists of teaching only. If you are unsure of your assignment, please check with your department chair or Dean. (Note: the sub-headings under each section are considered guidelines and not an obligatory request for information.)

I. Teaching and contributions to student development/other primary work assignment

- A. Summarize and comment on your student evaluations of teaching.
- B. Describe any changes in teaching approach or in responsibilities
- C. Describe your responsibilities in advising, supervision, or similar activities
- D. Course development or other curricular activities (i.e. redesign a major or minor)
- E. The total WTUs taught, including senior project and supervision
- F. Other

II. Scholarly/Creative Activities and Professional Development/Practice

- A. List/describe work completed (books, journal articles, performances, editing, presentations, grant proposals, etc.)
- B. List/describe work in progress
- C. Other

III. University and Community Services (list/describe your contribution to the following)

- A. Department Committees/Services
- B. College, University, System wide Committees/Services
- C. Professional Service Activities
- D. Community Services Activities
- E. Other

IV. Optional: List special accomplishments and other activities not included in any of the above.

I attest that the information provided in this report is accurate and true to the best of my knowledge.

Name _____

Faculty member's signature

Date

APPENDIX 5

Sample AP 109 – Faculty Evaluation Form

CAL POLY California Polytechnic State University, San Luis Obispo	AP 109 Faculty Evaluation Form http://www.academic-personnel.calpoly.edu/forms.html
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NAME: _____ FACULTY RANK: _____ DATE: _____

COLLEGE: _____ DEPARTMENT: _____

This is an evaluation for (check applicable action):

Retention to a 2nd, 3rd, 4th, 5th, 6th probationary year.

Tenure

Promotion

Periodic Review

FACTORS OF CONSIDERATION

Justification for Recommendations (CAM 341.1A7)

Evaluative statements should be accompanied by supporting evidence. If the evidence does not appear to support the recommendations made, the file will be returned to the reviewing levels for amplification.

The evaluator should review effectiveness of the faculty member primarily during this evaluation period. The evaluation should reflect both (1) evidence of merit and (2) suggested areas for improvement. Reference any resources used for evaluation; such as class visitation, conferences, and materials provided by the faculty member. If more space is needed, use an additional page.

- *1. **Teaching Performance and/or Other Professional Performance:** Consider such factors as the faculty member's competence in the discipline, ability to communicate ideas effectively, versatility and appropriateness of teaching techniques, organization of course, relevance of instruction to course objectives, methods of evaluating student achievement, relationship with students in class, effectiveness of student consultations, and other factors relating to performance as a teacher. (Include results of Student Evaluation Program.)

*Nonteaching academic personnel are to be evaluated on their professional performance.

Evidence of Merit:

Areas and Suggestions for Improvement:

- II. **Professional Growth and Achievement:** Consider such factors as the faculty member's original preparation and further academic training, related work experience and consulting practices, scholarly and creative achievements, participation in professional societies and publications, professional registration, certification and licensing.

Evidence of Merit:

Areas and Suggestions for Improvement:

- III. **Service to University, Students, and Community:** Consider such factors as the faculty member's participation in academic advisement, co-curricular activities, diversity-related activities, placement follow-up, department, college and university committee and individual assignments, system wide assignments, and service in community affairs directly related to the faculty member's teaching area, as distinguished from those contributions to more generalized community activities.

Evidence of Merit:

Areas and Suggestions for Improvement:

- IV. **Other Factors of Consideration:** Consider such factors as the faculty member's ability to relate with colleagues, initiative, cooperativeness, dependability, etc.

Evidence of Merit:

Areas and Suggestions for Improvement:

V. Summary:

On the basis of the foregoing evaluation, I believe that _____:
(person being evaluated)

1. *has reached a high level of professional development and is making an outstanding contribution to the university which is readily recognizable.*
2. *fully meets the requirements of the present assignment and is making a valuable contribution to the university.*
3. *meets the requirements of the present assignment adequately and by following the preceding suggestions for improvement may make a greater contribution to the university.*
4. *does not meet satisfactorily the requirements of the present assignment.*

I RECOMMEND:
(recommendations not required for Periodic Evaluations)

- | | |
|--|---------------------------------------|
| <input type="checkbox"/> Tenure | <input type="checkbox"/> Nontenure |
| <input type="checkbox"/> Promotion | <input type="checkbox"/> Nonpromotion |
| <input type="checkbox"/> Retention to a _____
probationary year | <input type="checkbox"/> Nonretention |

for the following reasons:

Department Head/Chair Signature _____
Date

I have read the above evaluation:

Signature of person being evaluated _____
Date

COMMENTS OF PERSON BEING EVALUATED:

NOTE: The college Dean or division head's evaluation statement will subsequently be attached to this form. If the person being evaluated is eligible for consideration for retention, tenure or promotion, the entire packet will be forwarded to the Provost/Vice President for Academic Affairs and/or President. The complete evaluation statement and attachments will be filed in the individual's Personnel Action File in the college/division office following action on the recommendations.

(Person Being Evaluated)

On the basis of the foregoing evaluation and the additional comments below, I recommend:

Tenure

Nontenure

Promotion

Nonpromotion

Retention to a _____
probationary year

Nonretention

COMMENTS OF DEAN:

Dean's Signature

Date

APPENDIX 6

**ANNUAL FACULTY PROFESSIONAL DEVELOPMENT PLAN
GUIDELINES**

September 10, 2003

Role of Professional Development in ARCE: expanding the knowledge of planning and its related sub disciplines

Plan Objective: To establish a process by which faculty consider and implement an annual program of professional development activity aimed at improving their level of professional and academic proficiency, their level and commitment to service, and one that assists them in achieving excellence in teaching. For probationary (tenure track) faculty this plan will establish a road map through retention and then to promotion and tenure. For tenured faculty, this document reflects the activities to be undertaken that assists in promotion and leadership within the department.

