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1. Preface

1.1. Summary
This is the sole personnel document for the College of Science and Mathematics. It replaces all previous college and department documents. The term “Department” in this document shall also be interpreted as “School” for the School of Education and the term “department chair” shall be interpreted as “director” for the School of Education.

1.2. Quotes
“It’s all about our students.”
“Every Cal Poly student is a College of Science and Mathematics student.”

1.3. Mission and Values Statement
The College of Science and Mathematics promotes the learning, understanding, and appreciation of science and mathematics as a basis for creative endeavors, intellectual pursuits, careers, and critical consideration of issues confronting society. It provides the foundation for the polytechnic curriculum, offers a rich and distinctive general education program, and prepares students pursuing degrees in the college for post-baccalaureate education and careers. An excellent and committed faculty guides Cal Poly students in developing the interest and capacity for lifelong learning by engaging their curiosities, imaginations, and critical and creative thinking skills.

1.4. Our Community of Students, Faculty and Staff
The College of Science and Mathematics is a community in which commitment, collegiality, and integrity are expected in each of its members. We value dedication, strong work ethics, and genuine concern for the intellectual growth and personal success of our students, faculty, and staff. Especially important are openness to new ideas, acceptance of diverse points of view, respect for personal and cultural differences, and an environment of civility where all are treated with dignity and respect. We strive to be courteous, considerate, and supportive members of the university and San Luis Obispo area community.

1.5. Our Students
The faculty and staff of the College of Science and Mathematics encourage Cal Poly students to:
• value the privilege of pursuing a university education,
• demonstrate a genuine interest in intellectual growth,
• demonstrate an appreciation for the arts and sciences and the polytechnic emphasis of the university,
• take personal responsibility for learning,
• focus on achieving a degree and preparing for a career or post baccalaureate opportunities,
• develop a strong work ethic,
• work cooperatively with their fellow students, the staff, and the faculty, and
• demonstrate respect, honesty, and integrity in all aspects of their lives.
We also believe that student involvement in co-curricular and extracurricular activities, community service, and participation in thoughtful discussions and activities concerning societal issues is an important part of university life.
1.6. **Our Faculty**

**In teaching and learning:** The faculty is dedicated to helping all Cal Poly students succeed academically, graduate, and pursue a career or post baccalaureate education. It is especially committed to orienting new students, many of whom take their initial courses in the College of Science and Mathematics, to the academic standards of the university. We strive to be respected role models, trusted personal and professional mentors, and valued intellectual guides. We lead by example and provide thoughtful and challenging learning experiences that develop the intellect and capacity for lifelong learning. We model and nurture curiosity, imagination, creativity, critical thought, and problem solving. Cal Poly embraces the “learn by doing” approach to education, with a strong intellectual base, and the faculty makes meaningful and innovative contributions to the curriculum and to pedagogy.

**In scholarly activities:** We pursue career-long scholarship to maintain our engagement in, and enthusiasm for, teaching and learning. We encourage both disciplinary and interdisciplinary scholarly activities as well as collaborative endeavors and the involvement of students to provide them meaningful creative learning experiences. Our faculty members make scholarly contributions to their disciplines throughout their careers; they and their student collaborators are encouraged to present this work at regional, national, and international meetings and in published form.

**In service, university citizenship and contributions to the community:** Our faculty members participate in department responsibilities and activities and in special events of the college and university community. They make meaningful service contributions at all levels in personnel matters, curriculum, student welfare and success, and other areas important to the advancement of the university. They support student organizations and activities, arrange for the expression of external ideas and expertise on campus, and they share their own expertise with both the university and external community.

**General statement on expectations:** The faculty have expectations of the State of California and the California State University. Prime among them is the responsibility to provide compensation commensurate with the responsibilities and expectations for achievement of the faculty and the resources required to fulfill these responsibilities and expectations successfully.

1.7. **Our Staff**

The College of Science and Mathematics instructional support staff is a team of professionals who provide clerical, administrative, and technical services. They promote a working environment of cooperation, collaboration, respect, openness, and professionalism. Service to Cal Poly students is a priority and is provided with efficiency, warmth, and sensitivity.

Our staff members support the faculty in teaching and scholarly activities. They support Cal Poly students in all aspects of their personal and academic needs in pursuing a college education. They maintain continuity in the departments and college and communicate traditions, values, and policies to our students and faculty. Staff members are valued mentors to students; they are role models, teach specialized skills, and demonstrate a strong work ethic. College of Science and Mathematics staff members take responsibility for their professional development and maintaining excellence in their skills and disciplines. They foster creative partnerships with students, administration, and faculty members and strive to serve in leadership roles at all levels of the university. The staff is an integral part of the college and plays an important role in promoting and strengthening the spirit of community.
1.8. **Important Message to Evaluators**
Current, past, and future students depend on the faculty and administration to participate responsibly in personnel matters and to make recommendations and decisions that are fair, supportable, and in the best interests of the university. The quality of personnel actions has a tremendous influence on the reputation of the university, the value of a Cal Poly diploma, and the welfare of members of the university community including students, faculty, staff, alumni, and loyal friends and supporters. Candidates for retention, promotion and tenure and evaluators at all levels have a solemn responsibility to pursue their roles thoughtfully, with high integrity, and with sincere dedication to the future of Cal Poly.

1.9. **Special Considerations for Evaluation of School of Education Faculty**
The School of Education (SOE) differs from departments within the College of Science and Mathematics (CSM) in a number of ways. It is the only professional school within the university, and its student population consists exclusively of post-baccalaureate and graduate students. Also, unlike other CSM departments that are accountable to the university, the SOE is also directly accountable to and governed by external agencies. This dual accountability requires SOE faculty to respond to initiatives from the CSM and the university, the California Department of Education (CDE), the California Commission on Teacher Credentialing (CCTC), and the National Council for Accreditation of Teacher Education (NCATE).
2. Faculty Appointments

2.1. Tenure-Track Recruitments

2.1.1. The College of Science and Mathematics will recruit faculty members who have the potential to be outstanding, dedicated teachers and scholars and who demonstrate talent, currency, and creativity in their fields. A commitment to students, and student learning and success, is critical. Also important are the willingness to share expertise in service functions at the university and in the community, the ability to interact thoughtfully and successfully with a diverse university community, and the potential to attain tenure and promotion in a timely manner.

2.1.2. Cal Poly and the College of Science and Mathematics are committed to the development of a diverse faculty, staff, and student body. In recruiting for tenure-track faculty members, efforts will be made to attract a diverse applicant pool.

2.1.3. Authorizations for tenure-track recruitments and appointments are made by the dean after consultation with the appropriate faculty units and the provost.

2.1.4. Tenure-track recruitments must be advertised nationally. Academic Personnel will automatically place advertisements for all tenure-track searches in publications listed in documents on the Academic Personnel website. The advertisements placed automatically by Academic Personnel meet the requirement to advertise the position nationally. The Department is responsible for placing additional advertisements listed in the recruitment plan.

2.1.5. A minimum of a 30-day advertisement period is required between latest of all ad publication dates and the review begin date. For online advertising the 30 days is counted from the first day of appearance.

2.1.6. Applicants for tenure-track positions in the College of Science and Mathematics must:
- Submit their application to the university’s applicant tracking system and provide three references on their application that will be solicited for letters of recommendation
- Upload current curriculum vitae (CV)
- Upload cover letter
- Upload teaching philosophy statement
- Upload research statement
- Upload diversity statement
- Upload unofficial transcripts of graduate degree(s) as one file (Official transcripts of highest degree are required for appointment)
- Upload unofficial transcripts of undergraduate degree(s) as one file

2.1.7. Each department or equivalent unit shall elect a search committee for the purpose of reviewing and recommending individuals for probationary appointments (CBA 12.22).

2.1.8. The entire tenured and tenure-track faculty is normally expected to participate in recruitment of tenure-track faculty members, and is thus expected to be on the search committee. However, participation by probationary/tenure-track faculty requires approval by the dean. With the department’s recommendation and the dean’s permission, FERP faculty may serve on the search committee.

2.1.9. The search committee must develop a candidate evaluation form or rubric to use in screening candidates based on the duties, responsibilities, as well as required and preferred qualifications for the position. The criteria used on the candidate evaluation form must reflect the information specified in the position vacancy announcement and job requisition.
2.1.10. A screening committee can be selected from the elected search committee for the purpose of selecting semifinalists for phone/video interviews and finalists for on-campus interviews.

2.1.11. If a department has a screening committee, members of the screening committee will read the materials of all applicants, then the screening committee uses a candidate evaluation form or rubric to determine semifinalists for phone/video interviews. The screening committee presents the list of candidates they recommend for phone/video interviews to the entire search committee. The entire search committee votes on the recommendation to decide which candidates receive a phone/video interview.

2.1.12. Before applicants are invited for phone/video interviews, the department chair and/or search committee chair presents candidates to the dean. Once the dean approves their recommendations, interviews may be scheduled.

2.1.13. Phone/video interviews may be conducted to determine finalists for on-campus interviews. Phone/video interviews are strongly encouraged. If an elected search committee member who is not on the screening committee would like to participate in determining who becomes a finalist (and gets offered an on-campus interview), then they must read and review all the applications of the semifinalists as well as be present (or listen to a recording) for all semifinalist phone/video interviews. Search committee members who have read the applications and participated in the phone/video interviews, present the list of candidates they recommend for phone/video interviews to the entire search committee. The entire search committee votes on the recommendation to decide which candidates become finalists.

2.1.14. Before applicants are invited for on-campus interviews, the department chair and/or search committee chair presents candidates to the dean. Once the dean approves their recommendations, interviews may be scheduled.

2.1.15. Finalists will be invited for on-campus interviews. A comprehensive program that may include an agenda of seminars, classroom presentations, interviews by committees, visitation with faculty and staff members, and meetings with students will constitute the interview. The interview should be robust and designed to glean impressions of potential teaching effectiveness, ability to develop a sustainable program of scholarship capable of external validation, and the probability of sincere university citizenship. The interview also must provide the candidate with an overview, vision, and information about the department, college, and university. Appropriate feedback to the search committee by constituent groups is encouraged.

