College of Liberal Arts

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Policies and Procedures

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1. Preface

1.1. Position Statement

1.1.1.   The College of Liberal Arts comprises sixteen highly selective departments offering programs in the arts, humanities, communications, and social sciences. These diverse disciplines share a focus on human experience and expression. Providing nearly a third of the university's instruction, the CLA serves as an essential component of liberal education for all students at Cal Poly. The CLA fosters excellence within its cutting-edge disciplinary and interdisciplinary courses of study while diversifying, extending, and enriching the broader polytechnic environment. Its rich history of teaching excellence, active research and creative endeavors, and the breadth and depth of its course offerings position the CLA as central to the Cal Poly educational experience.

1.2. Mission Statement

1.2.1.   The College of Liberal Arts promotes excellence through teaching, scholarship and service in the arts, humanities, communications, and social sciences. The CLA encourages intellectual discovery and individual growth by promoting diversity, social responsibility, and life-long Learn by Doing in both the local and the global communities. CLA occupies a pivotal position in the comprehensive university, providing Cal Poly students with a broad and substantive understanding of culture, social and political organizations, and the individual; developing their capacity for critical inquiry and discourse; fostering intellectual curiosity and the pursuit of knowledge; promoting creative thought and aesthetic appreciation; and integrating technology into a broader, human context.

1.3. Values

1.3.1.   The College of Liberal Arts upholds open and critical disciplinary and interdisciplinary inquiry, effective communication, creative thinking, aesthetic endeavor, and their application to contemporary issues. We advocate cultural and intellectual diversity, sustainability, professional ethics, self-awareness, and responsible citizenship. We espouse the integration of humane and aesthetic values with technological proficiency in support of the university's mission. As essential and engaged members of our comprehensive polytechnic university, we embrace the university's commitment to the Learn by Doing philosophy through our research, theory, and practice.

1.4. Vision

1.4.1.   The College of Liberal Arts will be indispensable to Cal Poly's achieving national recognition as a premier comprehensive polytechnic university. Its emphasis on creative thinking, human understanding, and innovative action will empower our graduates to confront challenges responsibly by understanding the historical, cultural, social, ethical, aesthetic, technological, and philosophical complexities of global and local communities. Through its programs, research, and scholarship, the CLA will exemplify the values required to create a robust, vibrant, diverse, and responsible culture that sustains progress, beauty, and justice for the larger society.

1.5. Learning Objectives

1.5.1.   **College of Liberal Arts graduates will be able to:**
- Question assumptions through critical inquiry.
- Think creatively and constructively from disciplinary and interdisciplinary perspectives.
- Communicate effectively orally and in writing.
- Develop scholarly depth within their disciplines.

- Understand the value of interdisciplinary knowledge.
- Collaborate productively in diverse settings and with diverse others.
- Make reasoned, ethical, and socially and ecologically responsible decisions.
- Understand the self and others as products of—and participants in—global traditions of art, ideas, and values.
- Engage in life-long learning.

1.6. Purpose and Scope of this Document

1.6.1.   This college statement of criteria and procedures for faculty personnel actions presents a unifying document under Title V, Higher Education Employer-Employee Relations Act (HEERA), CAP and the CSU/CFA Agreement. If the agreement entered into pursuant to the Title V, HEERA, CAP and the CSU/CFA Agreement is in conflict with provisions in these criteria and procedures, the terms of the contract and not the provisions of these procedures and criteria shall govern.

1.6.2.   Reserved for CLA policy and procedure on establishing college-level personnel policies.

1.6.3.   Departments may also have personnel policy documents. Department level personnel policies extend, develop, and apply college level policies in ways that are suited to the disciplines within the department. In the case of any conflict between a department's policies and college or university policies, the college or university policies shall govern. Departments opting to draft their own personnel policies shall define the process for composing and approving such policies. Department level personnel policies shall be approved by their college dean and the provost. Department personnel policies that are currently in effect are available on the Academic Personnel website.

2. Faculty Appointments

2.1. Tenure-Track Recruitment

2.1.1.   Current University tenure-track recruitment procedures, as well as information about contract updates concerning academic appointments, are accessible at the Academic Personnel website.

2.1.2.   Advertising and Recruitment: Tenure-track positions must be advertised nationally. Academic Personnel will place an advertisement for all tenure-track searches in publications listed in documents on the Academic Personnel website. These advertisements meet the requirement to advertise the position nationally. Departments must also place all additional advertisements listed in the required recruitment plan. A minimum 30-day period is required between the latest of all ad publication dates (whether online or print) and the closing date or review begin date. For online advertising the 30 days is counted from the first day of appearance.

2.1.3.   Applications for tenure-track faculty positions must be submitted to the university's applicant tracking system. Applicants must submit a current CV, a cover letter, and names and contact information of at least three references (current within the last three years), list of courses previously taught at the university level, and a diversity statement. Unofficial transcripts may be requested at time of application; official transcripts are required for appointment. Additional materials that may be requested by the department. A list of standard application materials is included in *Procedure for Recruiting Tenure-Track Faculty* maintained and distributed by the Office of Academic Personnel.

2.1.4.   The Search Committee, consisting of elected tenured and/or probationary faculty, shall use procedures as determined by the University's Procedure for Recruiting Tenure-Track Faculty and any approved college or departmental recruitment policies and procedures in addition to those listed below. With the department's recommendation and the dean's permission, FERP faculty may serve on the Search Committee. With the department's recommendation and the dean's permission, probationary faculty may serve on the Search Committee (CBA 12.22.a).

2.1.5.   Each search committee must have one trained Employment Equity Facilitator (EEF) who shall normally be a tenured faculty member and may not be the department chair or the chair of the Search Committee. Information about the role of the EEF and about training for the EEF positions is available on the website of the Office of Equal Opportunity.

2.1.6.   The Search Committee members shall give careful consideration to temporary employees who have been evaluated by the department or equivalent unit. The search committee members, or screening sub-committee members, and department chair shall review and sign the Personnel Action File for these candidates.

2.1.7.   From those who have been interviewed on campus, the Search Committee shall provide a ranked list of preferred candidates to the department chair. The department chair shall provide appointment recommendations to the dean, ranking as appropriate.

2.2. Tenure-Track Qualifications

2.2.1.   Normally, a doctorate or other appropriate terminal degree shall be required for appointment to a tenure-track position. The appropriate terminal degree will be determined by the department and approved by the dean. In the areas where a doctorate is required, candidates who have completed all doctoral requirements but the dissertation (ABD) may also be considered during the recruitment process. However, all minimum degree requirements must be completed prior to the appointment start date.

2.2.2.   Colleges and departments shall specify the relevant evidence of potential for excellence in university-level teaching, scholarship and service. Evidence of potential for teaching

excellence in the department and/or college may include experience or potential to teach using learn by doing, project-based learning, service learning and other teaching methods that are common at Cal Poly. Evidence of potential for ongoing research, scholarship, and/or creative activity should show how candidates will remain current and contribute to the knowledge and developments within their discipline/professional field, and obtain promotion. Evidence of service should show potential to make substantive contributions to the department, college, and/or university.

2.2.3.   Applicants for appointment with tenure shall normally be tenured professors at other universities. Exceptions to this provision must be carefully documented. The President may award tenure to any individual, including one whose appointment and assignment is in a management position, at the time of appointment. Appointments with tenure shall be made only after an evaluation and recommendation by tenured faculty in the appropriate department (CBA 13.17).

2.3.   Lecturer Recruitment

2.3.1.   Department chairs make the hiring recommendation to the dean who is the appointing authority in the colleges responsible for approving and hiring lectures. Department faculty may be involved in screening or vetting applicants for the part-time pools or by serving on search committees for full-time lecturer recruitments.

2.3.2.   Full-time lecturer appointments require a search with a process similar that of tenure-track searches. Colleges or departments determine the appropriate interview format for the full-time lecturers.

2.3.3.   Advertisements need to be posted and the requisition must be open for a minimum of 30 days before review of applicants can begin. For online advertisements the 30 days is counted from the first day of appearance.

2.3.4.   Applications for full-time lecturer faculty positions must be submitted to the university's applicant tracking system. Applicants must submit a current CV, a list of CSU courses taught, a diversity statement and names and contact information of at least three references. Unofficial transcripts may be requested at time of application; official transcripts are required for appointment. Additional materials may be requested by the college or department.

2.3.5.   Criteria for appointment for full-time lecturers is an appropriate degree as determined by the department and approved by the dean. Evidence of potential for excellence in university level teaching is required. Evidence of potential for ongoing professional activity that demonstrates a candidate's commitment to disciplinary/professional currency is required. Initial appointment is for 1 academic year with a possible 1-year extension. Full-time lecturer appointments are unconditional and their work assignment cannot be reduced once these appointments are made. The department must meet the entitlements of other lecturers listed in the order of assignment in article 12.29 of the CBA.

2.3.6.   Most departments create a part-time lecturer pool that allows candidates to apply for consideration for appointments throughout the academic year as needed to fill positions. Applicants may apply at the start of the academic year for consideration of work assignments in any quarter or they may apply prior to the winter or spring terms. These pools are opened in April for the subsequent academic year after the spring quarter appointments have been made. Department chairs may review qualifications of the applicants and make quarter-by-quarter appointments following the order of assignment in accordance with article 12.29 of the CBA. Applicants who have worked for the department and been evaluated should be given careful consideration according to article 12.7 of the CBA. Those who have had a part-time assignment for all three quarters of an academic year and are appointed to teach in the fall quarter of the following academic year shall be appointed with a one-year part-time entitlement per article 12.3 of the CBA.

2.3.7.   Advertisements must to be posted and the lecturer pool must be open for a minimum of 14 days before review of candidates can begin. Part-time pools stay open until the first week of spring quarter.

2.3.8.   Applications for part-time lecturer pools must be submitted to the university's applicant tracking system. Applicants must submit a current CV, a list of CSU courses taught, a diversity statement, and names and contact information of at least three references. Unofficial transcripts may be requested at time of application; official transcripts are required for appointment. Additional materials may be requested by the college or department.

2.3.9.   Criteria for appointment is an appropriate degree as determined by the department and approved by the dean. Evidence of potential for excellence in university level teaching is required. Evidence of potential for ongoing professional activity that demonstrates a candidate's commitment to disciplinary/professional currency is required. Initial appointments for part-time pool lecturers can be for 1, 2 or 3 quarters. Initial appointments for 3 quarters should be for less than 45 units.

2.3.10. Emergency lecturer appointments may occur for urgent and unplanned needs when no qualified candidates are available in the part-time lecturer pool and there isn't time to run a part-time lecturer pool recruitment. Such urgent and unplanned needs to appoint a lecturer may arise from another faculty member's unplanned leave of absence or a last-minute course section being opened. If this need is expected to continue, the department should plan ahead for future terms and either run a recruitment or advertise to increase the part-time pool to meet the anticipated needs of the department.

2.4.   Graduate Assistants / Teaching Associates

2.4.1.   Appointment of graduate assistants and teaching associates shall be made by the dean based upon recommendations by the department chair.

2.4.2.   Recommendations and appointments shall be made of enrolled graduate students who have demonstrated the interest, knowledge, and potential to be good, inclusive, and equity-minded instructors.

2.4.3.   Teaching associates must be registered in a CSU graduate degree program and must be enrolled in courses towards the completion of that graduate degree during the teaching associate appointment period. This includes students enrolled in CSU courses through CSU extension, if the courses are taken for credit toward completion of the graduate degree.

2.4.4.   All openings will be posted on the MustangJOBS web site.

3. Personnel Files

3.1. Personnel Action File (PAF)

3.1.1.   The Personnel Action File (PAF) is the one official personnel file for employment information and information that may be relevant to personnel recommendations or personnel actions regarding a faculty unit employee. (CBA 11.1)

3.1.2.   The college dean is the custodian of the PAF. Contents of the Personnel Action File stored in electronic format shall be stored securely, and access to the file shall be limited to those individuals authorized to view the file under the terms of the CBA. (CBA 11.1)

3.1.3.   Contents of the PAF include:
- Hiring materials/letters of appointment
- CV retained from WPAF
- Index retained from WPAF
- Professional Development Plan from WPAF
- Performance and periodic evaluation reports (AP 109, dean and provost letters)
- Leaves/grants/awards reports
- Results of student evaluations of faculty from the past 6 academic years
- Institutional data about teaching assignments
- Other personnel related material.