Relation to Department Mission: Faculty activity should reflect in various ways activities that can and will assist in accomplishing the Department Mission.

Due Date: End of the fifth week of the fall quarter

Who Files a Plan: All tenured and tenure-track faculty and full-time lecturers

Dissemination: Filed with the Department Head and then presented at a faculty forum. Each faculty member shall give a structured presentation of their Plan (accompanied by a single page handout), and the proposed process for accomplishing it in the short (one year) and medium term (3-5 years). The presentations shall occur in the winter quarter on a designated day and time, and shall be open to students and other faculty. For candidates approaching promotion or tenure within a two-year period, the plan shall reflect achievable activities focused on that review.

Outline:

Categories: All of the following categories shall be included in the Plan document:

I. Teaching and Contributions to Student Development

This may include new course preparations, teaching using new technologies, improvement in teaching skills through courses and advanced studies, preparing in-service training for professionals, and improving types of course experiences. The key here is knowledge application and integration in the effort.

II. Scholarly Activities and Professional Development/Practice

This shall include at least the four types of scholarships recognized by the Carnegie Commission – teaching, discovery, integration and application (see ARCE Professional Development).

III. University and Community Service

This can take the form of service in professional societies (nationally and locally) and shall demonstrate contribution to the organization or society. Community service shall

be demonstrable in terms of appointments to commissions or boards, or special invitations to participate based on expertise. University service as professional development would take into consideration the unique or special contribution made. Normal committee workload assignment would not be included as professional development.

IV. Other:

This shall provide for areas and activities not covered elsewhere in this document.

- A. Content: The Plan shall indicate how the professional development activities will benefit the faculty member's teaching, increase planning knowledge and/or contribute to the profession. Indication can be done either in bullet form with a short narrative or as a longer narrative.

The Plan shall set out the activities to be accomplished in a one-year period (September through August). It shall also set down a more generalized 3-5 year professional development framework within which the yearly activities shall occur. This longer period serves to establish a broader basis for review and evaluation.

- B. Assessment: The Plan shall illustrate how the activities undertaken can be assessed in order to demonstrate progress and merit. This can take the form of numerical measures (such as one article submitted in a peer reviewed journal every two years), as well as qualitative measures (such as external reviews and awards) and reviews and internal or external comments by peers. The measurement units shall be easily verified. For example, presenting a paper at a national conference can be verified by submitting a copy of the paper to the faculty. All progress shall be documented on an annual basis. Effectiveness in a particular course might be evidenced by the student's work being recognized as meritorious or exemplary.
- C. Implementation: Indicate the challenges faced in accomplishing the professional development plan activities as set down in (a) above. Be realistic as to the extent of what can be accomplished in the time period covered.
- D. Department Assistance: Indicate in what ways the department, the college and university may assist in supporting the professional development plan activities.
- E. Progress to date: Indicate and analyze those areas of the previous year's Plan that have been accomplished and the areas that could not be accomplished.
- F. The Department Head shall provide a written assessment of the plan to the faculty member after the plan has been presented to the faculty as a whole.

Style and Format: Length of the Plan will vary from year to year. It shall be of adequate length to cover all areas of (A-E). Generally, the Plan shall not exceed 1,200 words. Use 12 point New Times Roman font, one inch margins, with double spacing, and pagination. The APA style manual shall be the guiding document in terms of citations, notations, and other format questions. Name is placed on each page as a header in the upper right-hand corner. State the period covered as September 200X to August 200Y.

APPENDIX 7

CLASSROOM OBSERVATION REPORT
(For use by ARPT Committee and Department Head)

Instructor evaluated _____ **Course** _____

Number of students present _____ Date _____ Evaluator _____

Purpose: The purpose of this classroom observation is (1) to provide a database for more accurate and equitable decisions on tenure, promotion, and merit increase and (2) to improve faculty performance.

Instructions. Please consider each item carefully and assign the highest scores only for unusually effective performance. Questions 12 and 13 have been deliberately left blank. You and the instructor being evaluated are encouraged to add your own items. Each instructor should be observed on two occasions, and the observer(s) should remain in the classroom for the full class period. It is suggested that the observer(s) arrange both pre- and post-visit meetings with the instructor.

Highest		Satisfactory		Lowest	Not Applicable
5	4	3	2	1	NA

- _____ 1. Defines objectives for the class presentation
- _____ 2. Effectively organizes learning situations to meet the objectives of the class presentation.
- _____ 3. Uses instructional methods encouraging relevant student participation in the learning process.
- _____ 4. Use class time effectively.
- _____ 5. Demonstrates enthusiasm for the subject matter.
- _____ 6. Communicates clearly and effectively to the level of the students.
- _____ 7. Explains important ideas simply and clearly.
- _____ 8. Demonstrates command of subject matter.
- _____ 9. Responds appropriately to student questions and comments.
- _____ 10. Encourages critical thinking and analysis.
- _____ 11. Considering the previous items, how would you rate this instructor in comparison to others in the department?
- _____ 12.
- _____ 13.
- _____ 14. Overall rating

Would you recommend this instructor to students you are advising? (Please explain.)

What specific suggestions would you make concerning how this particular class could have been improved?

Did you have a pre-visit conference? _____ A post-visit conference? _____