2.1.16. It is expected that the entire elected search committee (not just the screening committee) will participate in recommending candidate(s) for appointment(s). This means that each elected search committee member must review the applications for all finalists and participate in the on-campus interview process.

2.1.17. Two votes occur when recommending candidate(s) for appointments(s). First, rankings and voting by the entire elected search committee (tenured and probationary faculty) should occur. This is followed by a vote of only tenured members of the elected search committee; the tenured vote will accept, reject or modify the determination of the entire committee. Both votes and rankings should be presented to the dean.
2.1.18. In tenure track recruitments, if there are multiple finalists for one position it is necessary to rank the finalists. Ranking must be done in a way that ensures integrity of the process. Preliminary categorizations such as “acceptable,” “maybe,” and “not acceptable” are permitted to simplify the final ranking process. Final rankings must be determined by the aggregate majority process as described in the following paragraph.

- A ballot is conducted for the first position. If no one receives greater than 50% of the vote, the candidate(s) who are not part of an aggregate majority are eliminated and another ballot is taken on the remaining candidates. (An aggregate majority is the smallest set of candidates who together have over half of the votes, and each of whom has more votes than any individual not in the aggregate majority). The process is repeated until a candidate receives a majority vote. The second place is determined in a like manner and so on until all positions have been determined.

2.1.19. The dean makes the offers of appointment. Ideally, communication among the recommending groups and the dean will result in a mutually agreeable decision.

2.1.20. The departments will devise development programs for each new faculty member that include mentoring, assistance in initiating a program of scholarship, and assignment of a teaching schedule designed to promote the development of an outstanding instructor.

2.2. Tenure-Track Qualifications

2.2.1. A Ph.D. in the discipline or a closely related discipline is the required educational background for tenure-track appointment except in unusual cases. A terminal degree of like level (such as an M.D.) may be considered. The appropriate terminal degree will be determined by the department and approved by the dean. 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.

2.3. Inter-Departmental or Inter-College Transfer of Tenured Faculty or Granting of Retreat Rights

2.3.1. Proposed transfers of faculty members between departments or colleges or granting of retreat rights will be considered on a case-by-case basis by the receiving department. The tenured faculty and department chair will make a recommendation to the dean. The dean will forward this recommendation with their own recommendation to the president for the final decision.

2.4. Full-time Lecturer Recruitments

2.4.1. Full-time lecturer appointments require a search with a process similar to that of tenure-track searches.

2.4.2. Advertisements for full-time lecturers need to be posted nationally and the requisition must be open for a minimum of 30 days before review of applicants can begin.

2.4.3. Applicants for full-time lecturer positions in the College of Science and Mathematics must:

- Submit their application to the university’s applicant tracking system and provide three references on their application that will be solicited for letters of recommendation
- Upload current curriculum vitae (CV)
- Upload cover letter
- Upload diversity statement
- Upload unofficial transcripts of graduate degree(s) as one file (Official transcripts of highest degree are required for appointment).
- Upload unofficial transcripts of undergraduate degree(s) as one file
2.4.4. Each department or equivalent unit shall elect a search committee of probationary and tenured faculty for the purpose of reviewing and recommending individuals for full-time lecturer appointments.

2.4.5. The search committee must develop a candidate evaluation form or rubric to use in screening candidates based on the duties, responsibilities, as well as required and preferred qualifications for the position. The criteria used on the candidate evaluation form must reflect the information specified in the position vacancy announcement and job requisition.

2.4.6. The search committee should have a minimum of three members. If the search committee has more than three members, a screening committee can be selected from the elected search committee for the purpose of selecting finalists for phone/video interviews.

2.4.7. The search committee (or screening committee, if there is one), will read the materials of all applicants, and uses a candidate evaluation form or rubric to determine finalists for phone/video interviews. If a screening committee is used, then the screening committee presents the list of finalists they recommend for phone/video interviews to the entire elected search committee. The entire search committee votes to decide which candidates receive a finalist phone/video interview.

2.4.8. Before applicants are invited for phone/video interviews, the department chair and/or search committee chair presents candidates to the dean or designee. Once the dean or designee approves their recommendations, interviews may be scheduled.

2.4.9. It is expected that the entire elected search committee (not just the screening committee, if there is one) will participate in recommending candidate(s) for appointment(s). This means that each elected search committee member must review the applications for all finalists and participate in the interview process.

2.4.10. The elected search committee will vote on candidate(s) to recommend for appointment(s). The recommendation, votes, and rankings should be presented to the dean or designee.

2.4.11. After consultation with the dean or designee for approval of finalist(s) and their salary, the department chair makes the offers of appointment. Ideally, communication among the recommending groups and the dean or designee will result in a mutually agreeable decision.

2.4.12. Full-time lecturers are initially appointed for one academic year. 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 (CBA 12.29).

2.5. Part-time Lecturer Recruitments

2.5.1. 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 quarters. These pools are opened in April for the subsequent academic year after the spring quarter appointments have been made.

2.5.2. Advertisements for Part-time Lecturers must be posted and the lecturer pool must be open for a minimum of 14 days before review of candidates can begin. Part-time Lecturer pools stay open until the first week of spring quarter.
2.5.3. 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 in the previous academic year and have been evaluated should be given careful consideration according to article 12.7 of the CBA. Per article 12.3 of the CBA, applicants who 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 and the number of weighted teaching units (WTUs) they are entitled to is the number of WTUs they worked in the previous academic year.

2.5.4. Part-time lecturers may be appointed for one, two, or three quarters. Initial appointments for three quarters must be for less than 45 units (less than full-time).

2.6. Lecturer Qualifications

2.6.1. Lecturers are essential and valued members of the faculty of the College of Science and Mathematics. Teaching is the main responsibility of lecturers and likewise the primary focus of annual evaluations. The professional responsibilities of all faculty members including lecturers include scholarly activities, which contribute to their currency and contributions to the classroom and profession. Teaching effectiveness, a firm understanding of the teaching and learning process, and currency in the subject matter of teaching assignments are expected. Educational attainment and experience are considered in making appointments and teaching assignments.

2.6.2. In the College of Science and Mathematics, the rank/range a lecturer is appointed at is normally determined based on their educational preparation. Normally, the following degrees relevant to the discipline are required for appointment at each rank/range below.

<table>
<thead>
<tr>
<th>Rank/Range</th>
<th>Degree</th>
</tr>
</thead>
<tbody>
<tr>
<td>Lecturer A</td>
<td>Bachelor’s or Master’s Degree</td>
</tr>
<tr>
<td>Lecturer B</td>
<td>Ph.D. (or terminal degree appropriate to teaching in discipline in which the lecturer is being appointed per CBA 31.16)</td>
</tr>
<tr>
<td>Lecturer C</td>
<td>Ph.D.</td>
</tr>
<tr>
<td>Lecturer D</td>
<td>Ph.D.</td>
</tr>
</tbody>
</table>

2.6.3. Lecturers are generally appointed to teach. Course assignments are made based on the lecturer’s experience, background, and expertise. Lecturers can also be assigned to engage in scholarly activity, service, and university citizenship. Assignments other than teaching will be specified in the appointment letter.
3. Personnel Files

3.1. Personnel Action File (PAF)

3.1.1. Contents of the PAF generally include:

- Pre-Employment Materials: Generally, this includes the application, curriculum vitae, teaching philosophy statement, research statement, and diversity statement.
- Confidential Pre-Employment Materials: This includes the three letters of recommendation and official transcripts.
- Appointment Letters: This includes the accepted/signed hiring offer letter, special consultant appointments, summer and Extended Education offer letters, etc.
- Evaluations: This includes materials from periodic evaluations and performance reviews. Once the evaluation is complete, the initiation memo and certain materials from the Working Personnel Action File (WPAF) are permanently placed in the PAF. Generally, the documents filed in the PAF from the WPAF include the index, curriculum vitae, and professional plan (when applicable) as well as the evaluations (AP109s) from each level of review, rebuttals submitted by the candidate, and the document describing the final action.
- Student Evaluations: Results of student evaluations for the previous six years are stored in electronic format and incorporated by extension into the Personnel Action File.
- Miscellaneous: Other significant documents both of a positive and negative nature including grants, professional leave documentation, awards, letters of reprimand/discipline, etc.

3.2. Working Personnel Action File (WPAF)
The WPAF is a special file assembled by the faculty member being evaluated and used during both periodic evaluations and performance reviews. The candidate must develop a WPAF which contains materials important to their evaluation. For the time period the WPAF materials should cover, please refer to Appendix C (for probationary/tenured faculty evaluation types) and Appendix D (for lecturers and supervisors). Please note, during the evaluation period, the WPAF will transmit evaluation reports (AP 109s) and candidate rebuttals/responses generated at each level of review to subsequent levels of review.

3.3. WPAF Materials for Temporary Faculty (Lecturer and Clinical Practice Supervisor) Evaluation Types

If a Lecturer is also serving as a Clinical Practice Supervisor, use the relevant WPAF requirements for the evaluation type occurring below and add the missing Clinical Practice Supervisor materials, which appear under 3.3.4 below.