3.2. Purpose of Working Personnel Action File (WPAF)

3.2.1.   During the time of periodic evaluation and performance review of a faculty unit employee, the Working Personnel Action File (WPAF), which includes all information, materials, recommendations, responses and rebuttals, shall be incorporated by reference into the Personnel Action File. (CBA 11.8).

3.2.2.   The WPAF is compiled by the applicant to support consideration for a periodic evaluation or performance review. Contents of the WPAF stored in electronic format shall be stored securely, and access to the file shall be limited to those individuals authorized to view the file. All supporting materials in the WPAF should be referenced and clearly explained.

3.2.3.   The WPAF for retention and tenure reviews shall cover the entire employment period at Cal Poly. The WPAF for promotion and lecturer range elevation shall cover the period in rank or range at Cal Poly.

3.2.4.   The provost establishes a specific deadline by which the WPAF is declared complete for each type of personnel action. Insertion of materials after that date must have the approval of the college peer review committee (CPRC) and is limited to items that became accessible after the deadline. The table of contents or index should be updated to reflect any material added to the file during the course of the evaluation cycle.

3.3. Contents of WPAF

3.3.1.   See Appendix A1 or A2. Candidates should assume everyone reading the WPAF will be reading many, many WPAFs – clear and concise materials generally will be more effective. Copies of previous evaluations should *not* be included in the WPAF as they are in the PAF, which will be reviewed during the evaluation process.

4. Responsibilities in Faculty Evaluation Processes

4.1. Candidates

4.1.1. Faculty subject to evaluation are candidates in the evaluation process. Candidates must provide a complete set of materials that includes evidence appropriate for the nature of the evaluation process and narrative reports pertinent to the purpose of the evaluation. (CBA 15.12)

4.1.2. While faculty scheduled for a mandatory review will be notified by the college, faculty intending to be considered for early promotion to associate professor or professor or early tenure must notify the dean in writing (email is acceptable). This notification shall also be copied to the department chair.

4.1.3. Candidates under review must view their own Personnel Action File (PAF) according to access requirements prior to the commencement of an evaluation.

4.1.4. Candidates must assemble and submit a Working Personnel Action File (WPAF) by the University established deadline for their evaluation process. Appendix A1 or A2

4.1.5. Retention, promotion, and tenure candidates must provide an updated professional development plan for their WPAF.

4.1.6. The ten days following the receipt of an evaluation report from any level of review comprises a rebuttal period during which the candidates may submit a written rebuttal or request to meet with the evaluator(s) to discuss the evaluation. (CBA 15.5)

4.2. Department Peer Review Committee (DPRC)

4.2.1. For evaluation processes using a Department Peer Review Committee (DPRC), the initial level of review of the candidate is conducted by the DPRC. Evaluation of tenure-track instructional faculty shall commence with a DPRC level of review. Lecturer faculty evaluation may commence with a DPRC level of review depending on evaluation type.

4.2.2. For Periodic Evaluations the department's probationary and tenured faculty shall elect members of the tenured faculty to serve on DPRCs. Both tenured and probationary faculty may vote on DPRC membership.

4.2.3. For Retention, Promotion or Tenure Performance Evaluations, the DPRC shall consist of at least three elected members of the tenured faculty. For Periodic Evaluations, the DPRC shall consist of at least one elected member. DPRC members must have a higher rank/classification than those being considered for promotion. DPRC members for post-tenure evaluations must hold the rank of professor. At the request of a department, the President may agree that a faculty unit employee participating in the Faculty Early Retirement Program may also engage in deliberations and make recommendations regarding the evaluation of a faculty unit employee. However, faculty committees established for this purpose may not be comprised solely of faculty participating in the Faculty Early Retirement Program. Approval shall be obtained from the dean if a department requests to have faculty in FERP participate as an evaluator member of the DPRC. (CBA 15.2)

4.2.4. Faculty may serve on only one level of review (department PRC, department chair, or college PRC). (CBA 15.29) Faculty unit employees being considered for promotion themselves are ineligible for service on promotion or tenure peer review committees (CBA 15.42). A potential DPRC member with a clear conflict of interest with a faculty member scheduled for review should not stand as a candidate for that DPRC. DPRC members typically will be from the candidate's own department. However, DPRC members will sometimes need to be recruited outside the department when there is an inadequate number of faculty in the department who are eligible and available to serve on the DPRC.

4.2.5.   All DPRC members shall review both the PAF and the WPAF. At least a subset of the DPRC shall observe classroom instruction as per UFPP 8.2. Faculty members shall be provided a notice of at least five (5) days that a classroom visit is to take place. (CBA 15.14) There shall be consultation between the faculty member being evaluated and the individual who visits their class(es) regarding the classes to be visited and the scheduling of such visits. (CBA 15.14) For retention, tenure and promotion evaluations, the DPRC shall review any professional development plan and offer guidance to the candidate for any needed modifications to that plan. This feedback on the professional development plan is especially important in helping faculty develop a compelling record for eventual promotion. All deliberations of the DPRC shall be confidential. (CBA 15.10)

4.2.6.   The DPRC shall use forms provided by the Evaluation Process Analyst for their evaluation report. This report shall critically analyze the evidence on each performance dimension (teaching, professional development, service, and other), and offer any suggestions for improvement. The report shall clearly establish the basis for the conclusions of the report and how any recommendations resulted from the assessment of the evidence.

4.2.7.   DPRC evaluation recommendations shall be approved by a simple majority of the committee. (CBA 15.45) The DPRC shall vote for or against the proposed action (retention, promotion and/or tenure, as well as range elevations), or, under very rare circumstances, abstain. Abstentions require written explanation. In cases of split votes, the report should reflect the relevant perspectives on the committee and the rationale for the majority decision. In rare instances when agreement cannot be reached on the content of the committee report, the minority committee member(s) may submit a signed minority report.

4.2.8.   The DPRC may submit to the subsequent levels of evaluation a ranking of those promotion applicants whom they positively recommended (CBA 15.44).

4.2.9.   The DPRC report shall be provided to the candidate at least 10 days before sending the evaluation to the department chair. If the candidate requests a meeting concerning a rebuttal to the DPRC report, the DPRC shall meet with the candidate. The DPRC shall review any written rebuttal with the option of revising the recommendation or correcting errors in the original report. No other written response, other than acknowledgment of receipt of the rebuttal, shall be provided to the candidate.

4.3. Department Chair

4.3.1.   Department chairs shall conduct their own separate level of review. For evaluation processes using a DPRC, the department chair review shall follow the DPRC review. Class observations for Periodic Evaluations are optional. For retention evaluations, the chair shall observe classroom instruction as per UFPP 8.2 but may rely on a prior Periodic Evaluation or Performance Evaluation, conducted by the same chair, within the prior academic year. For tenure or promotion evaluations, the chair shall observe classroom instruction as per UFPP 8.2. Faculty members shall be provided a notice of at least five (5) days that a classroom visit is to take place. (CBA 15.14) There shall be consultation between the faculty member being evaluated and the individual who visits their class(es) regarding the classes to be visited and the scheduling of such visits (CBA 15.14)

4.3.2.   The department chair shall review both the PAF and the WPAF. The department chair shall review any DPRC evaluation. The department chair shall review any rebuttal to the DPRC evaluation from the candidate. The department chair shall review any professional development plan and offer guidance to the candidate for any needed modifications to that plan. This feedback on the professional development plan is especially important in helping faculty develop a compelling record for eventual promotion.

4.3.3.   Department chairs shall use forms provided by the Evaluation Process Analyst for their evaluation report. This report shall critically analyze the evidence on each performance dimension (teaching, professional development, service, and other), and offer any

suggestions for improvement. The report shall clearly establish the basis for the conclusions of the report and how any recommendations resulted from the assessment of the evidence. The report from the chair shall be provided to the candidate at least 10 days before sending the evaluation to the dean.

4.3.4.   If the candidate requests a meeting concerning a rebuttal to the department chair's report, the department chair shall meet with the candidate. The department chair shall review any written rebuttal with the option of revising the recommendation or correcting errors in the original report. No other written response, other than acknowledgment of receipt of the rebuttal, shall be provided to the candidate. (CBA 15.5)

4.3.5.   The department chair may submit to the subsequent levels of evaluation a ranking of those promotion applicants whom they positively recommended. (CBA 15.44)

4.4. College Peer Review Committee (CPRC)

4.4.1.   The CPRC provides an additional level of evaluation for candidates undergoing a Performance Evaluation for promotion. The CPRC shall consist of one full professor from each department. Approval shall be obtained from the dean if departments will not have a representative. Each member of the CPRC shall be elected by their department's tenured and probationary faculty for appointment to the CPRC.

4.4.2.   Each CPRC member shall review both the PAF and the WPAF. Each CPRC member shall review the prior levels of evaluation (DPRC and department chair) and any rebuttals submitted. All deliberations of the CPRC shall be confidential (CBA 15.10).

4.4.3.   Based on the review of the PAF, WPAF, and prior levels of evaluation, the CPRC shall vote for or against the proposed promotion case, under rare circumstances, abstain. Abstentions require written explanation. A simple majority of the voting members constitutes the recommendation of the CPRC.

4.4.4.   The CPRC shall produce an evaluation report for each candidate under review. This report will critically analyze the evidence on each dimension of performance (teaching, scholarship, and service), both favorable and unfavorable, and produce a narrative clarifying how the evidence was weighed and the conclusions and recommended actions derived. In cases of split votes, the report should reflect the relevant perspectives on the committee and the rationale for the majority decision. In rare instances when agreement cannot be reached on the content of the committee report, the minority committee member(s) may submit a signed minority report. The CPRC shall submit a ranking of those promotion applicants whom they positively recommended for promotion.

4.4.5.   The CPRC report shall be provided to the candidate at least 10 days before sending the evaluation to the dean (CBA 15.5). Candidates may request a meeting and/or submit a rebuttal to the CPRC report within the 10-day rebuttal period. The CPRC shall review rebuttal material with the option of revising the recommended action or correcting errors in the original report. No other written response, other than acknowledgment of receipt of the rebuttal, shall be provided to the candidate.

4.4.6.   The CPRC shall submit to the subsequent levels of evaluation a ranking of those promotion applicants whom they positively recommended (CBA 15.44).

4.5. Dean

4.5.1.   The dean shall review both the PAF and WPAF, as well as all previous levels of evaluation and any rebuttals submitted. The dean shall provide a separate written evaluation. The dean's evaluation shall be provided to the candidate at least 10 days before placing the evaluation in the faculty member's PAF or before sending the evaluation to the provost depending on review type.

4.5.2.   Candidates may request a meeting and/or submit a rebuttal to the dean within the 10-day rebuttal period. The dean shall review rebuttal material with the option of revising the

recommendation or correcting errors in the original report. No other written response, other than acknowledgement of receipt of the rebuttal statement, shall be provided to the candidate.

4.5.3.   The dean shall submit to the provost a ranking of those promotion applicants whom they positively recommended (CBA 15.44).

4.6.   Provost

4.6.1.   The provost is the final level of administrative evaluation for evaluation processes that conclude with the personnel actions of retention, promotion, and/or tenure.

4.6.2.   The provost shall review the candidate's PAF, WPAF and reports from all levels of evaluation for final evaluation for retention, promotion and/or tenure.

4.6.3.   The provost's letter to the candidate constitutes the final decision on retention, promotion and/or tenure.

5. Evaluation Processes

5.1. Instructional Faculty Evaluation Processes

5.1.1. See Appendix C

5.2. Exceptions

5.2.1.   If the department chair is not a tenured faculty member or academic administrator, then this level of evaluation is skipped and the evaluation will move to the next level of review. (CBA 15.43)

5.2.2.   If the department chair does not hold a higher rank than the faculty member under evaluation for promotion, then this level of evaluation is skipped and the evaluation will move to the CPRC. (CBA 15.43)

5.2.3.   If a conflict of interest exists between the faculty member under review and chair or administrator, such as close relationship, prejudice, bias, etc., the chair or administrator should withdraw from this level of evaluation and provide a written rationale for withdrawal.

5.2.4.   Deans withdrawing from their level of evaluation may designate an associate dean in their college to perform the duties of the dean's level of evaluation.

5.3. University Evaluation Process Calendar

5.3.1.   The office of Academic Personnel will publish the annual evaluation process calendar. This process calendar will provide the dates by which levels of review should be concluded.