3.3.1. Periodic Evaluation of Full-Time Lecturer (appointed the entire academic year), Periodic Evaluation of Part-Time Lecturer (appointed the entire academic year), and Periodic Evaluation of Part-Time Lecturer (appointed one or two quarters)

- Index of Materials
- Curriculum Vitae (CV)
- Summary Table of Grades Assigned
- Summary Table of Student Evaluation Results
- Teaching Philosophy and Approach
- Response to Previous Evaluations
- Materials for Examination of Teaching
- Other Materials [optional]
3.3.2. 6th-Year Cumulative Evaluation for 12.12 Eligible Lecturers and 3rd-Year Cumulative Evaluation for 12.13 Eligible Lecturers
- Index of Materials
- Curriculum Vitae (CV)
- Summary Table of Grades Assigned
- Summary Table of Student Evaluation Results
- Teaching Philosophy and Approach
- Professional Plan
- Case for Three-Year Appointment
- Response to Previous Evaluations
- Materials for Examination of Teaching
- Other Materials [optional]

3.3.3. Lecturer Range Elevation
- Index of Materials
- Curriculum Vitae (CV)
- Summary Table of Grades Assigned
- Summary Table of Student Evaluation Results
- Teaching Philosophy and Approach
- Professional Plan
- Case for Lecturer Range Elevation
- Response to Previous Evaluations
- Materials for Examination of Teaching
- Other Materials [optional]

3.3.4. Periodic Evaluation of Part-Time Clinical Practice Supervisors (appointed the entire academic year) and Periodic Evaluation of Part-Time Clinical Practice Supervisors (appointed one or two quarters)
- Index of Materials
- Curriculum Vitae (CV)
- Mentoring Philosophy Statement
- Response to Previous Evaluations
- Evidence of Mentoring
- Evidence of Professional Development and Service Activities

3.3.5. 6th-Year Cumulative Evaluation for 12.12 Eligible Clinical Practice Supervisors and 3rd-Year Cumulative Evaluation for 12.13 Eligible Clinical Practice Supervisors
- Index of Materials
- Curriculum Vitae (CV)
- Mentoring Philosophy Statement
- Case for Three-Year Appointment
- Response to Previous Evaluations
- Evidence of Mentoring
- Evidence of Professional Development and Service Activities

3.3.6. Lecturer Range Elevation for Clinical Practice Supervisors
- Index of Materials
- Curriculum Vitae (CV)
- Mentoring Philosophy Statement
- Case for Lecturer Range Elevation
• Response to Previous Evaluations
• Evidence of Mentoring
• Evidence of Professional Development and Service Activities

3.4. **WPAP Materials for Probationary/Tenure Track and Tenured Faculty Evaluation Types**

Please note other materials may be requested by the dean in the initiation memo.

3.4.1. **First Periodic Evaluation of Probationary Faculty Members**
• Index of Materials
• Curriculum Vitae (CV)
• Summary Table of Grades Assigned
• Summary Table of Student Evaluation Results
• Teaching Philosophy and Approach (use document submitted with application materials)
• Scholarship Statement (use document submitted with application materials)
• Materials for Examination of Teaching
• Other Materials [optional]

3.4.2. **Subsequent Periodic Evaluation of Probationary Faculty Members**
• Index of Materials
• Curriculum Vitae (CV)
• Summary Table of Grades Assigned
• Summary Table of Student Evaluation Results
• Teaching Philosophy and Approach
• Professional Plan - Section 1
• Response to Previous Evaluations
• Other Materials [optional]

3.4.3. **Performance Reviews for Retention**
• Index of Materials
• Curriculum Vitae (CV)
• Summary Table of Grades Assigned
• Summary Table of Student Evaluation Results
• Teaching Philosophy and Approach
• Professional Plan – Section 1 and 2
• Response to Previous Evaluations
• Materials for Examination of Teaching
• Materials for Examination of Scholarship
• Materials for Examination of Service/University Citizenship
• Other Materials [optional]

3.4.4. **Performance Reviews for Tenure and/or Promotion**
• Index of Materials
• Curriculum Vitae (CV)
• Summary Table of Grades Assigned
• Summary Table of Student Evaluation Results
• Teaching Philosophy and Approach
• Professional Plan – Section 1 and 2
• Case for Tenure and/or Promotion
• Response to Previous Evaluations
• Materials for Examination of Teaching
• Materials for Examination of Scholarship
• Materials for Examination of Service/University Citizenship
• Other Materials [optional]

3.4.5. Post-Tenure Periodic Evaluation of 3rd Year Tenured Associate Professor
• Index of Materials
• Curriculum Vitae (CV)
• Summary Table of Grades Assigned
• Summary Table of Student Evaluation Results
• Teaching Philosophy and Approach
• Professional Plan – Section 1 and 2
• Response to Previous Evaluations
• Materials for Examination of Teaching
• Materials for Examination of Scholarship
• Materials for Examination of Service/University Citizenship
• Other Materials [optional]

3.4.6. Post-Tenure Periodic Evaluation
• Index of Materials
• Curriculum Vitae (CV)
• Summary Table of Grades Assigned
• Summary Table of Student Evaluation Results
• Teaching Philosophy and Approach
• Professional Plan – Section 1 and 2
• Materials for Examination of Teaching
• Materials for Examination of Scholarship
• Materials for Examination of Service/University Citizenship
• Other Materials [optional]
4. Responsibilities in Faculty Evaluation Process

4.1. Notification of Evaluation

4.1.1. The college notifies all probationary/tenure-track and tenured faculty scheduled for a mandatory performance review or periodic evaluation.


4.1.3. The department notifies part-time and full-time lecturers/clinical practice supervisors appointed the entire academic year of the mandatory periodic evaluation.

4.1.4. The department notifies part-time lecturers/clinical practice supervisors appointed one or two quarters of the periodic evaluation, only if they opt to conduct an evaluation. Lecturers teaching only one or two quarters in an academic year regardless of time base, must be evaluated at a minimum every three years. The lecturer, department chair or dean may request more frequent reviews.

4.1.5. The college notifies lecturers/clinical practice supervisors of their eligibility to apply for lecturer range elevation.

4.2. Candidates

4.2.1. Candidates must examine their Personnel Action File (PAF) for accuracy and completeness prior to the commencement of an evaluation. Any required modifications should be requested of the dean well in advance of the time that the PAF is to be made available to evaluators. After the stated deadline, the file will be considered complete.

4.2.2. Candidates must assemble and provide a WPAF (containing the materials outlined in Section 3 for the specific evaluation type for which they are scheduled and defined in Appendix A) by the university or college prescribed deadline.

4.2.3. Once submitted, the candidate’s WPAF will be considered incorporated by reference in the PAF during the evaluation/review cycle (CBA 15.9). Materials, other than evaluation reports (AP 109s) and candidate rebuttals/responses generated during the evaluation process, cannot be added to the PAF or WPAF following the deadline, except in unusual circumstances and with authorization by the CPRC. Such authorization shall be limited to materials that were not accessible prior to the WPAF deadline.

4.2.4. While faculty scheduled for a mandatory periodic evaluation or performance review will be notified by their college or department, faculty members who wish to be evaluated for early promotion and/or early tenure, or tenured associate professors seeking promotion to full professor consideration must notify the dean in writing (email is suitable) with a copy to the department chair by October 1 or next business day of the RPT cycle. Early tenure and early promotion are considered only under extraordinary conditions of performance.

4.2.5. Candidates will be provided a 10-day rebuttal period following the receipt of an evaluation report from any level of review. Candidates may submit a written rebuttal during the 10-day rebuttal period. When counting ten calendar days, start counting the day after the date the evaluation is provided to the candidate, and if the tenth calendar day lands on a weekend or holiday, then the rebuttal deadline is moved to the next business day.

4.3. Peer Input
4.3.1. For periodic evaluations of part-time lecturers appointed the entire year and part-time lecturers appointed one or two quarters, a Department Peer Review Committee (DPRC) evaluation is not required. However, for these evaluations full-time tenured faculty should be given the opportunity to provide peer input.

4.3.2. Peer input should be given as evaluative statements, which must be written and signed (CBA 15.2 and CBA 15.24).

4.4. **Department Peer Review Committee (DPRC)**

4.4.1. Please see Chapter 5 for which type of evaluations/reviews require a DPRC level of review.

4.4.2. The DPRC shall consist of at least three elected members of tenured faculty (CBA 15.41).

4.4.3. DPRC members typically will be from the candidate’s own department. However, DPRC members will sometimes need to be recruited from outside the department when there is an inadequate number of faculty in the department who are eligible and available to serve on the DPRC (CBA 15.41).

4.4.4. Faculty may only serve on one level of review such as DPRC, department chair, or CPRC (CBA 15.29).

4.4.5. To elect a DPRC, the tenured and probationary faculty may vote on each eligible DPRC member for each candidate, or on the DPRC as a whole. The vote shall be determined by simple majority.

4.4.6. Generally, all eligible tenured faculty members are expected to participate on all DPRCs for the following evaluation types unless they are serving on another level of review, not elected due to a clear conflict of interest with a faculty member scheduled for evaluation, or for other appropriate reasons (e.g., tenured associate professors may not feel comfortable making a retention or tenure recommendation on a full professor).

- Retention, Promotion and Tenure (a.k.a., Performance Reviews)
- 6th-Year Cumulative Evaluation for 12.12 Eligible Lecturers
- 3rd-Year Cumulative Evaluation for 12.13 Eligible Lecturers
- Lecturer Range Elevations

4.4.7. In the College of Science and Mathematics, DPRCs for periodic evaluation of probationary faculty members consist of at least three members of the tenured faculty elected by the probationary and tenured faculty.

4.4.8. See the parameters and examples below to determine whether or not a specific faculty member is eligible to serve as a DPRC member for a candidate’s evaluation.

- For each promotion candidate, the DPRC members must have a higher rank than those being considered for promotion (CBA 15.43).
- Tenured faculty members being considered for promotion themselves may not serve on DPRCs for promotion or tenure candidates (CBA 15.43).
- Tenured faculty members being considered for promotion themselves may serve on the DPRCs for retention candidates.
- For retention and tenure candidates, the DPRC members must be full-time tenured faculty employees and they may be of any rank.
- A tenured associate professor may serve on an assistant professor’s periodic evaluation DPRC, even if the tenured associate professor is undergoing their own 3rd Year Associate Professor Post-Tenure Periodic Evaluation.
- Tenured associate professors may not serve on another associate professor’s 3rd Year Associate Professor Post-Tenure Periodic Evaluation or on a full professor’s Post-Tenure Periodic Evaluation.
• For 3rd Year Tenured Associate Professor Post-Tenure Periodic Evaluations, only tenured full professors are eligible to serve on the DPRC.
• For Post-Tenure Periodic Evaluations, the DPRC is composed of tenured full professors of the department elected by the tenured faculty.