6. Evaluation Cycle Patterns

6.1. **See Appendix B**

6.2. **Post-Tenure Faculty Evaluation Pattern**

7. Personnel Action Eligibility and Criteria

7.1. Retention, Promotion and Tenure of Tenure-Track Faculty

7.1.1.   The quality of faculty performance is the most important element to consider in evaluating individual achievement. The degree of evidence will vary in accordance with the academic rank being sought by the applicant.

7.1.2.   Recommendations for retention, promotion, and tenure of instructional faculty are based on the exhibition of merit and ability in each of the following areas:
  - Teaching performance
  - Professional development
  - Service
  - Other factors of consideration

7.1.2.1.   Teaching effectiveness is the primary and essential criterion for the evaluation of tenure-line instructional faculty, however it alone is not sufficient for retention, promotion, and tenure.

7.1.2.2.   The granting of tenure requires stronger evidence of worthiness than retention, and promotion to Professor requires a more rigorous application of criteria than promotion to Associate Professor.

7.1.3.   Departments may also have additional criteria established in their approved personnel policy documents.

7.1.4. Teaching Performance of Instructional Faculty

7.1.4.1.   In formulating recommendations for the retention, promotion, and tenure of teaching faculty, evaluators will place primary emphasis on success in instruction.

7.1.4.2.   Consistent with the values and mission of the college and university, demonstrated excellence in teaching is the essential criterion for promotion in the College of Liberal Arts. Evaluators shall consider such factors as the applicant's competence and currency in the discipline, ability to communicate ideas effectively, versatility and appropriateness of teaching techniques, organization of courses, relevance of instruction to course objectives, methods of evaluating student achievement, relationship with students in class, effectiveness of student advising, and other factors relating to performance as an instructor.

7.1.4.3.   Among other methods, evaluation of these dimensions must be based on a review of course materials and peer observations of classes, as well as results of the formal student evaluations in formulating recommendations based on teaching performance. The multiple methods of evaluation should converge in support of excellence in teaching.

7.1.5. Professional Growth and Scholarly Achievement

7.1.5.1.   In formulating recommendations on the retention, promotion, and tenure of faculty, evaluators shall place emphasis on the professional growth and scholarly achievement of the applicant.

7.1.5.2.   Evaluators shall consider such factors as the applicant's educational background and further academic training, related work experience and consulting practices, scholarly and creative achievements, participation in professional societies, publications, presentation of papers at professional and scholarly meetings, external validation, and peer review of scholarly and creative activities.

7.1.5.3.   Scholarship is used throughout this document to denote professional achievements through research and/or creative activity. Scholarship is essential for faculty to remain current in and contribute to their disciplines, sustaining excellence in teaching. Although the nature and evidence for scholarship vary somewhat across disciplines, there are at least three common features of all types of scholarship.

- Scholarship produces a product, often referred to as intellectual property, that is shared through appropriate professional channels (e.g., as a book, journal article, book chapter, exhibit, performance, recording).
- Scholarship is subject to "peer review," a critical evaluation by external groups optimally qualified to judge the product.
- Scholarship demonstrates a solid foundation and contributions to one's field as well as currency in that field.

7.1.5.4. In order to be considered for promotion to associate professor or professor, a candidate must demonstrate active engagement in the field throughout the candidate's time in the previous rank (assistant professor for promotion to associate professor and associate professor for promotion to professor).

7.1.5.5. A positive recommendation for promotion to associate professor shall require evidence of scholarship equivalent to at least two articles published in well-respected and rigorously peer-reviewed scholarly journals in the relevant area. This is a minimum standard that may be exceeded by department policy. Candidates should check their department personnel standards for further information and criteria.

7.1.5.6. By the date the candidate's promotion WPAF closes, the candidate must provide evidence that the work has appeared in print (or digital media) or is fully 'in press/forthcoming.' For traditional scholarly publications, such as books, book chapters, and journal articles, this means that the manuscript must be fully and unconditionally accepted by the publisher, in the publisher's possession, require no further revisions by the author, and have a scheduled publication date with additional work required only by the publisher to move the manuscript to publication.

7.1.5.7. Works that are under contract for publication, under review for publication, or in progress will <u>not</u> satisfy the promotion criteria, but may be listed as evidence of a candidate's on-going commitment to growth in this area.

7.1.5.8. Responsibility for demonstrating equivalence resides with the candidate and should be well established in the professional development plan through prior reviews and feedback from the PRC, department chair, and dean.

7.1.5.9. A positive recommendation for promotion to professor shall require work equivalent to at least two additional articles published in well-respected and rigorously peer-reviewed scholarly journals since promotion or appointment as associate professor. This is a minimum standard that may be exceeded by department policy. Candidates should check their department personnel standards for further information and criteria

7.1.5.10. By the date the candidate's promotion WPAF closes, the candidate must provide evidence that the work has appeared in print (or digital media) or is fully 'in press/forthcoming.' For traditional scholarly publications, such as books, book chapters, and journal articles, this means that the manuscript must be fully and unconditionally accepted by the publisher, in the publisher's possession, require no further revisions by the author, and have a scheduled publication date with additional work required only by the publisher to move the manuscript to publication.

7.1.5.11. Works that are currently under contract for publication, under review for publication, or in progress will <u>not</u> satisfy the promotion criteria, but may be listed as evidence of a candidate's on-going commitment to growth in this area.

7.1.5.12. Publications previously identified as 'in press/forthcoming' in the candidate's review for associate professor shall not be considered in the review for promotion to professor. Manuscripts listed as "in progress" or "under review" in the candidate's review for associate professor, and therefore not counted toward meeting criteria, may be considered in the review for professor if they are published or unconditionally accepted prior to that evaluation.

7.1.5.13.   Responsibility for demonstrating equivalence resides with the candidate. Because there may be no periodic evaluations between promotion to associate professor and evaluation for professor, candidates with questions about equivalence would be well advised to generate a detailed professional plan and discuss it with appropriate peers, the department chair, and the dean well in advance of their evaluation.

7.1.6.   Service

7.1.6.1.   In formulating recommendations on the retention, promotion, and tenure of faculty, evaluators shall place emphasis on the service the applicant performs in relation to the university and the community.

7.1.6.2.   Evaluators shall consider such factors as the applicant's participation in academic advisement; placement follow-up; co-curricular activities; membership on department, college, the Academic Senate and its committees, and University committees; individual assignments; systemwide assignments; and, service in community affairs directly related to the applicant's teaching and/or research areas as distinguished from those contributions to more generalized community activities.

7.1.6.3.   Faculty service is essential to the university's success and is a responsibility of all faculty. Faculty members are expected to provide service to the university, its students, and programs, as collegial and constructive members of the university and the broader community. Examples include service in faculty governance; in academic and student-support units; in international development; in mentoring students and student groups; and on department, college, and university committees.

7.1.6.4.   While probationary faculty are normally encouraged to limit their service commitment to their departments or the college during the first two or three years in rank, all faculty members are expected to engage in substantive service, with increasing involvement at department, college, university and community levels over time and rank.

7.1.7.   Other factors of consideration

7.1.7.1.   In formulating recommendations on the retention, promotion, and tenure of faculty, evaluators shall place emphasis on collegiality (working collaboratively and productively with colleagues and participation in traditional academic functions); initiative; cooperativeness; and dependability.

7.2.   Retention Eligibility

7.2.1.   Performance reviews for the purpose of retention shall be in accordance with Articles 13 and 15 of the CBA.

7.2.2.   It is the responsibility of applicants to provide sufficient evidence that they have fulfilled the criteria for retention.

7.2.3.   The normal probationary period is six academic years of full-time probationary service (including any credit for prior service granted at the time of appointment).

7.2.4.   Evaluation of probationary faculty involves a comprehensive assessment of performance during the entire probationary period with retention seen as leading to tenure.

7.2.5.   Faculty who have not demonstrated the potential to achieve tenure should not be retained.

7.2.6.   In the event of a non-retention decision, a probationary faculty employee who has served a minimum of three years of probation (including any credit for prior service) will be extended a terminal year of employment with no further appointment rights.

7.3.   Promotion Eligibility

7.3.1.   Promotion eligibility shall be governed by the terms of Article 14 of the CBA.

7.3.2.   Promotion in rank is not automatic and is granted only in recognition of teaching competency, professional growth and scholarly achievement, and meritorious service during the period in rank. The application of criteria will be more rigorous for promotion to Professor than to Associate Professor.

7.3.3. Applicants for promotion to the academic rank of Professor must be tenured or concurrently be granted tenure.

7.3.4. An application for promotion to Associate Professor is considered normal if the applicant is eligible and both of the following conditions hold:

- The applicant is tenured or the applicant is also eligible for and applying for normal tenure.
- The applicant has completed at least the equivalent of four years in their academic rank at Cal Poly.

7.3.5. An application for promotion to Associate Professor is considered "early" if one of the following conditions holds:

- The applicant is a probationary faculty employee who is not in their sixth probationary year and is not eligible for normal tenure.
- The applicant is a tenured faculty employee and has not satisfied the equivalent service requirements of at least four years in their academic rank at Cal Poly.

7.3.6. Early promotion will be considered only in exceptional circumstances. A candidate for early promotion must provide evidence of superior performance in teaching and scholarship, and the candidate should demonstrate at least good to very good service to the department, college or university. "Superior" should be understood to mean a quantity (in scholarship) and quality (in scholarship and teaching) of work that substantially surpasses the standard for normal promotion. The college does not support more than one-year-early promotion to associate professor and professor. Additionally, faculty members who received credit on the tenure clock for prior experience generally do not request or receive early promotion because their probationary period has already been reduced.

7.3.7. After consultation with their department chair and dean, a faculty member who would like to be evaluated for early promotion must notify the dean in writing (email is acceptable) with a copy to the department chair and to the CLA evaluations analyst by October 1 of the current RPT cycle.

7.3.8. The fact that an applicant has reached the maximum salary in their academic rank or meets the performance criteria for promotion does not in itself constitute an exceptional case for early promotion.

7.4. Tenure Eligibility

7.4.1. Tenure eligibility shall be governed by the terms of Article 13 of the CBA.

7.4.2. Applicants for appointment with tenure shall normally be tenured professors at other universities. Exceptions to this provision must be carefully documented. The President may award tenure to any individual, including one whose appointment and assignment is in a management position, at the time of appointment. Appointments with tenure shall be made only after an evaluation and recommendation by tenured faculty in the appropriate department. Possession of the doctorate or other designated terminal degree from an accredited institution is required for tenure.

7.4.3. Normal tenure is for applicants who have accrued credit for six academic years of full-time probationary service (including any credit for prior service granted at the time of appointment).

7.4.4. Early tenure is for applicants who have not yet achieved credit for six academic years of full-time probationary service (including any credit for prior service granted at the time of appointment).

7.5. Tenure Criteria

7.5.1. Tenure represents the University's long-term commitment to a faculty employee and is only granted when there is strong evidence that the individual who, by reason of their excellent

performance and promise of long-range contribution as a teacher-scholar to the educational purpose of the institution, is deemed worthy of this important commitment. Tenure means the right of a faculty employee to continue at Cal Poly unless voluntarily terminated, terminated for cause, or laid off by factors governed by CBA 38.

7.5.2. Tenure decisions are considered more critical to the University than promotion decisions.

7.5.3. An applicant who does not have the potential for promotion to Associate Professor and Professor should not be granted tenure.

7.5.4. Retention is not a guarantee of tenure.

7.5.5. Tenure is not a guarantee of promotion.

7.5.6. Early promotion is not a guarantee of tenure.

7.5.7. An applicant for tenure must at least fully meet the requirements of their assignment and be making a valuable contribution to the university according to department and college criteria for tenure in each of the following performance areas:

- For instructional faculty: teaching, professional growth and scholarship, service, and other factors of consideration.