4.4.9. If a DPRC has more than three members, it is acceptable to have subcommittees (consisting of three members minimum) do an in-depth review of submitted materials and write evaluative statements for the evaluation/review. It is permissible to use the same subcommittee for all candidates. The subcommittee must produce a written evaluation for each candidate that can be supported by a majority of the DPRC. It is required that the DPRC meet as a group to discuss, propose changes, and approve the written evaluation. It is required that the findings and statements of these subcommittees are shared with the entire DPRC in a discussion meeting for input, comments, and approval. The subcommittee must provide a reliable and substantive process for gathering information and evaluative input from the DPRC prior to writing the evaluation. This can be accomplished by soliciting written comments (these will not become part of the WPAF or PAF) and/or by scheduling discussion meetings. It is the responsibility of the entire DPRC to ensure that the candidate’s qualifications have been seriously considered.

4.4.10. All DPRC members (not just the subcommittee) shall review the PAF and WPAF, and by signing and dating the evaluation (AP109) they are certifying that they agree with the evaluation and the evaluation resulted from thorough review of both the PAF and WPAF.

4.4.11. The DPRC will arrange for and ensure visitation of classroom and laboratory teaching of each candidate for the purpose of evaluating teaching effectiveness. The DPRC must give at least a five (5) day notice of classroom visit. There shall be consultation between the faculty member being evaluated and the individual who visits the class(es) regarding the class(es) to be visited and the scheduling of the visit(s). (15.14).

4.4.12. The DPRC shall use forms provided by Academic Personnel for their evaluation report. Minority reports are permissible from individuals or groups within the DPRC who do not agree with the majority committee report. All DPRC members must sign the DPRC majority report or a minority report. The elected DPRC is not required to report to the tenured faculty at large.

4.4.13. The evaluation report shall analyze the evidence on each performance dimension (e.g., teaching, scholarship, service and university citizenship, etc.) relevant to the faculty member’s assignment. In producing evaluations, the relevant criteria in Section 8, 9, and 10 must be considered and commented upon as appropriate. The DPRC will produce an evaluation report which addresses the candidate’s strengths and accomplishments, and provides them with guidance and suggestions for improvement. If applicable, this report should also include evaluation of the candidate’s professional development plan in teaching, scholarship, service and university citizenship and provide guidance as necessary.

4.4.14. The entire DPRC (not only the subcommittee) must vote on the proposed action when a vote is applicable as defined in “Appendix E: Summary Table of AP109/Evaluation Completion for All Evaluation Types”. The numerical results of the vote must be reported as for, against, or abstain. The votes of individual committee members are not reported. Abstentions require written explanation (UFPP 4.3.7).
4.4.15. The DPRC will provide the committee evaluation and recommendation to each candidate for the required 10-day rebuttal/response period. When counting ten calendar days, start counting the day after the date the evaluation is provided to the candidate, and if the tenth calendar day lands on a weekend or holiday, then the rebuttal deadline is moved to the next business day. If the candidate requests a meeting concerning a rebuttal to the DPRC evaluation, then the DPRC shall meet with the candidate within the 10-day rebuttal period. 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 acknowledgement of the receipt of the rebuttal shall be provided to the candidate. The committee chair must inform the candidate of its action (or non-action). Any response or rebuttal statement shall be incorporated into the WPAF and will be available to all previous levels of review (MOU 15.5).

4.4.16. The final committee evaluation and recommendation will be forwarded with the WPAF and rebuttal statements to the next level of review, the department chair.

4.4.17. The DPRC may rank candidates it positively recommends for promotion. A candidate’s personal ranking will be revealed to the candidate verbally upon request, with copies to the Working Personnel Action File only if the request is in writing and placement in the file is specifically requested. Final rankings must be determined by the aggregate majority process as described in the following paragraph.

- A ballot is conducted for the first position. If no one receives greater than 50% of the vote, the candidate(s) who are not part of an aggregate majority are eliminated and another ballot is taken on the remaining candidates. (An aggregate majority is the smallest set of candidates who together have over half of the votes, and each of whom has more votes than any individual not in the aggregate majority). The process is repeated until a candidate receives a majority vote. The second place is determined in a like manner and so on until all positions have been determined.

4.5. **Department Chair**

4.5.1. The department chair will oversee the entire department review process to ensure that required actions are accomplished according to schedule and in a fair and equitable manner.

4.5.2. 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. For evaluation processes not using a DPRC, the department chair level of review initiates the review process.

4.5.3. The department chair shall review the PAF and WPAF, and by signing and dating the evaluation (AP109) they are certifying that they agree with the evaluation and the evaluation resulted from thorough review of both the PAF and WPAF. For evaluations involving a DPRC evaluation, the department chair shall review the DPRC evaluation and any rebuttal to the DPRC evaluation from the candidate.

4.5.4. The department chair will have essentially the same responsibilities as the DPRC and will provide additional evaluation and guidance statements from their perspective or further explain or endorse the evaluation of the DPRCs.

4.5.5. The department chair will use forms provided by Academic Personnel for their evaluation report (currently, the AP 109 Form).
4.5.6. The department chair will provide their evaluation and recommendation to each candidate for the required 10-day rebuttal/response period. When counting ten calendar days, start counting the day after the date the evaluation is provided to the candidate, and if the tenth calendar day lands on a weekend or holiday, then the rebuttal deadline is moved to the next business day. The department chair should share the evaluation with the DPRC during the 10-day rebuttal period if the evaluation is substantially different. If the candidate requests a meeting concerning a rebuttal to the department chair evaluation, then the department chair shall meet with the candidate within the 10-day rebuttal period. 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 acknowledgement of the receipt of the rebuttal shall be provided to the candidate. The department chair must inform the candidate of their action (or non-action). Any response or rebuttal statement shall be incorporated into the WPAF and will be available to all previous levels of review (MOU 15.5).

4.5.7. The final department chair evaluation and recommendation will be forwarded with the WPAF and rebuttal statements to the next level of review, which varies based on the evaluation/review type.

4.5.8. The department chair may rank candidates it positively recommends for promotion.

4.5.9. For periodic evaluations of part-time lecturers appointed the entire year and part-time lecturers appointed one or two quarters, the department chair can be the sole departmental evaluator. For such evaluations, the department chair may select tenured faculty who have been elected to the broader DPRC to assist with the review of lecturers. Assistance from tenured faculty may include a classroom visit and report, and/or additional input. Faculty member(s) assisting the department chair must review the PAF and WPAF. The faculty member(s) providing input must be identified in the evaluation. The department chair may also select tenured faculty who have been elected to the broader DPRC to assist with preparing an evaluation for review, modification and signature by the department chair. Alternatively, the department chair may request that a separate level of review is conducted, and in this case, the procedures described in the DPRC sections must be followed.

4.6. College Peer Review Committee (CPRC)

4.6.1. Please see Chapter 5 for which type of evaluations/reviews require a CPRC level of review.

4.6.2. The CPRC should consist of one full professor from each department.

4.6.3. Each member of the CPRC shall be elected by their department’s tenured and probationary faculty.

4.6.4. The elected members of the CPRC will not participate as a member of a DPRC (at the department level) for evaluations involving a CPRC level of review.

4.6.5. All CPRC members shall review the PAF and WPAF, and by signing and dating the evaluation (AP109) they are certifying that they agree with the evaluation and the evaluation resulted from thorough review of both the PAF and WPAF. Each CPRC member shall also review all prior levels of evaluations (DPRC and department chair) and any rebuttals submitted.

4.6.6. In fulfilling its functions, the CPRC has the responsibility to determine whether evaluations at preceding levels by each department have been carried out responsibly and in accordance with college criteria.
4.6.7. For tenure and/or promotion evaluations, the CPRC will recommend for or against the action under consideration. The numerical results of the vote must be reported as for, against, or abstain. The votes of individual committee members are not reported. The CPRC will provide a written report with substantiating reasons. Abstentions require written explanation (UFPP 4.5.3). A simple majority of the voting members constitutes the recommendation of the CPRC.

4.6.8. For 6th year cumulative (12.12 evaluations), the CPRC will not rate the lecturer using “Satisfactory” or “Unsatisfactory” ratings, nor recommend for or against a three-year appointment. However, the CPRC must use the 1-4 ratings on the AP109-L.

4.6.9. For Lecturer Range Elevation, the CPRC will recommend for or against lecturer range elevation. The numerical results of the vote must be reported as for, against, or abstain. The votes of individual committee members are not reported. The CPRC will provide a written report with substantiating reasons. Abstentions require written explanation (UFPP 4.5.3). A simple majority of the voting members constitutes the recommendation of the CPRC.

4.6.10. The CPRC shall produce an evaluation for each candidate under review. The evaluation report shall analyze the evidence on each performance dimension (e.g., teaching, scholarship, service and university citizenship, etc.) relevant to the faculty member’s assignment. In producing evaluations, the relevant criteria in Section 8, 9, and 10 must be considered and commented upon as appropriate. Minority reports are permissible from individuals or groups within the CPRC who do not agree with the majority committee report. All CPRC members must sign the CPRC majority report or a minority report.

4.6.11. The CPRC will provide the committee evaluation and recommendation to each candidate for the required 10-day rebuttal/response period. When counting ten calendar days, start counting the day after the date the evaluation is provided to the candidate, and if the tenth calendar day lands on a weekend or holiday, then the rebuttal deadline is moved to the next business day. The CPRC should share the evaluation with previous levels of review during the 10-day rebuttal period if the evaluation is substantially different. If the candidate requests a meeting concerning a rebuttal to the CPRC evaluation, then the CPRC shall meet with the candidate within the 10-day rebuttal period. The CPRC 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 acknowledgement of the receipt of the rebuttal shall be provided to the candidate. The committee chair must inform the candidate of its action (or non-action). Any response or rebuttal statement shall be incorporated into the WPAF and will be available to all previous levels of review (MOU 15.5).

4.6.12. The final committee evaluation and recommendation will be forwarded with the WPAF and rebuttal statements to the next level of review, the administrative evaluator.

4.6.13. The CPRC shall rank the candidates it positively recommends for promotion in one list. If previous levels of review have prepared promotion priority lists, these will be considered as recommendations in preparing the promotion priority list. A candidate’s personal ranking will be revealed to the candidate verbally upon request, with copies to the Working Personnel Action File only if the request is in writing and placement in the file is specifically requested. Final rankings must be determined by the aggregate majority process as described in the following paragraph.
• A ballot is conducted for the first position. If no one receives greater than 50% of the vote, the candidate(s) who are not part of an aggregate majority are eliminated and another ballot is taken on the remaining candidates. (An aggregate majority is the smallest set of candidates who together have over half of the votes, and each of whom has more votes than any individual not in the aggregate majority). The process is repeated until a candidate receives a majority vote. The second place is determined in a like manner and so on until all positions have been determined.

4.7. **Administrative Evaluators**

4.7.1. For tenure-track faculty, the administrative evaluator is the college dean.

4.7.2. For lecturers and clinical practice supervisors, the college dean designates an associate dean to serve as the final level of administrative evaluation.

4.7.3. The administrative evaluator shall review the PAF and WPAF, and by signing and dating the evaluation (AP109) they are certifying that they agree with the evaluation and the evaluation resulted from thorough review of both the PAF and WPAF. The administrative evaluator shall also review all prior levels of evaluations (DPRC, department chair, and/or CPRC) and any rebuttals submitted.

4.7.4. For periodic evaluations of probationary faculty members working towards tenure, the college dean will have essentially the same responsibilities as the department chair and will provide additional evaluation and guidance statements from their perspective or further explain or endorse the evaluations generated at the department level. For periodic evaluations of probationary faculty members, the college dean will also make a definitive statement as to whether the professional plan is appropriate for eventual achievement of tenure. For promotion to associate professor evaluations, the dean will provide evaluation and guidance on the submitted professional plan for eventual promotion to full professor. For promotion to full professor, the college dean will evaluate and provide guidance on the submitted professional plan from the standpoint of its demonstrated commitment to career-long teaching effectiveness, a productive program of scholarship capable of external validation, and a record of active service and university citizenship.

4.7.5. For cumulative evaluations for 12.12 and 12.13 eligible lecturers, the associate dean will make a determination of “Satisfactory” or “ Unsatisfactory” with a statement of rationale. For lecturer range elevation, the associate dean will make a determination to grant or deny lecturer range elevation with a statement of rationale.

4.7.6. The administrative evaluator shall produce an evaluation report for each candidate under review. The evaluation report shall analyze the evidence on each performance dimension (e.g., teaching, scholarship, service and university citizenship, etc.) relevant to the faculty member’s assignment. In producing evaluations, the relevant criteria in Section 8, 9, and 10 must be considered and commented upon as appropriate.
4.7.7. The administrative evaluator will provide their evaluation and recommendation to each candidate for the required 10-day rebuttal/response period. When counting ten calendar days, start counting the day after the date the evaluation is provided to the candidate, and if the tenth calendar day lands on a weekend or holiday, then the rebuttal deadline is moved to the next business day. The administrative evaluator should share the evaluation with the previous levels during the 10-day rebuttal period if the evaluation is substantially different. If the candidate requests a meeting concerning a rebuttal to the administrative evaluator’s evaluation, then the administrative evaluator shall meet with the candidate within the 10-day rebuttal period. The administrative evaluator 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 acknowledgement of the receipt of the rebuttal shall be provided to the candidate. The administrative evaluator must inform the candidate of their action (or non-action). Any response or rebuttal statement shall be incorporated into the WPAF and will be available to all previous levels of review (MOU 15.5).

4.7.8. If applicable, the final administrative evaluator’s evaluation and recommendation will be forwarded with the WPAF and rebuttal statements to the next level of review, the provost.

4.7.9. The college dean shall rank the candidates they positively recommend for promotion in one priority list. If previous levels of review have prepared promotion priority lists, these will be considered as recommendations in preparing the promotion priority list. A candidate's personal ranking will be revealed to the candidate verbally upon request, with copies to the Working Personnel Action File only if the request is in writing and placement in the file is specifically requested.

4.8. Provost

4.8.1. The provost is the final level of administrative evaluation for performance reviews (i.e., retention, promotion and/or tenure).

4.8.2. The provost shall review the PAF and WPAF, and by signing the decision letter they are certifying that they agree with the evaluation and the evaluation resulted from thorough review of both the PAF and WPAF. The provost shall also review all prior levels of evaluations (DPRC, department chair, CPRC, and/or college dean) and any rebuttals submitted.

4.8.3. The provost’s letter to the candidate constitutes the final decision on retention, promotion and/or tenure.
5. Evaluation Processes

5.1. Two-Stage Evaluation

5.1.1. Two-Stage Evaluation consists of the following levels of evaluation:
- Department Chair
- Associate Dean

5.1.2. Two-Stage Evaluation is REQUIRED for Part-Time Temporary Faculty (appointed the entire academic year) and when Part-Time Temporary Faculty (appointed one or two quarters) are evaluated.

5.2. Three-Stage Lecturer Evaluation

5.2.1. Three-Stage Lecturer Evaluation consists of the following levels of evaluation:
- Department Peer Review Committee (DPRC)
- Department Chair
- Associate Dean

5.2.2. Three-Stage Lecturer Evaluation is REQUIRED for Full-Time Temporary Faculty (appointed the entire academic year)

5.2.3. Three-Stage Lecturer Evaluation is REQUIRED for 12.13 Eligible Temporary Faculty (in 3rd year of 3-year appointment).

5.3. Three-Stage Probationary/Tenured Evaluation

5.3.1. Three-Stage Probationary/Tenured Evaluation consists of the following levels of evaluation:
- Department Peer Review Committee (DPRC)
- Department Chair
- College Dean

5.3.2. Three-Stage Probationary/Tenured Evaluation is REQUIRED for First Periodic Evaluation of Probationary Faculty Members and Subsequent Periodic Evaluation of Probationary Faculty.

5.3.3. Three-Stage Probationary/Tenured Evaluation is REQUIRED for Periodic Evaluation of Third Year Tenured Associate Professors and Post-Tenure Periodic Evaluation.

5.4. Four-Stage Lecturer Evaluation

5.4.1. Four-Stage Lecturer Evaluation consists of the following levels of evaluation:
- Department Peer Review Committee (DPRC)
- Department Chair
- College Peer Review Committee (CPRC)
- Associate Dean

5.4.2. Four-Stage Lecturer Evaluation is REQUIRED for Lecturer Range Elevation and 12.12 Eligible Temporary Faculty (in 6th consecutive year of employment of at least 2 quarters per year).

5.5. Four-Stage Probationary Evaluation

5.5.1. Four-Stage Probationary Evaluation consists of the following levels of evaluation:
- Department Peer Review Committee (DPRC)
- Department Chair
- College Dean
- Provost

5.5.2. Four-Stage Probationary Evaluation is used for performance review for retention.
5.6. **Five-Stage Probationary/Tenured Evaluation**

5.6.1. Five-Stage Probationary/Tenured Evaluation consists of the following levels of evaluation:
- Department Peer Review Committee (DPRC)
- Department Chair
- College Peer Review Committee (CPRC)
- College Dean
- Provost

5.6.2. Five-Stage Probationary/Tenured Evaluation is used for performance review for promotion and/or tenure.

5.7. **Exceptions**

5.7.1. 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).

5.7.2. 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).

5.7.3. If a conflict of interest exists between the faculty member under review and the department chair or academic administrator, the department chair or academic administrator should withdraw from this level of evaluation and provide a written rationale for withdrawal.

5.7.4. 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.

5.7.5. If the department chair is undergoing an evaluation, then the department chair level of evaluation is skipped.

5.7.6. If the department chair is on professional leave (sabbatical or DIP) and another faculty member is not appointed as Interim department chair, then all evaluations skip over the department chair level of evaluation.

5.8. **University Evaluation Process Calendar**

5.8.1. The office of Academic Personnel will publish the annual evaluation process calendar for the following evaluation types:
- First Periodic Evaluation of Probationary Faculty Members
- Retention
- Promotion
- Tenure
- Post-Tenure Periodic Evaluation
- 3rd-Year Cumulative Evaluation for 12.13 Eligible Lecturers
- Full-Time Temporary Faculty (appointed the entire academic year)
- Part-Time Temporary Faculty (appointed the entire academic year)
- Part-Time Temporary Faculty (appointed one or two quarters)

5.8.2. The College of Science and Mathematics Dean’s Office will publish the annual evaluation process calendar for the following evaluation types:
- Subsequent Periodic Evaluation of Probationary Faculty Members
- Periodic Evaluation of Third Year Tenured Associate Professors
- Lecturer Range Elevation
- 6th-Year Cumulative Evaluation for 12.12 Eligible Lecturers
6. Evaluation Cycle Patterns

6.1. Summary

6.1.1. A performance review is defined as an evaluation process that results in a personnel action such as retention, promotion or tenure.

6.1.2. A periodic evaluation is an evaluation process that does not result in a formal personnel decision, but that can be used to support future personnel decisions. Periodic evaluation is an opportunity to provide mentoring and guidance verbally and in writing to probationary faculty members.

6.1.3. Leaves may impact the scheduling of periodic evaluations and performance reviews.

6.2. Probationary Faculty Evaluation Patterns

6.2.1. All probationary faculty members will undergo either a performance review or periodic evaluation annually. Probationary faculty members will be evaluated according to one of the following cycles/patterns:

- Six-Year Tenure Cycle
- Five-Year Tenure Cycle
- Four-Year Tenure Cycle
- Late Start Six-Year Tenure Cycle (for Probationary Faculty Starting Winter or Spring Quarter)
- Late Start Five-Year Tenure Cycle (for Probationary Faculty Starting Winter or Spring Quarter)
- Late Start Four-Year Tenure Cycle (for Probationary Faculty Starting Winter or Spring Quarter)

6.2.2. Below is a breakdown of what evaluation process is mandated for each evaluation type that occurs for probationary faculty.