7.5.8. An applicant for early tenure must meet department and college, criteria for normal tenure and provide evidence of exceptional performance in each of the following performance areas:

- Be rated during the final probationary years in one of the top two performance categories listed in Section V of Form AP 109 (Faculty Evaluation Form).
- Meet all relevant criteria in the areas of teaching, scholarship, and service for their rank (associate professor or professor).
- Have established a positive trajectory of achievements that demonstrates potential for continuing and substantial contributions to Cal Poly, promotion to the next rank when relevant, and eventual distinction in the field

7.5.9. A candidate for early tenure must provide evidence of superior performance in teaching, scholarship, and service. "Superior" should be understood to mean a quality of work that substantially surpasses the standard for normal tenure and clearly sets the candidate apart from the faculty member's peers. Since a positive tenure decision represents a commitment on the part of the college and university to provide what is essentially a lifetime appointment and is based primarily on the promise of future, rather than the certainty of past contributions, early tenure will rarely be granted and will be considered only in cases of exceptional achievement on all dimensions. Generally, faculty members who received credit for prior experience do not request or receive early tenure because their probationary period has already been reduced.

7.5.10. After consultation with their department chair, a faculty member who would like to be evaluated for early tenure must notify the dean in writing (email is acceptable) with copy to the department chair and evaluations analyst by October 1 of the current RPT cycle.

8. Evaluation of Teaching and Professional Services

8.1. Student Evaluation of Instruction

8.1.1. Policy in 8.4.2 established by AS-759-13. Policy in 8.3.4 established by Administrative Memo AM-20130222. Policy and procedure in 8.4.4 established by AS-821-16. Formulations of policies in 8.4 approved by Academic Senate Consent 4/16/2019 with additional policies in 8.4.5 established by Academic Senate Resolution AS-898-20.

8.1.2. Student Evaluation Instruments

8.1.2.1. All student evaluation instruments must include the following two prompts with responses on an agreement scale:
- "Overall, this instructor was educationally effective,"
- "Overall, this course was educationally effective."

8.1.2.2. All student evaluation instruments must include an opportunity for students to provide narrative comments. Student evaluation instruments may include additional prompts and opportunities for comments at the discretion of departments and colleges. All student evaluation instruments must be proposed by the department and approved by the college and the office of Academic Personnel.

8.1.3. General Criteria for Conducting Student Evaluations

8.1.3.1. The criteria for conducting student evaluations is established in CBA 15.15-15.19, which allows for Campus Presidents to exempt some courses from student evaluations. Administrative memo AM-20130222 establishes the exceptions for Cal Poly. This subchapter presents those exceptions.

8.1.3.2. Student evaluations are required for all classes taught by each faculty unit employee except for the following:
- Courses with low enrollment (fewer than five students) such as individual senior projects and independent study.
- Capstone senior project classes will be evaluated if there are more than 5 students enrolled.
- Student evaluations will not be administered for individually supervised senior projects.
- Cooperative Education courses that do not include direct instruction shall not be evaluated using the student evaluation process. Academic departments or the Career Services Office may use a survey to evaluate the students' co-op experience, but this is not part of the student evaluation process.
- Team-taught classes: In situations when classes are team-taught, the instructor of record shall conduct student evaluations. If there is more than one instructor of record, then copies of the evaluation results shall be placed in each of the instructor's personnel files with a memo indicating that the course was team-taught. Faculty team teaching a course will have the opportunity to write narrative descriptions to accompany the student evaluation results for the team-taught course to add context to the results. Faculty who team-teach a course and believe that the results are not representative of their contributions to the course may request that the dean not include the results associated with this team-taught course in their PAF. After reviewing this request, the dean has the discretion to determine if the student evaluation results of the team-taught course shall be placed in the instructor's file.

8.1.4. Procedure for Conducting Student Evaluation of Instruction

8.1.4.1. Student evaluations of instruction occur during the last week of instruction as defined by the official academic calendar. The evaluation period opens the weekend immediately prior to the last week of instruction and closes at the end of the last day

of the last week of instruction. The last week of instruction and final exam week are defined by the official academic calendar. This period may be adjusted on an ad hoc basis to accommodate for academic holidays.

8.1.4.2.   For courses whose official final assessment is during the last week of instruction according to the academic calendar (e.g. labs or activities with their own final exam or assessment), their evaluation period may be the penultimate week of instruction according to the academic calendar. Requesting the earlier timeline for the evaluation of courses with early final assessments should occur by means of standard procedures of scheduling evaluations as determined by the office of Academic Personnel and communicated to the relevant college and/or program department staff.

8.1.4.3.   Students shall receive notifications of the opening and closing of the evaluation period, and reminders at appropriate intervals during the evaluation period.

8.1.4.4.   Faculty shall receive response rate reports for their evaluated courses during the evaluation period.

8.1.4.5.   Faculty are encouraged to announce to their classes that the evaluation period is underway, and to address questions from students about the nature of the evaluation process and the role of student evaluations in processes of faculty review.

8.1.4.6.   Faculty may at their discretion reserve time in class for students to complete the evaluation on the student's own computer, phone or tablet. Faculty shall comply with any college level procedures about how to implement student evaluations in their classrooms. Whenever practical realities require faculty to remain in the classroom (e.g. lab safety requirements), completion of the evaluation outside of class time is preferable.

8.1.5.   Student Evaluation Results

8.1.5.1.   Placement of student evaluation results in Personnel Action Files is governed by CBA 11.1, 15.15, 15.17.

8.1.5.2.   Results of student evaluations shall be stored in electronic format and incorporated by extension into the Personnel Action File. The dean is the custodian of the PAF and will provide secure access to this information.

8.1.5.3.   Results of student evaluations consist of reports generated for each course evaluated, including a complete accounting of the quantitative responses and all the student comments from a given class section of a course. Policies about filing, storage, and disposition of student evaluation results concern only these reports of student evaluation results.

8.1.5.4.   Results of student evaluations shall only be retained in the PAF for the prior six complete academic years.

8.1.5.5.   Results of student evaluations from classes taught earlier than the prior six complete academic years shall be removed from the PAF, following standard CSU procedures for legal document disposition. The removal of results of student evaluations from the PAF shall normally occur in summer.

8.2.   Observation of instruction

8.2.1.   As part of faculty evaluation processes faculty subject to evaluation shall have their instruction of their students observed by evaluators including department peer review committee (DPRC) members and/or department chairs.

8.2.2.   Observation of classes is an unobtrusive observation of the instructional environment for the class, which may include any of the following:

- Classrooms, laboratories, studios, or any location where classes are normally scheduled.
- Online meetings of the class.

- The current state of online instructional materials as students would encounter them.

8.2.3. Course materials rendered into items included in a faculty member's Working Personnel Action File (WPAF) are not equivalent to the instructional environment. Such materials in the WPAF should be carefully reviewed by evaluators, but such review is not an alternative to observation of the instructional environment.

8.2.4. Per CBA 15.14, class observation requires at least five (5) calendar-day notice of observation coordinated between candidate and evaluator. When classroom visits are utilized as part of the evaluation of a faculty unit employee under this Article, the individual faculty unit employee being evaluated shall be provided a notice of at least five (5) days that a classroom visit, online observation, and/or review of online content is to take place. There shall be consultation between the faculty member being evaluated and the individual who visits his/her class(es) regarding the classes to be visited and the scheduling of such visits.

8.2.5. Observation of synchronous virtual distance learning conducted in regularly scheduled virtual class sessions may be conducted by attendance of the evaluator of the virtual class session, or, if mutually agreeable between the instructor and evaluator, by the viewing of a recording of a virtual class session.

8.2.6. Observation of Asynchronous Online Instruction

8.2.6.1. Observation of asynchronous online instruction should be conducted within a predetermined timeframe established by consultation between the instructor and the evaluator.

8.2.6.2. The evaluator should observe the current instructional environment as students would see it. Evaluators should be granted access to the instructional environment in a mode equivalent to the way students encounter the class and not as the instructor encounters the instructional environment.

8.2.6.3. The instructor may provide the evaluator a guided tour of the instructional environment, and this guided tour may be prerecorded and made available to multiple evaluators. The instructor may grant the evaluator limited access to the online environment of the course so the evaluator may see how students encounter the course on a given occasion for accessing the online instructional environment (e.g. granting the evaluator "observer" status in the learning management system for a mutually agreeable period sufficient for the observation).

8.2.6.4. Other reasonable means of observing the online instructional environment may be negotiated by the instructor and evaluator.

8.2.7. Observation of classes taught in hybrid modalities may include observation of any number of the modalities of instruction.

9. Evaluation of Professional Development [RESERVED FOR FUTURE USE]

9.1. Summary

9.1.1.   This chapter includes general requirements for how evaluation of professional development should be conducted by evaluating bodies. The function of the professional development plan is the central concern of this chapter, both as constructed by the candidate and as assessed by evaluating bodies so as to guide the candidate towards the next personnel action.

9.1.2.   [CITATION OF FOUNDATIONAL SENATE ACTION].

10. Evaluation of Service
[RESERVED FOR FUTURE USE]

10.1. Summary

10.1.1.   This chapter includes general requirements for how the evaluation of service should be conducted by evaluating bodies. Colleges and departments should augment the university expectations to establish expectations about service appropriate to various faculty assignments and ranks.

10.1.2.   [CITATION OF FOUNDATIONAL SENATE ACTION].

11. Governance

11.1. Department Chair Method of Appointment

11.1.1.   The College uses the department chair model of governance for all departments in the college.

11.1.2.   Department chairs are typically appointed to 3-year, renewable terms, though there may be some variance in term lengths across departments.

11.1.3.   Department chairs shall normally be selected from a list of tenured and/or probationary faculty members recommended to the dean by the departmental faculty. (CBA 20.30)

11.1.4.   It is highly desirable that department chairs be tenured members of the faculty, preferably at the rank of professor.

11.1.5.   An untenured, assistant professor would be considered for department chair only under extraordinary circumstances.

11.1.6.   The list of recommended faculty members will be generated using the internal or external search process described below. Ideally, the list of recommended faculty members will include two or three names, though it may include as few as one name under some circumstances.

11.1.7.   Internal searches are the preferred method for selecting new department chairs. Internal searches shall be initiated and conducted in accord with department policies and procedures approved by the dean. Department policies and procedures must include at least the provisions listed below. The department may request assistance from the college in implementing any aspect of their procedures.

11.1.8.   An open call for nominations from all tenured and probationary faculty members.

11.1.9.   A process for confirming willingness to serve if selected.

11.1.10.   An opportunity for each confirmed candidate to address and interact with the faculty about their candidacy.

11.1.11.   A process for determining the acceptability of each candidate to those eligible to vote and for rank ordering multiple, acceptable candidates in a recommendation to the dean. The recommendation will also include reports on any voting/polling and associated comments.

11.1.12.   Those eligible to vote include: tenure-track, tenured, and 12.12 (3 year) lecturers with an appointment in the academic quarter of the vote. All other lecturers will be granted a full advisory vote. These advisory votes will be differentiated and summarized separately form the votes of the 12.12 (3 year) lecturers, tenured faculty, and tenure-track faculty. Lecturers shall be notified regarding the department voting process in the same manner as all tenured and tenure-track faculty. Lecturers eligible to cast a vote or an advisory vote shall be afforded the same opportunity as tenured and tenure-track faculty to attend regularly scheduled department meetings when department chair balloting is scheduled.

11.1.13.   Departments should have recommendations to the dean by the end of winter quarter.

11.1.14.   Based on all information, the dean shall make a recommendation to the provost. If necessary, the dean will consult further with the faculty.

11.1.15.   External searches for chairs are very rare and driven by unusual circumstances in the department. The dean must approve an external search prior to its initiation.

11.1.16.   If a national search is approved, the search committee shall be recommended by the faculty and approved by the dean. Composition of the core of the search committee will conform with university, college, and department policies. Because the department chair will advise the dean and contribute to the leadership of the college and university in addition to leading the department and because multiple perspectives will be useful in evaluating external candidates largely unknown to us, the core search committee will be augmented with a chair from another department and an associate dean (ex officio member).

11.1.17. The search committee shall make a recommendation to the department faculty, who will vote and comment on that recommendation.

11.1.18. The search committee's recommendation and the faculty vote and comments shall be submitted to the dean.

11.1.19. If necessary, the dean will consult further with the search committee and the faculty before making a recommendation to the provost.

11.1.20. Interim department chair appointments for one-year terms may be made by the dean. In non-emergency situations, the dean will consult with department faculty before making interim appointments.

11.1.21. Department Chair Responsibilities

11.1.22. The department chair is the department's main administrative faculty member and a key member of the college's leadership team. It is essential that the department chair provide effective communication, in both directions, between the department and the college. The department chair must have the ability to effectively represent their department and the capacity to lead the department in contributing to the attainment of college and university priorities and goals.