- First Periodic Evaluation of Probationary Faculty Members - Three-Stage Evaluation
- Retention - Four-Stage Probationary Evaluation
- Subsequent Periodic Evaluation of Probationary Faculty Members - Three-Stage Evaluation
- Promotion - Five-Stage Probationary/Tenured Evaluation
- Tenure - Five-Stage Probationary/Tenured Evaluation

6.2.3. Six-Year Tenure Cycle - A periodic evaluation will be conducted during the first academic year of this appointment and a performance review will be conducted during the second academic year as part of our normal procedures for retention of tenure-track faculty members. Probationary faculty members on a six-year tenure cycle will receive an initial appointment of two years. They are expected to undergo performance reviews in their 2nd, 4th, and 6th probationary years and periodic evaluations in their 1st, 3rd, and 5th probationary years. Normally, the 2nd year performance review is for retention consideration to the 3rd and 4th probationary years, and the 4th year performance review is for retention consideration to the 5th and 6th probationary years. Alternatively, retention can be for only one additional probationary year and if retention is for only one additional probationary year, a performance review rather than a periodic evaluation will be required during the next probationary year. The 6th year performance review is for tenure consideration. Below is a grid showing the normal evaluation schedule for a six-year tenure cycle.

<table>
<thead>
<tr>
<th>Probationary Year</th>
<th>Typical Schedule for Evaluations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initial appointment is for two probationary years.</td>
<td></td>
</tr>
<tr>
<td>1</td>
<td>Periodic evaluation for guidance</td>
</tr>
<tr>
<td>2</td>
<td>Performance review for retention to 3rd and 4th probationary years</td>
</tr>
</tbody>
</table>
5.2.4. Five-Year Tenure Cycle - A periodic evaluation will be conducted during the first academic year of this appointment and a performance review will be conducted during the second academic year as part of our normal procedures for retention of tenure-track faculty members. Probationary faculty members on a five-year tenure cycle will receive an initial appointment of two years with one year of credit towards tenure. Their first year will be designated as their 2nd probationary year. They are expected to undergo performance reviews in their 3rd, 5th, and 6th probationary years and periodic evaluations in their 2nd and 4th probationary years. Normally, the 3rd year performance review is for retention consideration to the 4th and 5th probationary years and the 5th year performance review is for retention consideration to the 6th probationary year. Alternatively, 3rd year performance review can be for only one additional probationary year, and in this case, another performance review will be required during the 4th probationary year. The 6th year performance review is for tenure consideration. Below is a grid showing the normal evaluation schedule for faculty with one year of credit toward tenure.

<table>
<thead>
<tr>
<th>Probationary Year</th>
<th>Typical Schedule for Evaluations</th>
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<tbody>
<tr>
<td>1</td>
<td>Tenure credit applied to 1st probationary year</td>
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<tr>
<td>2</td>
<td>Periodic evaluation for guidance</td>
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<tr>
<td>3</td>
<td>Performance review for retention to 4th and 5th probationary years</td>
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<td>4</td>
<td>Periodic evaluation for guidance</td>
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<td>5</td>
<td>Performance review for retention to 6th probationary year</td>
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<tr>
<td>6</td>
<td>Performance review for tenure consideration</td>
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</tbody>
</table>

5.2.5. Four-Year Tenure Cycle - A periodic evaluation will be conducted during the first academic year of this appointment and a performance review will be conducted during the second academic year as part of our normal procedures for retention of tenure-track faculty members. Probationary faculty members on a four-year tenure cycle will receive an initial appointment of two years with two years credit towards tenure. Their first year will be designated as their 3rd probationary year. They are expected to undergo performance reviews in their 4th, 5th and 6th probationary years and a periodic evaluation in their 3rd probationary year (first academic year). Normally, the 4th year performance review is for retention consideration to the 5th probationary year and the 5th year performance review is for retention consideration to the 6th probationary year. The 6th year performance review is for tenure consideration. Below is a grid showing the normal evaluation schedule for faculty members with two years of credit toward tenure.

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<thead>
<tr>
<th>Probationary Year</th>
<th>Typical Schedule for Evaluations</th>
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<tr>
<td>1</td>
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<tr>
<td>2</td>
<td>Tenure credit applied to 2nd probationary year</td>
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</tbody>
</table>
6.2.6. Late Start Six-Year Tenure Cycle (for Probationary Faculty Starting Winter or Spring Quarter) - No evaluation will be conducted during the late start academic year. For late starts, their first probationary year consists of four quarters for probationary faculty starting in Spring quarter or five quarters for probationary faculty starting in Winter quarter (CBA 12.21). A periodic evaluation will be conducted in the first full academic year, and a performance review will be conducted during the second full academic year as part of our normal procedures for retention of tenure-track faculty members. Probationary faculty members on late start six-year tenure cycle will receive an initial appointment of a partial year and two probationary years. Probationary faculty with this schedule will have performance reviews in their 1st (full academic year), 3rd and 5th probationary years. Normally, the 2nd year performance review is for retention consideration to the 3rd and 4th probationary years, and the 4th year performance review is for retention consideration to the 5th and 6th probationary years. Alternatively, retention can be for only one additional probationary year, and if retention is for only one additional probationary year, a performance review rather than a periodic evaluation will be required during the next probationary year. The 6th year performance review is for tenure consideration. Below is a grid showing the normal evaluation schedule for faculty starting late in the academic year (winter or spring quarter).

<table>
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</tr>
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<td>Periodic evaluation for guidance</td>
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<td>3</td>
<td>Periodic evaluation for guidance</td>
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<td>4</td>
<td>Performance review for retention to 5th and 6th probationary years</td>
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<td>Periodic evaluation for guidance</td>
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<td>Performance review for tenure consideration</td>
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</tbody>
</table>
Late Start Five-Year Tenure Cycle (for Probationary Faculty Starting Winter or Spring Quarter with one year of tenure credit) - No evaluation will be conducted during the late start academic year. For late starts, their second probationary year consists of four quarters for probationary faculty starting in Spring quarter or five quarters for probationary faculty starting in Winter quarter (CBA 12.21). A periodic evaluation will be conducted in the first full academic year, and a performance review will be conducted during the second full academic year as part of our normal procedures for retention of tenure-track faculty members. Probationary faculty members with a late start five-year tenure cycle will receive an initial appointment of a partial year and two probationary years, and one year of tenure credit. The partial year does not count towards tenure. They are expected to undergo performance reviews in their 3rd, 5th and 6th probationary years and periodic evaluations in their 2nd and 4th probationary years. Normally, the 3rd year performance review is for retention consideration to the 4th and 5th probationary years, and the 5th year performance review is for retention consideration to the 6th probationary year. Alternatively, retention can be for only one additional probationary year, and if retention is for only one additional probationary year, a performance review rather than a periodic evaluation will be required during the next probationary year. The 6th year performance review is for tenure consideration. Below is a grid showing the normal evaluation schedule for faculty starting late in the academic year (winter or spring quarter), with one year of credit towards tenure.

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<td>Performance review for retention to 6th probationary year</td>
</tr>
<tr>
<td>6</td>
<td>Performance review for tenure consideration</td>
</tr>
</tbody>
</table>
Late Start Four-Year Tenure Cycle (for Probationary Faculty Starting Winter or Spring Quarter with two years of tenure credit) - No evaluation will be conducted during the late start academic year. For late starts, their third probationary year consists of four quarters for probationary faculty starting in Spring quarter or five quarters for probationary faculty starting in Winter quarter (CBA 12.21). A periodic evaluation will be conducted in the first full academic year, and a performance review will be conducted during the second full academic year as part of our normal procedures for retention of tenure-track faculty members. Probationary faculty members with a late start four-year tenure cycle will receive an initial appointment of a partial year and two probationary years, and two years of tenure credit. The partial year does not count towards tenure. They are expected to undergo performance reviews in their 4th, 5th and 6th probationary years and a periodic evaluation in their 3rd probationary year. Normally, the 4th year performance review is for retention consideration to the 5th probationary year and the 5th year performance review is for retention consideration to the 6th probationary year. The 6th year performance review is for tenure consideration. Below is a grid showing the normal evaluation schedule for faculty starting late in the academic year (winter or spring quarter), with two years of credit towards tenure.

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</tbody>
</table>
6.3. Tenured Faculty Evaluation Patterns

6.3.1. Below is a breakdown of what evaluation process is mandated for each evaluation type that occurs for tenured faculty.

- Periodic Evaluation of Third Year Tenured Associate – Three-Stage Evaluation
- Promotion – Five-Stage Probationary/Tenured Evaluation
- Post-Tenure Periodic Evaluation – Three-Stage Evaluation

6.3.2. Tenured associate professors will be subject to a periodic evaluation during the third year in which they have served in the academic rank of associate professor. The purpose of the evaluation is to evaluate progress and provide mentoring to associate professors in their quest to achieve promotion to full professor. Evaluators will review the tenured associate professor’s progress and performance on the proposed professional plan. Their professional plan should demonstrate commitment to career-long teaching effectiveness, a productive program of scholarship capable of external validation and a record of active service and participation in the university community.

6.3.3. Tenured faculty members at any rank (assistant, associate and full professors) shall be subject to periodic evaluation at least every five years.

6.3.4. All of the following evaluations restart the five year count to the next mandatory Post-Tenure Periodic Evaluation:

- Periodic Evaluation of Third Year Tenured Associate Professors
- Promotion Evaluations
- Post-Tenure Periodic Evaluation

6.3.5. Normally, tenured associate professors become eligible for consideration for promotion to full professor during their fifth year in rank. Early promotion is considered only under extraordinary conditions of performance and achievement.

6.3.6. Tenured associate professors who do not achieve timely promotion to full professor must undergo a Post-Tenure Periodic Evaluation every five years. The purpose of periodic review of tenured faculty members is to ensure that the ideals and responsibilities of tenure are respected and faithfully pursued by each member of the tenured faculty, and to provide constructive feedback to assist tenured faculty members in fulfilling their responsibilities throughout their careers as described in Section 7.1. Periodic reviews are performed to ensure maintenance and improvement of a tenured faculty member’s effectiveness in teaching, scholarship, and service and university citizenship. Faculty participating in the Faculty Early Retirement Program (FERP) are not required to undergo post-tenure review unless requested by the FERP or appropriate administrator.

6.3.7. The mandatory Post-Tenure Periodic Evaluation will be replaced by a performance evaluation if the faculty member is being considered for promotion.

6.4. Temporary Faculty (Lecturer and Clinical Practice Supervisor) Evaluation Patterns

6.4.1. Full-Time Temporary Faculty (appointed the entire academic year) that do not hold a three-year appointment with 12.12 or 12.13 entitlement must be evaluated each year using the Three-Stage Evaluation process.

- Years 1-5: Three-Stage Evaluation
- Year 6: If full-time lecturer has been appointment for two or more quarters each year for six consecutive years, then in their sixth year, they will receive a Four-Stage Lecturer Evaluation (6th Year Cumulative Evaluation for 12.12 Entitlement).
6.4.2. Part-Time Temporary Faculty (appointed the entire academic year) that do not hold a three-year appointment with 12.12 or 12.13 entitlement must be evaluated each year using the Two-Stage Evaluation process with the opportunity for input from tenured faculty members. Tenured faculty members should be given the opportunity to provide evaluative statements and such statements shall be written and signed (CBA 15.24).

- Years 1-5: Two-Stage Evaluation (Annual)
- Year 6: If part-time lecturer has been appointment for two or more quarters each year for six consecutive years, then in their sixth year, they will receive a Four-Stage Lecturer Evaluation (6th Year Cumulative Evaluation for 12.12 Entitlement).

6.4.3. Part-Time Temporary Faculty (appointed one or two quarters) must be evaluated at a minimum every three years using the Two-Stage Evaluation process. The lecturer, department chair or dean may request more frequent reviews.

- Year 1: Two-Stage Evaluation
- Year 2: Optional Two-Stage Evaluation
- Year 3: Optional Two-Stage Evaluation
- Year 4: Two-Stage Evaluation
- Year 5: Optional Two-Stage Evaluation
- Year 6: If in 6th consecutive year of employment of at least two quarters per year, then Four-Stage Lecturer Evaluation (6th Year Cumulative Evaluation for 12.12 Entitlement)

6.4.4. 6th-Year Cumulative Evaluation for 12.12 Eligible Lecturers occurs when a full-time or part-time lecturer is in their sixth consecutive year of employment of at least two or more quarters per academic year. This evaluation type requires a Four-Stage Lecturer Evaluation process.

6.4.5. 3rd-Year Cumulative Evaluation for 12.13 Eligible Lecturers occurs when a full-time or part-time lecturer is in their third year of a three-year appointment. This evaluation type requires a Three-Stage Evaluation process. Lecturers holding a three-year appointment may be evaluated more frequently at the request of the lecturer, department chair or dean.

- Year 1: Optional Evaluation
- Year 2: Optional Evaluation
- Year 3: Three-Stage Evaluation

6.4.6. Lecturer Range Elevation eligibility is established by the California State University (CSU) and the California Faculty Association (CFA – Unit 3) and current information, along with the process and timelines are stated in the Academic Personnel Lecturer Range Elevation Eligibility Guidelines document (https://content-calpoly-edu.s3.amazonaws.com/academic-personnel/1/PDF/LRE_Guidelines.pdf). This evaluation type requires a Four-Stage Lecturer Evaluation process.

6.4.7. The evaluation of Clinical Practice Supervisors will follow CSM procedures for each type of lecturer evaluation as defined in this document. The WPAF materials to be provided by Clinical Practice Supervisors differ slightly and are defined above. The California Commission on Teacher Credentialing (CTC) requires that Clinical Practice Supervisors be systematically evaluated and demonstrate competency against the following criteria: (1) Current knowledge of the content; (2) Knowledge of current context of public schooling; (3) Knowledge of diversity in society; and (4) Demonstration of effective professional practices in teaching and learning. According to our CTC Accreditation, the School of Education can only hire and employ Clinical Practice Supervisors that demonstrate these qualifications and maintain current knowledge of these areas and skills.
7. Personnel Action Eligibility and Criteria

7.1. Summary – Refer to UFPP 7.1

7.2. Retention, Promotion and Tenure of Tenure-Track Faculty – Refer to UFPP 7.2

7.3. Retention Eligibility – Refer to UFPP 7.3

7.4. Promotion Eligibility – Refer to UFPP 7.4

7.5. Tenure Eligibility – Refer to UFPP 7.5

7.6. Tenure Criteria – For Additional Information Refer to UFPP 7.6

7.6.1. Tenure is the most important of all personnel actions. It is an expression of confidence in a faculty member’s intellect, creativity, initiative, work ethic, and career-long value to Cal Poly. It presumes a loyalty and responsibility on the part of the faculty member to the university, students, and curriculum. With tenure comes the expectation that a faculty member will, during their career, accomplish a body of work in teaching, scholarship, service, and as a respected citizen of the university that is of recognizable value and importance and which constitutes a meaningful contribution to the mission of the university. Tenure expresses a belief in the critical role tenured faculty play in shaping the future of the university. Achieving tenure is an honor and privilege, an accomplishment of tremendous significance and with it come responsibilities and expectations of immense importance to the university.

7.6.2. When a faculty member is awarded tenure, it is with the expectation that the capability exists of meeting the requirements for full professor at some timely point during their career. A full professor is an effective and respected teacher who has a sustainable, career-long, creative program of scholarship, and who demonstrates thoughtful leadership in issues of shared governance including personnel decisions, curriculum and pedagogy development, utilization of resources, and matters of student welfare and success.

7.7. Lecturer Range Elevation Eligibility and Criteria – Refer to UFPP 7.7

7.8. Temporary Faculty (Lecturer) Performance Criteria

7.8.1. Lecturers will be evaluated according to the category or categories (teaching, scholarship, service and university citizenship) relevant to the assignment.

7.8.2. Lecturers are normally employed to support the teaching function of the college.

7.8.3. Expectations in all areas of evaluation increase with lecturer range.

7.8.4. Continuous improvement in performance and currency in the discipline as described in the following paragraphs are critical criteria.
8. Evaluation of Teaching

8.1. Summary – Refer to UFPP 8.1

8.2. Observation of Instruction – Refer to UFPP 8.2

8.3. [Reserved] Guidance for Evaluation of Instruction – Refer to UFPP 8.3

8.4. Student Evaluation of Instruction - Refer to UFPP 8.4

8.5. [Reserved] Evaluation of Professional Services - Refer to UFPP 8.5

8.6. Teaching Evaluation Criteria for Probationary and Tenured Faculty

The statements on teaching are intended to provide a college philosophy, which should be applied with flexibility and appreciation for differences in ideas, approaches, and contributions.

8.6.1. Teaching and promoting student learning and success are the most important responsibilities of a faculty member and this category is weighted most heavily in periodic reviews and performance evaluations. In evaluating teaching performance, many modes of instruction are recognized including classroom, laboratory, integrated lecture/laboratory courses, non-traditional courses, and supervision of student projects and research. Peer review, classroom visitations, student evaluations, and examination of course materials are among the methods to be used in assessing teaching performance.

8.6.2. Quality performance is expected in the various aspects of teaching including the following:

- Engagement and Guidance of Students in Learning: 1) Involvement of students in learning by inspiration: lecture or laboratory course content and delivery, 2) Involvement of student in learning by incentive: assignments and exams, 3) Guiding students to take responsibility for learning, 4) Engaging curiosity, imagination, creative and critical thinking in students, 5) Supervision of student projects and research.

- Course Organization: 1) Informative and complete course syllabus, 2) Content appropriate to course objectives and level, 3) Effective organization and scheduling of topics, projects, papers, exams, and other assignments and methods of evaluation

- Course Presentation: 1) Effective pedagogy, 2) Effective presentation techniques, 3) Clarity of expression, 4) Effectiveness in guiding student learning, 5) Satisfying intellectual experience for students

- Laboratory Teaching: 1) Respect for the hands-on, laboratory-intensive curriculum at Cal Poly and the resources required including instructor and technical staff salaries, operating expense, instrumentation, and facilities, 2) Effective use of the entire laboratory period of instruction, 3) Effective instructor interaction with students during laboratory sessions, 4) Quality of intellectual experience, 5) Quality of lab lectures and discussions, 6) Effective use of evaluation schemes such as lab reports and quizzes

- Promoting Student Success: 1) Acceptance of the responsibility of the College of Science and Mathematics to academically orient and foster success of new students from all colleges as most (especially those in the polytechnic majors) take their initial courses at Cal Poly in the College of Science and Mathematics, 2) Orienting and guiding students to academic success in all courses at all levels of the curriculum, 3) Fostering faculty/student interactions and providing student access to instructor, 4) Advising and mentoring of students, 5) Commitment to students and their personal and academic growth, 6) Promoting student success in all aspects of teaching
• Contributions to the Curriculum: 1) Willingness to teach in all levels of the curriculum appropriate to the faculty member’s expertise, 2) Respect for general education, support, major and elective courses and willingness to contribute in each area, 3) Contributions to curriculum and pedagogy development

8.6.3. In addition to other comments the committee chooses to include, DPRC evaluations should address appropriateness of course content, organization and level. It should evaluate the course materials including the course syllabus as well as the quality of presentation. The evaluation should also address the quality, level and appropriateness of exams and evaluation methods. Comments should be made regarding grade distributions and student evaluations.

8.7. Teaching Evaluation Criteria for Lecturers

8.7.1. Continuous improvement in performance and currency in the discipline as described in the following paragraphs are critical criteria.

• Excellence in Teaching: Evidence includes high quality course syllabi and materials, appropriate use of technology, appropriate levels of student learning and success, as well as strong student and peer evaluation profiles. Excellence in teaching is characterized by a learning environment that fosters excitement and curiosity, critical and creative thinking, and intellectual stimulation and development. Course topics and materials should be current and challenging, appropriate in scope and level, and show a thoughtful balance between theory and application. Academic standards consistent with the mission of the university are expected as is a classroom atmosphere and teaching approach that encourages student engagement and success.