11.1.23. Duties of the department chair vary slightly by department; however, department chair responsibilities will always include those prescribed by Academic Personnel.

11.2. Associate Deans Method of Appointment

11.2.1. Associate deans are typically appointed to 5-year, renewable terms.

11.2.2. Associate dean appointments are governed by the Management Personnel Program (MPP) policies of the CSU and state law.

11.2.3. Associate deans can be appointed as the result of either internal or external searches.

11.2.4. Internal searches shall be initiated and conducted in accordance with college and university policies and procedures including:

- An open call for nominations from all tenured and probationary faculty members.
- An opportunity for each confirmed candidate to address and interact with the faculty and staff in the college about their candidacy.
- A consultative process with faculty and staff. This process will consist of an anonymous, online survey sent to all faculty and staff, in which they can comment on the candidate(s) strengths and weaknesses.
- A consultative vote by the department chairs, informed by the broader consultation with faculty and staff. Department chairs will have access to the online survey results.

11.2.5. Based on all information and feedback from the department chairs, faculty and staff, the dean shall make a recommendation to the provost.

11.2.6. External searches for associate dean must receive approval from the provost

11.2.7. If a national search is approved, the search shall be governed by university policies regarding MPP search processes (AS-659-07 - Resolution on Searches for Academic Campus Administrators).

12. Workload

12.1. Summary

12.1.1.   This chapter includes policies covering various aspects of faculty workload, including office hours, assigned time, Summer and Extended Education teaching, FERP or PRTB workload.

12.2. Office Hours

12.2.1.   Faculty hold office hours as per UFPP 12.2 established by AS-886-20 and revised by AS-829-22. This policy supersedes the previous university policy on office hours originally in CAM 370-2.

12.2.2.   Cal Poly's Educational Mission: "Cal Poly is committed to excellence in teaching and learning. In all disciplines, we seek to provide a student-centered, learner-focused education, facilitated by a low student-teacher ratio in classes conducted primarily by full-time, regular faculty. The cornerstone of our educational philosophy is our commitment to Learn by Doing whereby classroom instruction is complemented by practical, hands-on learning in the laboratory, the studio, and the field." (Cal Poly Catalog)

12.2.3.   Each faculty member must schedule and conduct office hours each week for consultation with students. One-on-one, direct, personal engagement between students and their instructors and faculty advisors in regularly scheduled office hours is a vital means of contributing to the student-centered mission of Cal Poly.

12.2.4.   Asynchronous communication (e.g. email) with students and ad hoc appointments to meet with students are expected normal instructional duties distinct from scheduled office hours.

12.2.5.   An office hour is one credit hour (i.e. 50 minutes) of regularly scheduled time for faculty to be available to meet on regularly scheduled days and times.

12.2.6.   Faculty with instructional assignments shall hold scheduled office hours scaled to their instructional assignments. Scheduled office hours should be held during the days and times when classes are normally scheduled, distributed across days and at times suited to the needs of students. During final exam week office hours may be rescheduled as necessary, and should be suited to the needs of the students served in the instructional assignment.

12.2.7.   Colleges that assign duties warranting the holding of office hours shall include office hour policies in their personnel policies documents.

12.2.8.   **Scheduled instructional office hours**

12.2.8.1.   Minimum weekly office hour scheduling shall be scaled to instructional assignments as follows:

Instructional WTU	Lecturer	Tenure-Line
> 0 up to and including 4	1 office hour	2 office hours
> 4 up to and including 8	2 office hours	3 office hours
> 8 up to and including 12	3 office hours	4 office hours
> 12	4 office hours	

12.2.8.2.   Faculty receiving assigned time for teaching large format classes shall schedule office hours according to the total WTU for the instructional assignment and assigned time related to that course.

12.2.8.3.   Tenure-line faculty whose instructional assignments have been reduced to zero WTU but who are involved in research or other projects involving supervision of students shall hold a minimum of one regularly scheduled in-person office hour.

12.2.8.4.   Department chairs have instructional and administrative responsibilities that serve the needs of their students. Department chairs shall hold a minimum of four regularly scheduled office hours regardless of their instructional assignment. Department chairs

should consider whether the nature of their programs and their role in relation to students and faculty warrant additional office hours.

12.2.9. Scheduled advising office hours

12.2.9.1. Assigned time for advising duties may have an amount of office hours defined as part of the advising function. Any advising office hours attached to assigned time shall be determined by the instructional unit that issues the assigned time and specified in the assignment. Office hours for advising duties earning assigned time contribute to the total office hour obligation of the faculty member.

12.2.9.2. Department chair and head responsibilities shall include the requirements for the scheduling of advising office hours required for their assignment. Colleges shall determine the minimum office hours required for department chairs and heads.

12.2.10. Mode of office hours

12.2.10.1. The mode of scheduled office hours should meet the needs of students for the instructional or advising function that requires the scheduling of the office hours.

12.2.10.2. Acceptable modes of holding scheduled office hours include office hours held in-person or held synchronously online using technology readily available to the campus community and generally available to the students served by the office hours (e.g. Zoom).

12.2.10.3. Scheduled office hours held in-person should be in the faculty member's office or some other definite and regular location.

12.2.10.4. Colleges and departments shall specify in their office hour policies any general allowances or requirements for alternate locations or synchronous online modes of conducting office hours.

12.2.11. Notification

12.2.11.1. Office hours shall be posted by the beginning of the second week of instruction in faculty listings on department websites. Colleges and instructional units can determine additional ways for posting office hours that conspicuously and conveniently inform the university community of when and where office hours shall be conducted, such as common boards at department offices, on placards near faculty offices, or other online directories.

12.2.11.2. If the university adopts a standard online directory generally accessible to the university community that is capable of presenting faculty schedules, then office hours should be posted in such an online directory.

12.2.11.3. Faculty should notify enrolled students and department administrators and administrative support staff of any need to cancel, reschedule, or relocate office hours in a timely manner appropriate to the needs of the students served by those office hours.

12.2.12. Exceptions

12.2.12.1. Exceptions to the policies about the scheduling of instructional and advising office hours should coordinate the needs of the instructor and the students given the nature of the instructional or advising assignment.

12.2.12.2. Exceptions require department chair/head and college dean approval.

12.2.12.3. Exceptions should be temporary and specific.

12.2.12.4. Exceptions that extend beyond a specific instructor's temporary needs should be treated as a basis for revisiting the college or department office hour policies.

12.2.12.5. Colleges and departments with standing needs that deviate from university policy should treat those needs as a basis for asking the Academic Senate Faculty Affairs Committee to revisit university level office hour policies.

12.3. Assigned Time for Exceptional Levels of Service to Students

12.3.1. Policy in 12.3 established by Academic Senate Consent 2/9/2021.

12.3.2.   Pursuant to CBA 20.37 and in support of California Polytechnic State University San Luis Obispo (Cal Poly's) Mission and Strategic Plan, exceptional service awards are intended to recognize faculty who have a demonstrated commitment to working on issues faced by our diverse student population.

12.3.3.   Exceptional Student Service Committee (ESSC)

12.3.3.1.   Each academic college shall be a constituency and shall have a representative on the Exceptional Student Service Committee (ESSC). The Academic Senate chair may assign the functions of the ESSC to a standing Academic Senate committee. When a standing committee takes on the ESSC function, that committee shall adhere to the criteria for ATESS independent of any other charges or mission of that committee.

12.3.3.2.   The committees serving the functions of the ESSC shall include one faculty member from each constituency defined above appointed by the Academic Senate Executive Committee, a student appointed by the Associated Students, Inc., and an ex officio nonvoting administrative member appointed by the provost or designee.

12.3.3.3.   Faculty on a committee serving the functions of ESSC who apply for assigned time under ATESS shall recuse themselves from all work involved in ESSC and shall not attend any meetings concerning ESSC work, nor participate in any discussions about ESSC work. The Academic Senate Executive Committee may appoint another faculty member from the recused faculty member's constituency to serve the role of the recused member in relation to the functions of ESSC.

12.3.3.4.   The functions of ESSC shall be:

- Evaluate faculty applications for assigned time for exceptional levels of service to students.
- Make recommendations based on those evaluations to the provost.
- Periodically review and, if needed, make recommendations for changes in this policy to the Faculty Affairs Committee (FAC).

12.3.4.   Eligibility and Restrictions

12.3.4.1.   All Unit 3 faculty employees are eligible to submit a proposal to request assigned time for exceptional levels of service to students.

12.3.4.2.   Faculty who have previously received assigned time under this program will be eligible to apply for another assigned time award.

12.3.4.3.   In order to support new or currently unfunded activities, rather than to enhance existing support for ongoing activities, faculty members already receiving other sources of assigned time or compensation for the same activities on the list of Supported Activities below shall not be eligible for support from this program for that very same activity.

12.3.5.   Timeline for Application Process

12.3.5.1.   Application for assigned time shall be for activities in the subsequent academic year. A timeline for applications shall be announced in the notification sent to faculty upon the opening of the application period.

12.3.5.2.   The applicant's department chair/head submits the application materials to the applicant's dean, who then submits the applications to the ESSC. The ESSC reviews applications and submits its recommendations to the provost in time for applicants to be notified of the status of their applications.

12.3.6.   Application Materials

12.3.6.1.   The distribution of application materials concerning assigned time for exceptional levels of service to students should target department chairs/heads, program directors and students to encourage applications from faculty they view as having taken on extraordinary burdens in the related categories of service to students in relation to th aims of the program as stated in UFPP 12.3.3.

12.3.6.2.   An application for assigned time to support exceptional levels of service to students shall consist of:

- Description of the nature of the exceptional service being provided to students and how it goes significantly beyond the normal expectations of the faculty member's assignment.
- Account of direct benefits to students and the student beneficiaries of the exceptional service being provided.
- Description of other assigned time or compensation for exceptional service during the current academic year and expected for the subsequent academic year.
- Justification of how the WTUs requested correlate work effort with course release.
- Account of previous success in comparable service.
- The faculty applicant's current curriculum vitae (CV), highlighting relevant prior service activities similar to those for which assigned time is being sought;
- A statement from the department chair or head about the merit of the proposal in relation to the faculty member's assignment, verification that no other source of assigned time or compensation has been provided for the same general activity, an account of the appropriateness of the requested assigned time for course release for the applicant; and
- The college dean's recommendation.
- Incomplete applications will not be reviewed.

12.3.7.   Supported Activities

12.3.7.1.   This assigned time is for service to students in relation to the department, college, university, or community that goes significantly beyond the normal expectations of a faculty member's assignment. The following activities may be supported:

- Student mentoring, advising, and outreach that goes significantly beyond the normal expectations of a faculty member's assignment;
- Activities that support underserved, first-generation, and/or underrepresented students, including those caused by cultural taxation;
- Curricular redesign intended to improve student access and success;
- Other extraordinary forms of service to students beyond the normal expectations of a faculty member's assignment.

12.3.8.   Review Criteria

12.3.8.1.   The ESSC assesses applications based upon application materials including the narrative description of how the proposed service meets the following criteria:

- A clear delineation of how the service to the students goes beyond the normal expectations of the applicant's assignment;
- Justification for how the amount of assigned time requested correlates the service activity with the requested WTU;
- Demonstrated ability to be successful in accomplishing project goals and previous work in this area.

12.3.9.   Recommendations

12.3.9.1.   The ESSC shall rate each proposal based on the established criteria and rank order the proposals by total rubric score.

12.3.9.2.   The ESSC shall submit its evaluations and the application materials to the provost who shall make the final determination regarding the approval or denial of the proposals.

12.3.10.   Information Provided to Applicants

12.3.10.1.   The Provost will forward their approval or denial of assigned time, and the basis for the denial of assigned time, to the applicant.

12.3.11.   Appeals

12.3.11.1.   Within 10 days following receipt of the provost's decision, applicants may appeal the a denial of assigned time to the associate vice-provost for academic personnel. Appeals will be forwarded to the Faculty Affairs Committee for consideration. The FAC will consider the appeal at their next scheduled business meeting and will respond to the appellant in writing with a copy to the provost. Decisions of the FAC shall be final and binding and are not subject to the grievance procedures specified in Article 10 of the CBA.

12.3.12.   Effective Dates

12.3.12.1.   The policies and procedures in this document are an implementation of Article 20, section 37 of the CBA and dependent upon any successor CBA to include additional awards in future years.

12.3.12.2.   Academic Personnel shall maintain an updated calendar for the operations of the ESSC and the awarding of this assigned time for each academic year it is in effect.

12.3.13.   Assigned Time Budget and Reporting

12.3.13.1.   There is no CSU allocation provided to support assigned time. Campuses are required to self-fund the assigned time allocations based on the number of full-time equivalent students at each campus. At Cal Poly, the assigned time will be funded by the provost.

12.3.13.2.   As per CBA 20.37 Cal Poly shall expend all assigned time allocated under this program, and Cal Poly shall provide an accounting of assigned time expended for this program for the prior fiscal year by no later than November 1of the subsequent year to the ESSC, the FAC, the Academic Senate, campus CFA president, and the CSU.

12.3.13.3.   All assigned time allocations must be expended in the academic year per restrictions specified in UFPP 12.3. For accounting purposes, costs of assigned time shall be calculated based on the minimum salary for an assistant professor. Awards from appeals shall not exceed 10% of the annual budget for assigned time and shall be funded in the subsequent academic year. During the last year of the Collective Bargaining Agreement, appeals must be funded from the funds for that year, including any rollover from previous years.

12.4. Sabbatical and Difference in Pay Leaves

12.4.1.   Policy in 12.4 established by Academic Senate Resolution AS-908-21, with revisions approved by Academic Senate Consent 5/4/2021.

12.4.2.   Sabbatical and difference-in-pay leaves are intended to provide a benefit to the university through research, scholarly and creative activity, instructional improvement, or faculty retraining.

12.4.3.   Deans or appropriate administrators are responsible for notifying eligible faculty and advising them of the application deadline.

12.4.4.   Sabbatical Leave Eligibility

12.4.4.1.   Full-time faculty unit employees are eligible to take an approved sabbatical leave after completing six academic years of full-time service within the past seven years, or at least six years after a previous sabbatical or difference-in-pay leave. Service credit granted towards the completion of the probationary period for tenure-track faculty shall also apply towards fulfilling the eligibility requirement for a sabbatical.

12.4.4.2.   Eligible academic year faculty unit employees may apply for a sabbatical leave of one quarter in length at full pay, two quarters at 75% pay, or three quarters at 50% pay.

12.4.4.3.   Applications for three-quarter sabbatical leaves shall meet the criteria set forth in CBA 27.5-27.8, including consideration of the quality of the proposal, effect on the curriculum and the operation of the department, other campus program needs, and campus and college budget implications.

12.4.5. Difference-in-Pay Leave Eligibility

12.4.5.1.   The initial eligibility requirement for a difference-in-pay (DIP) leave is the same as for sabbatical leaves (six years of full-time service within the past seven years).

12.4.5.2.   For a subsequent DIP leave, faculty unit employees become eligible after serving full-time for three academic years following the last sabbatical or DIP leave.

12.4.6. Faculty Classifications During Leave Periods

12.4.6.1.   Current 12-month faculty who are granted leave with pay may remain in 12-month status for the duration of the approved leave. Eligible 12-month faculty unit employees may apply for a sabbatical leave of 3 months in length at full pay, 6 months at 75% pay, or 9 months at 50% pay. The start date of a sabbatical leave for a 12-month faculty employee with instructional responsibilities shall coincide with the start date of the appropriate academic term.

12.4.6.2.   Per CBA 27.13 and 31.27, while on a sabbatical or difference-in-pay leave during an appointment as department chair/head the faculty employee shall not receive the department chair/head salary increase. Faculty employees serving as academic year department chair/head (class code 2482) shall be assigned to academic year instructional faculty classification (class code 2360) for the duration of the sabbatical or difference-in-pay leave. Faculty employees serving as 12-moth department chair/head (class code 2481) shall be assigned to 12-month instructional faculty classification (class code 2361) for the duration fo the sabbatical or difference-in-pay leave. An acting chair/head shall be appointed for the duration of the leave period.

12.4.6.3.   Grant-related instructional faculty (GRIF) must be converted to instructional faculty classifications for the duration of leave.

12.4.7.   Sabbatical and DIP leave applications must include clearly stated outcomes that benefit the university or CSU. It is critically important that those involved in reviewing leave applications recommend approval only of those applications that satisfy departmental, college and university criteria and meet the requirements of Articles 27.5-27.7 and 28.7-28.9 of the CBA.

12.4.8. Department Leave Committee (DLC)

12.4.8.1.   As per CBA 28.7, difference in pay leave requires review by a Department Leave Committee (DLC). DLC members shall be elected by tenured and probationary faculty from that department. Faculty members eligible for membership are tenured, and not applying for a leave with pay. The DLC shall review all DIP leave applications and make a recommendation based on the quality of the leave proposal. The recommendation of the DLC is included in the application sent to the department chair/head.

12.4.8.2.   Departments may choose to have their DLC review applications for sabbaticals. If so, the composition of the committee and its responsibilities are the same as for review of DIP leave applications. Departments choosing to have the DLC review sabbatical applications shall specify this process in their personnel policies.

12.4.8.3.   Departments shall configure their DLC so that their representative to their college's Professional Leave Committee (PLC) is not reviewing leave cases within the department.

12.4.9. Department Chair/Head Recommendations

12.4.9.1.   Department chairs/heads shall state in a candidate's application whether the department has adequate resources to replace faculty members, and whether such a leave, if approved, would cause undue hardship to offer the department's program(s), and how the department will meet their teaching and other needs.

12.4.9.2. If an applicant is the current department chair/head, the appropriate associate dean shall make the equivalent recommendation.

12.4.10. College Professional Leave Committees (CPLC)

12.4.10.1. As per CBA 27.5, CPLC members shall be composed of tenured faculty who are not applying for a sabbatical or DIP leave.

12.4.10.2. The CPLC shall review its leave applications to form recommendations to the dean or appropriate administrator based on the quality of the proposals. There will be no interview for leave applicants.

12.4.10.3. The CPLC shall rank order all recommended sabbatical leave applications, and separately rank order any DIP leave applications under the scope of its review. The CPLC report shall clearly state to the dean or appropriate administrator the reasoning for the rank ordering of leave applicants and the reasons for recommending denial of an application. This report shall be forwarded to the dean or appropriate administrator along with the leave applications.

12.4.10.4. CPLC members shall be elected annually from each department in the college. Tenured and probationary faculty in the department elect one departmental representative to the CPLC. The CPLC shall elect one of its members as chair of the CPLC. CPLC will also review DIP leave applications within the college.

12.4.11. Dean Recommendations

12.4.11.1. The dean shall review all sabbatical and DIP leave applications in their faculty units and make recommendations to the provost.

12.4.11.2. The dean shall consider at least the following points when making recommendations for sabbatical and DIP leaves:
- Benefit of the leave to the university
- Merit of the proposal
- Recommendations of the prior levels of review
- Program needs
- Campus budget implications.

12.4.11.3. The dean shall verify that post-leave reports have been completed for all previous sabbatical and DIP leaves prior to recommending approval.

12.4.11.4. The dean shall rank order all sabbatical leave applications that are being recommended (including all one, two- and three-quarter sabbatical applications). The dean shall separately rank order all DIP leave applications that are being recommended.

12.4.12. Provost Decision

12.4.12.1. The provost is the final level of administrative evaluation for sabbatical and DIP leave.

12.4.12.2. The provost shall review the candidate's materials and reports from all levels of evaluation.

12.4.12.3. The provost's letter to the candidate constitutes the final decision on sabbatical and DIP leave.

12.4.12.4. As per CBA 27.8 sabbatical leaves denied in the immediately prior year due to factors related to UFPP 12.4.10.1 shall not be denied based on those same factors.

12.4.13. A copy of the completed leave application form with all appropriate signatures and a copy of the leave abstract and detailed leave proposal shall be placed into the candidate's Personnel Action File (PAF).

12.4.14. Leave recipients shall submit a post-leave report to the college dean (with a copy to the department chair/head) within two months of their return from leave. The college dean is responsible for requesting and ensuring that the required post-leave report is obtained from each faculty member who took sabbatical or DIP leave upon the faculty

member's return to teaching. Upon receipt, the post-leave report shall be filed in the faculty member's PAF.

12.4.15. Following the conclusion of faculty sabbatical or DIP leaves, the CBA articles 27 and 28 require recipients to return service to the CSU equivalent to the period of leave taken. Faculty who fail to return to Cal Poly employment will be required to repay the university for the amount of salary and benefits earned for the duration of their leave.

12.5. Faculty Early Retirement Program (FERP)

12.5.1. A FERP participant is deemed a tenured faculty employee whose time appointment and assigned responsibilities are specified in their FERP agreement. As such, a FERP participant continues to enjoy most academic privileges and is subject to most academic responsibilities associated with the tenured faculty in the College of Liberal Arts at Cal Poly. A few clarifications and limitations are noted below.

12.5.2. Service on Committees
- A FERP participant who includes IRR's in their plan shall be eligible to serve on governance committees whose assignments are normally completed during the period of FERP employment. (CBA 29.19)
- A FERP participant who includes IRR's in their plan shall be required to attend department meetings and perform their share of assigned service duties.

12.5.3. Service on Review Committees
- FERP participants are not normally eligible to serve on peer review committees constituted for the purpose of retention, promotion or tenure. However, at the request of the department, the dean has been delegated the authority to approve the inclusion of FERP participants as members of the PRC as long as the PRC does not solely consist of FERP participants. A FERP participating on a PRC must be able to complete all work during their FERP assigned quarter(s). (CBA 15.38 & CBA 29.19)
- FERPSs may participate in evaluating lecturers.

12.5.4. Office Space
- Office space will be provided to FERP faculty proportionate to their FERP time base (i.e., two .50 FTE faculty would share an office).

12.5.5. Leaves
- FERP participants are not eligible for sabbatical leaves, DIP leaves, or leaves without pay.

12.6. Pre-Retirement Reduction in Time Base (PRTB)

12.6.1. PRTB participants shall not be eligible for sabbatical leaves, DIP leaves, or leaves without pay.

12.6.2. A PRTB participant shall be required to perform normal responsibilities, duties, and activities pro rata (CBA 30.13)

Glossary

Abstention Votes
Abstentions should be made only for strong and compelling reasons (e.g., conflict of interest). Abstentions do not count as either positive or negative votes. A PRC member or department chair who abstains from voting is expected to provide written rationale for the abstention.

Academic Year   [CAP 211.5]
The term "academic year" refers to the period of time from September through June and consists of three consecutive quarters: fall, winter and spring quarters.

Article
The term "article" refers to an essay of substantial length and scholarship. The term does not refer to "letters to the editor," nor does it refer to the type of brief, sometimes observational piece which may appear in journals under headings such as "Notes and Queries," etc.

Calendar Year   [CBA 2.4]
The term "calendar year" refers to the period of time from January 1 through December 31.

CBA/CFA   [CBA 2.7]
The Collective Bargaining Agreement between the California Faculty Association and the Board of Trustees of the California State University.

Day   [CBA 2.11]
A calendar day; computed by excluding the first day and including the last day, unless the last day is a holiday or other day on which the Employer is not regularly open for business, and then it is also excluded.

Difference-In-Pay Leaves   [CBA 28.1 – 28.16]
Full-time faculty members, except coaches, are eligible to apply for a difference-in-pay leave after serving full time for six years preceding the leave. For a subsequent difference-in-pay leave, a faculty member is eligible after serving three years following the last sabbatical or difference-in-pay leave. The salary for a difference-in-pay leave for a faculty employee is the difference between the individual's salary and that of the minimum salary of Instructor. Applications must be submitted to the department chair by November 1 of the academic year preceding the proposed leave.

Employment Equity Facilitator http://www.employequity.calpoly.edu/eef.html
The role of the Employment Equity Facilitator (EEF) is to ensure that the staff or faculty screening committee they serve on adheres to equal employment opportunity practices during all phases of the search and selection process, and to address concerns and respond to all questions concerning the equal consideration of all applicants. The EEF must have current training to serve in this capacity.

Faculty Early Retirement Program (FERP)   [CBA 29.1 – 29.22]
Tenured faculty who have reached age 55 and are eligible to retire under the Public Employees' Retirement System (PERS) who apply for service retirement may be eligible to participate in the Faculty Early Retirement Program (FERP). Participants may elect to teach up to 50% of their annual time base preceding retirement (i.e., up to 22.5 WTU for a full-time faculty member) each academic year for a maximum of five academic years under FERP. The salary during FERP employment is in accordance with the regular faculty salary schedule. Eligible tenured faculty must notify the provost and executive vice president for Academic Affairs in writing at least six months prior to the beginning of the campus academic year that the professor chooses to participate in FERP.

Forthcoming/In Press
A work that is unconditionally accepted for publication. For traditional scholarly publications, such as books, book chapters, and journal articles, this means that the manuscript must be fully and unconditionally accepted by the publisher, in the publisher's possession, require no further revisions by the author, and have a scheduled publication date with additional work required only by the publisher to move the manuscript to publication.

Peer Review Committee   [CBA 15.40]
Committee of tenured faculty unit employees for the purpose of reviewing and recommending faculty unit employees who are being considered for retention, award of tenure, and/or promotion.

Peer Reviewed / Refereed
The terms 'peer reviewed' and 'refereed' refer to objective scholarly or creative judgments made by independent editors or readers. External peer review must also meet the standards of, and satisfy the qualitative professional judgments of, the appropriate tenured faculty committees.

Periodic Evaluation   [CBA 15.20 – 15.36]
The process of evaluating faculty on the basis of temporary service (15.23 – 15.27); probationary service (15.28 – 15.31) in a year when retention is not an issue; and service as a tenured faculty member (15.32 – 15.34). Periodic evaluations stress developmental issues and focus on plans for improving a faculty member's effectiveness. The evaluation does not contain formal recommendations regarding retention, tenure, or promotion.

Performance Evaluation   [CBA 15.37 – 15.39b.]
The process of evaluating faculty for retention, tenure, or promotion that leads to formal evaluations, recommendations, and notices of results.

Personnel Action File (PAF)   [CBA 2.17; 11.1]
The one official personnel file containing employment information and information that may be relevant to personnel recommendations or personnel actions regarding a faculty unit employee. Campus medical and police records are not a part of the PAF.

Pre-Retirement Reduction in Time Base (PTRB)   [CBA 30.1 – 30.13]
Tenured faculty between the ages of 55 and 65 who satisfy certain eligibility requirements may reduce their workload to one-third, one-half, or two-thirds time during the five academic years preceding retirement. Participants receive reduced salary in accordance to time-base, but retain full retirement credit and contributions, health/dental/vision insurance, and other benefits. The request to participate should be submitted at least six months before the effective date of the reduction, which must commence with the beginning of an academic year.

Probationary Period   [CBA 13.2]
The period of service, prior to the granting or denial of tenure, credited to a faculty unit employee who has received a probationary appointment.

Professional Development Plan
A Professional Development Plan should describe the ways that a faculty member will be actively engaged in their discipline, the ways in which this engagement will strengthen their teaching, and the planned scholarly contributions to their discipline and to the university. Special attention should be given to how planned accomplishments map onto timelines and criteria for promotion and/or tenure.

Promotion   [CBA 14.1-14.9]
The advancement of a probationary or tenured faculty unit employee who holds academic or librarian rank to a higher academic or librarian rank, or advancement of a Counselor Faculty Unit Employee to a higher classification.

Publication:
The term "publication" refers to the refereed publication of books, articles, fiction, poetry, or creative non-fiction, monographs, or technical reports (or to the equivalent of such publication).

Quorum
Differs among departments but would generally be at least 50% of faculty members.

Retention
Retention is the authorization to continue in probationary status for another year. It should be understood that if a faculty member does not have the potential to achieve tenure, then that individual should not be reappointed. Similarly, a candidate who does not have the potential for promotion to associate professor and professor should not be granted tenure. This does not mean that retention is a guarantee of tenure nor is tenure a guarantee of promotion (University Faculty Personnel Actions 9/29/11).

RPT
R=retention; P=promotion; T=tenure

Sabbatical Leaves   [CBA 27.1 – 27.20]
Sabbatical leaves with pay may be granted to employees if the study, research or travel is determined to be of a nature valuable to the university. Full-time faculty members, except coaches, are eligible to apply for a sabbatical leave after completing six academic years of full-time service. Applications must be submitted to the department chair by November 1 of the academic year preceding the proposed leave. Sabbatical leave compensation for academic year employees is:
   ◆ one quarter at full pay; or   ◆ two quarters at three-quarters pay; or   ◆ three quarters at one-half pay.

Temporary Appointments   [CBA 12.3 – 12.11]
Individuals appointed as lecturers or coaches serve in non-permanent academic assignments. Such appointments are temporary in nature and are made for specified terms. Temporary appointments automatically expire at the end of the period stated in the letter of offer and do not establish any further appointment rights.

Tenure   [CBA 13.14 – 13.20]
The right to continued permanent employment at the campus as a faculty unit employee except when such employment is voluntarily terminated or is terminated by the Employer pursuant to this agreement or law.

Three-Year Appointments   [CBA 12.12 – 12.15]
Temporary faculty unit employees (excluding coaches) employed during the prior academic year and possessing six or more years of prior consecutive service on that campus, and have received a satisfactory evaluation on their cumulative evaluation in their sixth year, shall be offered a three-year temporary appointment.

Working Personnel Action File (WPAF)   [CBA 2.17]
The term "Working Personnel Action File" refers to that portion of the Personnel Action File used during the time of periodic evaluation or performance evaluation of a faculty unit employee.

Structure and Content of the WPAF

The WPAF is a file compiled by the faculty member for use during a periodic evaluation or performance evaluation. Beginning in 2018, all new files are to be compiled using digital services. The Dean's Office will provide information on access and training with regard to setting up this digital file. The WPAF contains material the faculty member deems important to the evaluation, including the materials called for below. The digital WPAF will be organized and tabbed as outlined below.

I.   **Index of Material** ♦

The candidate will provide a comprehensive index of their WPAF. The index will be placed in the PAF at the conclusion of the evaluation cycle as a historical record and should be detailed enough to reconstruct the WPAF should that be necessary. As a component of the index, candidates will complete and update an Index Cover Page with basic identifying information.

II.   **Curriculum Vitae (CV)** ♦

The candidate will provide an updated CV with new accomplishments in each evaluation <mark>cycle highlighted (use highlighter function in Word, not Adobe)</mark>. Please redact or remove home addresses, personal phone numbers, and other sensitive information to maintain your privacy.

III.   **Professional Development Plan**♦

The required Professional Development Plan form should detail a five-year plan that focuses on the ways a faculty member intends to be actively engaged in their discipline, proposed scholarly and/or creative contributions to the discipline and to the university and the means by which this activity will strengthen their teaching. Probationary faculty are encouraged to work with their department chair to design a professional development plan aimed at earning eventual tenure and/or promotion according to the criteria of the department, college, and university. Additionally, faculty are encouraged to explain how they have responded to previous suggestions from reviewers, if applicable.

As part of the professional development plan, we ask faculty to consider addressing how their teaching, service, and/or scholarship supports college and university efforts in diversity, equity, and inclusion. For example, faculty may provide information on use of inclusive teaching methods and/or integration of diversity into courses (e.g., contributions to the discipline by those from historically underrepresented groups or discussions of diversity, equity, and inclusion issues from past and current contexts within the course), as well as your completion of any trainings or workshops designed to improve inclusive teaching strategies (e.g., TIDE, accessible document design, etc.), book circles devoted to teaching with attention to diversity and inclusion, or creation of new courses or special topics related to these areas.

IV.   **Summary of Courses Taught**

Quarter; Year; Course; Format; Enrollment; Course Section Category Totals Mean; Department Category Totals Mean; and Notes (Excel template will be provided by dean's office – be sure to review for accuracy and completeness)

*Grade Distribution – Required for Communication Studies, English, and Philosophy
Grade distribution material will be provided by the department. *Only departments required to provide information will see this section in their eWPAF.

I.   **Teaching Performance**

The candidate will ensure that their WPAF contains ample supporting materials addressing performance criteria and standards necessary for responsible recommendations/decisions by evaluators. Evaluators will "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 courses, relevance of instruction to course objectives, methods of evaluating student achievement, relationship with students in class, effectiveness of student advising, and other factors relating to performance as an instructor. (Include results of Student Evaluation Program.)" *Faculty Evaluation Form - AP 109* Samples of student work should be redacted to keep the student's identity anonymous.

Evidence provided in the WPAF should include:

A representative sample of syllabi and other course materials covering the full range of the faculty member's teaching assignment. Course materials should be arranged by course and should include student work with instructor feedback (e.g., exams, grading rubrics, graded papers, etc.). Note: It is helpful to provide the questions or assignments that initiated the student responses included in this section. Names on samples of student work should be redacted to keep student identities anonymous. Many departments also ask for a statement of teaching philosophy; please check with your chair to find out your department's preference.

II. Professional Growth and Achievement

The candidate will provide copies of professional growth and achievement materials as evidence that they have met the criteria for tenure and/or promotion. Evaluators will "Consider such factors as the faculty member's educational background and further academic training, related work experience and consulting practices, scholarly and creative achievements, participation in professional societies, publications, presentation of papers at professional and scholarly meetings, and external validation of scholarly activities." *Faculty Evaluation Form - AP 109*

Evidence provided in the WPAF, if applicable, should include:

Copies of published, peer-reviewed work; accepted but as yet unpublished work, with a copy of the letter of acceptance for each; copies of papers presented at conferences, with a copy of the relevant section(s) of the conference program; samples of works in progress or under submission; successful grant proposals or submitted grant proposals, with verification of status; invited presentations; and/or evidence of juried exhibitions or performances, copies/recordings of creative works exhibited or performed, and invited exhibitions and performances.

○ When citing co-authored or multi-authored publications, include a brief statement explaining the level and nature of your contributions to that publication.

○ Distinguish clearly between work that is in progress and work that is already completed (in press, accepted for publication, accepted for publication with revisions, submitted/under review.)

○ If you have made a presentation at a professional conference, identify role (keynote, invited, juried, poster session, roundtable, workshop), and identify audience and the standing or significance of the sponsoring organization.

III. Service to University, Students, and Community

Evaluators will "Consider such factors as the faculty member's participation in academic advisement; placement follow-up; co-curricular activities; diversity-related activities; department, college and university committees; Academic Senate and its committees; individual assignments; systemwide 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." *Faculty Evaluation Form - AP 109*

Evidence provided in the WPAF, if applicable, should include:

Documentation of departmental, college, university, professional, and/or community service committee participation, including your role on the committee (member, co-chair, chair). Other types of service may include participation in diversity trainings and workshops (UndocuAlly, e.g.), guest lecturing in classes, serving as a BEACoN mentor, advising a club or organization, and advising students generally. Service to the profession and community are important to document, too. Documentation of service may include a letter from the organizer (e.g. a letter from the committee chair acknowledging your contributions; a thank you email from a journal editor for your peer review; a letter from the community organization thanking you; etc.). Candidates who provided substantive service to their department, the college, the university, the community and/or profession (e.g., if you were a chair or co-chair of a departmental, college, university, professional, or community service committee) should provide a year-end report of its activities or a brief list of its accomplishments.

♦ Item will be retained and placed in the Personnel Action File at the conclusion of the performance evaluation/periodic evaluation.

I. **Index**

The candidate will provide a comprehensive index of their WPAF. The index will be placed in the PAF at the conclusion of the evaluation cycle as a historical record and should be detailed enough to reconstruct the WPAF should that be necessary. As a component of the index, candidates will complete and update an Index Cover Page with basic identifying information

II. **Resume/Curriculum Vitae (CV)**

The faculty employee will provide an updated Resume/CV for each evaluation cycle. It is helpful to evaluators if new accomplishments to the current cycle are highlighted ==(use highlighter function in Word, not Adobe)==. Please redact or remove home addresses, personal phone numbers, and other sensitive information to maintain your privacy.

III. **Narrative – *Optional****

The Narrative is an integrative statement that provides a brief introduction to the faculty employee's work assignment and may highlight one's teaching philosophy and accomplishments since the last review cycle. Additionally, faculty are encouraged to explain how they have responded to previous suggestions from reviewers, if applicable. The faculty member may also comment on professional development and service as they contribute to maintaining currency in one's field of expertise. In addition, we recommend that faculty provide information on use of inclusive teaching methods and/or integration of diversity into courses (e.g., contributions to the discipline by those from historically underrepresented groups or discussions of diversity, equity, and inclusion issues from past and current contexts within the course), as well as your completion of any trainings or workshops designed to improve inclusive teaching strategies (e.g., TIDE, accessible document design, etc.), book circles devoted to teaching with attention to diversity and inclusion, or creation of new courses or special topics related to these areas.

Please be in touch with your chair to assess the importance of this optional addition; different departments may value this differently.

*Range Elevation cases will require a Narrative / Range Elevation Cover Letter.

IV. **Teaching Performance – Summary of Courses Taught**

Quarter; Year; Course; Format; Enrollment; Course Section Category Totals Mean; Department Category Totals Mean; and Notes. (Excel template will be provided by dean's office – be sure to review for accuracy and completeness)

*Grade Distribution – Required for Communication Studies, English, and Philosophy
Grade distribution material will be provided by the department. *Only departments required to provide information will see this section in their eWPAF.

V. **Teaching Performance – Support Materials**

Evidence of teaching performance includes representative syllabi and other course materials covering the full range of the faculty member's teaching assignment. Course materials should include graded student work with instructor feedback (e.g., exams, grading rubrics, papers, etc.). Note: It is helpful to provide the questions or assignments that initiated the student responses included. Names on samples of student work should be redacted to keep student identities anonymous. Many departments also ask for a statement of teaching philosophy; please check with your chair to find out your department's preference.

VI. **Other**

Evidence of professional accomplishments that contribute to maintaining currency in the faculty employee's field of expertise such as workshop and/or conference participation; research, scholarship, and/or creative activity; and service activities, if applicable. Other types of service may include participation in diversity trainings and workshops (UndocuAlly, e.g.), guest lecturing in classes, serving as a BEACoN mentor, advising a club or organization, and advising students generally. Service to the profession and community are important to document, too, if they relate to demonstrating currency in the field. Documentation of service may include a letter from the organizer (e.g. a letter from the committee chair acknowledging your contributions; a thank you email from a journal editor for your peer review; a letter from the community organization thanking you; etc.).

Appendix B   **Performance and Periodic Evaluation Schedule**

CLA will follow a two-year retention pattern with the initial two-year appointment.

With **no** credit at hire – 1-6 (2 year appointment)

Year at Cal Poly	Year on Tenure Clock	Review/Evaluation	Positive Action
1	1 of 6	Periodic Evaluation	NA
2	2 of 6	Retention Performance Evaluation	2 year appointment*
3	3 of 6	Periodic Evaluation	NA
4	4 of 6	Retention Performance Evaluation	2 year appointment*
5	5 of 6	Periodic Evaluation	NA
6	6 of 6	Tenure and/or Promotion Evaluation	Tenure and/or promotion

Total Periodic Evaluations = 3   Total Performance Evaluations = 3

With **one** year credit at hire – 2-6 (2 year appointment)

Year at Cal Poly	Year on Tenure Clock	Review/Evaluation	Positive Action
1	2 of 6	Periodic Evaluation	NA
2	3 of 6	Retention Performance Evaluation	2 year appointment*
3	4 of 6	Periodic Evaluation	NA
4	5 of 6	Retention Performance Evaluation	1 year appointment
5	6 of 6	Tenure and/or Promotion Evaluation	Tenure and/or promotion

Total Periodic Evaluations = 2   Total Performance Evaluations = 3

With **two** year's credit at hire – 3-6 (2 year appointment)

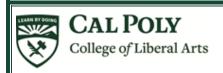| Year at Cal Poly	Year on Tenure Clock	Review/Evaluation	Positive Action
1	3 of 6	Periodic Evaluation	NA
2	4 of 6	Retention Performance Evaluation	1 year appointment
3	5 of 6	Retention Performance Evaluation	1 year appointment
4	6 of 6	Tenure and/or Promotion Evaluation	Tenure and/or promotion

Total Periodic Evaluations = 1   Total Performance Evaluations = 3

*If a candidate is showing weakness in an area(s), then a full performance evaluation may be required the following year instead of a periodic evaluation resulting in a one year appointment instead of a two year appointment. Likewise, if a candidate felt at any time that a full performance evaluation would be helpful or in their best interest that candidate could request and receive one.

Note: For appointments that begin winter or winter/spring, the candidate will undergo the first periodic evaluation the following winter term. Four (4) or five (5) quarters will constitute the first probationary year.

Evaluation Type	Evaluation Process	Class Observation Required by:	WPAF Material Required:
Retention	**4-Stage** (DPRC, Chair, Dean, Provost)	DPRC, Chair	Prior year or since close of file of last evaluation
Periodic	**3-Stage** (DPRC, Chair, Dean)	DPRC* and/or Chair	Prior year or since close of file of last evaluation
Promotion to Associate Professor	**5-Stage** (DPRC, Chair, Dean, CPRC, Provost)	DPRC, Chair	Entire tenure-track
Promotion to Full Professor	**5-Stage** (DPRC, Chair, Dean, CPRC, Provost)	DPRC, Chair	Since close of file of last evaluation
Early Promotion to Associate Professor	**5-Stage** (DPRC, Chair, Dean, CPRC, Provost)	DPRC, Chair	Entire tenure-track
Early Promotion to Full Professor	**5-Stage** (DPRC, Chair, Dean, CPRC, Provost)	DPRC, Chair	Since close of file of last evaluation
Tenure	**4-Stage** (DPRC, Chair, Dean, Provost)	DPRC, Chair	Entire tenure-track
Early Tenure	**4-Stage** (DPRC, Chair, Dean, Provost)	DPRC, Chair	Entire tenure-track
Post-Tenure	**3-Stage** (DPRC, Chair, Dean)	DPRC* and/or Chair	Since close of file of last evaluation
Range Elevation	**3-Stage** (DPRC, Chair, Dean)	DPRC* and/or Chair	Entire period of rank or last six years, whichever is greater
3-Year Cumulative	**3-Stage** (DPRC, Chair, Dean)	DPRC* and/or Chair	Previous 3-year period
6-Year Cumulative	**3-Stage** (DPRC, Chair, Dean)	DPRC* and/or Chair	Previous 6-year period
Full-Time Lecturer	**3-Stage** (DPRC, Chair, Dean)	DPRC* and/or Chair	Prior year or since close of file of last evaluation
Appointed all three quarters (no entitlement)	**2/3-Stage** (DPRC Optional, Chair, Dean)	DPRC* (or DPRC input) and/or Chair	Prior year or since close of file of last evaluation
Appointed one or two quarters (no entitlement)	**2-Stage** (Chair, Dean)	Chair	Prior year or since close of file of last review

* It is expected that the DPRC will conduct the class observation; the chair is another level of observation or will conduct the observation if the DPRC is unable to conduct the evaluation due to extenuating circumstances (candidate is not teaching the during the time of the DPRC review).

CAL POLY
College of Liberal Arts

Professional Development Plan

FACULTY NAME	Click or tap here to enter text.

FACULTY RANK	Choose an item.	DEPARTMENT	Choose an item.

IF APPLICABLE, PLEASE DESCRIBE ANY SPECIAL ASPECTS OF YOUR ASSIGNMENT (JOINT APPOINTMENT, CLUSTER HIRE, ADMINISTRATIVE ASSIGNMENT, ETC)

Click or tap here to explain.

Professional Development Plan

Please detail, in the sections below, a five-year plan that focuses on the ways you intend to be actively engaged in your discipline, including teaching, scholarly and/or creative contributions to the discipline and the university, and service. Probationary faculty are encouraged to work with their department chair to design a professional development plan aimed at earning eventual tenure and/or promotion according to the criteria of the department, college, and university. Additionally, faculty are encouraged to explain how they have responded to previous suggestions from reviewers, if applicable. This plan is meant to provide flexible structure and takes into account both current and new research interests and opportunities.

NOTE: If you are part of a cluster hire focused on DEI, please detail how your professional development in each area addresses these topics/issues.

Teaching Performance and/or Other Professional Performance

For retention and tenure-track periodic evaluation candidates:
Reflecting on the **past year**, please describe your teaching in terms of effectiveness and include any professional development training (e.g., CTLT, outside webinars, etc.). If second year or beyond, please consider past suggestions in your reflection.

For promotion and/or tenure evaluation candidates:
Reflecting on the **time in rank or on the tenure track**, please describe your teaching in terms of effectiveness and include any professional development training (e.g., CTLT, outside webinars, etc.). If second year or beyond, please consider past suggestions in your reflection.

For post-tenure periodic evaluation candidates:
Reflecting on the **past 5 years**, please describe your teaching in terms of effectiveness and include any professional development training (e.g., CTLT, outside webinars, etc.). Please consider past suggestions in your reflection.

Please consider addressing how your teaching pedagogy supports college and university efforts in diversity, equity, and inclusion (DEI). For example, faculty may provide information on use of equity-minded teaching methods, contributions to the discipline by those from historically underrepresented groups or discussions of DEI issues from past and current contexts within the course. You might also discuss your completion of any trainings or workshops designed to improve inclusive teaching strategies (e.g., TIDE, accessible document design, etc.), inclusive teaching related book circles, or creation of new courses or special topics related to these areas.

Click or tap here to enter text.

Please describe your **future plans** to increase your effectiveness in teaching overall, and in maintaining inclusiveness and equity in your classroom.

Appendix C

Click or tap here to enter text.

II.   Professional Growth and Scholarly Achievement

List of citations of scholarship, research, and/or creative activities that you believe meet both your department's and CLA's professional development requirements, including submission and acceptance dates or equivalent:

To add publications, select the ⊞ on the lower right corner (cursor must be in the text block for the + to appear).

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1.   Scholarship, Research, and/or Creative Activities

   Click to d*escribe your role (co-authored or multi-authored) and the level and nature of your contributions to that publication or the equivalency to a well-respected rigorously peer reviewed article:*

List of scholarship, research, and/or creative activities in process (and status of product):

Click or tap here to enter text.

List additional professional development/achievement activities:

Click or tap here to enter text.

Reflecting on the past year or your time in rank for promotion and tenure cases, please describe your professional development in terms of achievements. If second year or beyond, please consider past suggestions in your reflection. Post-tenure candidates, please reflect on the past five years.

Click or tap here to enter text.

Please describe your future plans for your professional development.

Click or tap here to enter text.

III.   Service to Department, College, University, and Community/Discipline

For retention and periodic evaluation candidates:
List and describe service activities **from the past years**. Please identify any DEI-Related Service Activities (e.g., participation in BEACoN program, advising specific clubs, participating in non-teaching related trainings such as UndocuAlly training that would result in service to students, your department, the college, or the university). Please also denote the level of service of each activity (e.g., department, college, etc.).

For promotion and/or tenure evaluation candidates:
List and describe service activities for the **time in rank or on the tenure track**. Please identify any DEI-Related Service Activities (e.g., participation in BEACoN program, advising specific clubs, participating in non-teaching related trainings such as UndocuAlly training that would result in service to students, your department, the college, or the university). Please also denote the level of service of each activity (e.g., department, college, etc.).

For post-tenure candidates:
List and describe service activities for the **last five year**. Please identify any DEI-Related Service Activities (e.g., participation in BEACoN program, advising specific clubs, participating in non-teaching related trainings such as UndocuAlly training that would result in service to students, your department, the college, or the university). Please also denote the level of service of each activity (e.g., department, college, etc.).

Click or tap here to enter text.

List planned or projected service activities, again identifying DEI-related service, and denoting level of service as above.

Click or tap here to enter text.

Appendix C

IV.   ONLY REQUIRED FOR FACULTY APPLYING FOR TENURE AND/OR PROMOTION: Please provide narrative rationale for your case below.

Click or tap here to enter text.

MEMORANDUM

DATE:	May 31, 2023
TO:	Cynthia Jackson-Elmoore, Provost Academic Affairs
FROM:	Philip Williams, Dean College of Liberal Arts
SUBJECT:	Updates to the College of Liberal Arts Policies and Procedures Document

Minor additions to clarify early promotion eligibility and minor edits to align with current contract and UFPP document.

The subject document is approved for immediate implementation.

_____
Philip Williams, Dean, College of Liberal Arts

To:	Philip Williams, Dean College of Liberal Arts	**Date:**	September 8, 2023
From:	Cynthia Jackson-Elmoore, Ph.D. Provost and Executive Vice President for Academic Affairs	**Copies:**	Kathryn Rummell
Subject:	College of Liberal Arts Policies and Procedures Document		

The subject document, revised in September 2023, is approved for immediate implementation. Please provide the College of Liberal Arts faculty access to the document as soon as possible.