• Currency in the Discipline: Evidence could include making significant contributions to the curriculum such as incorporating current topics and relevant material into courses, engaging students with innovative pedagogies, and developing new and modern laboratory experiences. Currency can also be established by presenting at educational conferences and workshops, publication of textbooks and other educational materials, or publishing in peer reviewed education journals.

• Ability to Teach at Appropriate Levels of the Curriculum: Lecturers in Range A are normally expected to teach at the lower levels of the curriculum. Lecturers in Ranges B, C, and D are expected to have the expertise to increasingly teach more fully in the curriculum including upper division lecture and laboratory courses.

• Continuous Improvement in Performance: Increasing excellence in teaching, currency in the discipline, and ability to teach at appropriate levels of the curriculum are expected.

8.7.2. Evaluators should use the following format for evaluation of lecturers and provide statements under each of the following categories that validate the appropriateness of materials and performance, or provide guidance for needed improvement. The format is devised to provide efficient and effective evaluation and guidance.

• Comments on Course Syllabus and Course Materials
• Comments on Grading Schemes and Grade Assignments
• Comments on Course Content and Level, and Level/Difficulty of Exams
• Analysis of Student Evaluation Results
• Comments on Teaching Performance
• Other Comments as Applicable (such as scholarship, professional accomplishments and service and university citizenship)
8.8. Special Teaching Considerations for School of Education (SOE) Faculty

8.8.1. When assessing SOE faculty teaching performance, several unique characteristics of their work should be considered, including:

- SOE faculty members prepare courses for and instruct post-baccalaureate and graduate students.
- SOE faculty members teach, supervise, and evaluate students engaged in field work assignments. These supervision duties are a regular part of faculty instructional performance and involve recruiting supervising teachers for student teaching candidates and interns, and supervising students over a large region requiring significant travel time.
- SOE faculty members routinely engage in the creation and administration of unique agency-required assessments (e.g. CDE, CCTC and NCATE requirements); these duties are a regular part of faculty instructional performance.
- Unlike most undergraduate courses where quizzes and examinations are a regular part of the assessment of student performance, SOE faculty normally use a system of formative and summative assessments that consider students’ field work, projects, examinations, and reports. Tests and quizzes are not primary methods of assessment in the SOE.
- The grading scale commonly applied for SOE students differs from the traditional undergraduate model (A-F). All SOE students are post-baccalaureate and graduate students who are pre-selected using rigorous standards and required to maintain a 3.0 GPA. Because most do student teaching or internships in area classrooms, a high level of preparation is required and non-performing students are not allowed to continue. As a result, the more commonly applied grade scale for SOE students is: A A- B+ B B- CR/NC (a grade of B or higher is required to award a student a CR grade).
9. Evaluation of Professional Development

9.1. Professional Plan
The professional plan is an especially important part of the Working Personnel Action File. Criteria for personnel action in the College of Science and Mathematics are purposefully general. They are applied to each faculty member via the faculty member’s individual professional plan that is developed to demonstrate career-long commitment in teaching, externally validated scholarship, and active service and participation in the university community. The plan is evaluated as to whether or not it is an appropriate guide towards tenure and promotion and it thus serves as the faculty member’s own personalized set of criteria.

9.2. Scholarship Evaluation Criteria for Probationary and Tenured Faculty
The statements on scholarship are intended to provide a college philosophy, which should be applied with flexibility and appreciation for differences in ideas, approaches, and contributions.

9.2.1. Faculty members are expected to initiate, develop, and maintain career-long programs of scholarly and creative activities. These programs should be effective in maintaining connection, involvement, excitement, and life-long learning in one’s field(s). Collaborative efforts involving students, such as in undergraduate research, are especially valued as are collaborative pursuits with faculty colleagues within departments and interdisciplinary pursuits across the college and university.

9.2.2. Many forms of scholarship are valued including those presented in Boyer’s Carnegie Foundation report, Scholarship Reconsidered: Priorities of the Professoriate. We value all four types of scholarship described by Boyer: Teaching, Discovery, Integration, and Application. It is recognized that professional pursuits change and evolve during a career and could involve more than one of the following:

- The Scholarship of Teaching: involves not only transmitting knowledge, but transforming, extending and disseminating it as well
- The Scholarship of Discovery involves research focused on contributing to the stock of human knowledge
- The Scholarship of Integration involves the work of interpreting, drawing together, and bringing new insight to original research
- The Scholarship of Application involves using knowledge and new research discoveries to solve problems

9.2.3. Scholarship programs are expected to demonstrate sustainability and external validation. External validation can take many forms including refereed publications and books, invited and competitively accepted papers/presentations, national or regional publication of educational materials such as textbooks and software, and receipt of patents. Other activities that may contribute to faculty professional development and lead to external validation of scholarship include applying for competitive grants, receipt of competitive grants, membership on appointed science advisory councils or editorial boards, significant leadership activities in professional societies, and productive collaborations with the public or private sector.

9.2.4. Normally, peer reviewed scholarly publication is required for tenure and promotion.

9.2.5. DPRC evaluations should evaluate and validate the candidate’s professional achievements so that subsequent levels of review can understand the significance of the candidate’s achievements.
9.3. **Scholarship Evaluation Criteria for Lecturers**

9.3.1. A documented and continuing program of scholarship with external validation, though desirable, is not normally required for lecturers.

9.3.2. In some cases, lecturers can be appointed to a position that includes teaching and scholarship. In these cases, evaluation involves both teaching and scholarship.

9.3.3. Success in scholarship is normally demonstrated by external validation. Scholarship programs are expected to demonstrate sustainability and external validation. External validation can take many forms including refereed publications and books, invited and competitively accepted papers/presentations, national or regional publication of educational materials such as textbooks and software, and receipt of patents. Other activities that may contribute to faculty professional development and lead to external validation of scholarship include applying for competitive grants, receipt of competitive grants, membership on appointed science advisory councils or editorial boards, significant leadership activities in professional societies, and productive collaborations with the public or private sector.

9.4. **Special Scholarship Considerations for School of Education (SOE) Faculty**

The School of Education applies the scholarship standards as described in the College of Science and Mathematics personnel document.
10. Evaluation of Service and University Citizenship

10.1. Service and University Citizenship Evaluation Criteria for Probationary and Tenured Faculty

The statements on service and university citizenship are intended to provide a college philosophy, which should be applied with flexibility and appreciation for differences in ideas, approaches, and contributions.

10.1.1. An engaged and committed faculty is essential to the strength and vitality of the university community. All faculty members are expected to engage in meaningful service activities in a way that emphasizes active involvement, achievement, and leadership. Service can be at the department, college, and university level and career or discipline related service in the community.

10.1.2. It is important for all faculty members to participate in service at the department level and be active participants in department affairs including governance, decision-making, and committee work, all of which are essential to the strength and development of the department and the personal growth and success of students, the staff, and members of the faculty. Every faculty member should make meaningful contributions in service to the department throughout their careers.

10.1.3. Expectations in service increase with experience and rank. Tenured associate and full professors are expected to contribute periodically at the college and university levels and exhibit increasing levels of leadership and accomplishment.

10.1.4. Faculty members are expected to become respected university citizens and involved members of the campus community who participate in activities such as seminars and colloquia, academic orientation and advising of students, fall conference, commencement, functions of student clubs and honor societies, and other important events at the department, college, and university levels. University citizenship also assumes collegial consideration of different points of view, diversity, and inclusivity.

10.1.5. Service to the community beyond Cal Poly is also of significant value. Linking the expertise of faculty and students to our broader community builds the reputation of our institution, creates professional opportunities for students, and more fully realizes the potential of the academy to do good for our society. Service in this capacity can take on many forms including serving on non-profit boards, government advisory committees and panels, agency proposal review committees, the editorial boards of scholarly journals, and by communicating science to the public (e.g., public lectures and events).

10.1.6. DPRC evaluations should report and evaluate participation in department responsibilities. The DPRC evaluations should evaluate contributions in terms of active involvement, achievement, leadership, and level of service (department, college, and university level). Comments on involvement in the campus community and participation in events important to the department, college and university should be made in the DPRC evaluation.

10.2. Service and University Citizenship Evaluation Criteria for Lecturers

10.2.1. Active and productive service strengthens a Lecturer’s case for appointment, but is not normally required unless specified in the appointment.
10.3. Special Service Considerations for School of Education (SOE) Faculty

Because of the unique nature of each program within the School of Education, Program Coordinator activities should be valued as necessary unit-level service and weighed more heavily than membership on departmental or university committees. SOE Program Coordinators are responsible for the range of departmental-level functions such as student recruitment, admission, advisement, field placements and supervision, academic program review, and assessments mandated by CDE, CCTC, NCATE.
11. Governance
11.1. Summary – Refer to UFPP 11.1
11.2. [Reserved] Guiding Principles – Refer to UFPP 11.2
11.3. [Reserved] College Governance – Refer to UFPP 11.3
11.4. [Reserved] Department Governance – Refer to UFPP 11.4
11.5. Associate Dean Appointments – Refer to UFPP 11.5
12. Workload

12.1. Summary – Refer to UFPP 12.1

12.2. Office Hours - Refer to UFPP 12.2

12.3. Assigned Time for Exceptional Levels of Service to Students – Refer to UFPP 12.3

12.4. Sabbatical and Difference in Pay Leaves

- 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. Lower priority will be given to leaves for other purposes unless the applicant can demonstrate significant potential benefits to the university or show a significant relationship of the activities to research or scholarship.

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

- 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.

12.4.1. Sabbatical Leave

- Full-time faculty unit employees, except coaches, 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.

- 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.

- 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.

- 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.

- Faculty employees serving as department chair/head (class codes 2481 or 2482) shall be assigned to the equivalent instructional faculty classification (2360 or 2361) for the duration of the sabbatical, and will not receive the department chair/head stipend while on sabbatical leave.

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

12.4.2. Difference-in-Pay Leave

- 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).

- An academic year faculty employee is compensated at the difference between the employee’s monthly salary and that of the minimum monthly salary of the academic year Instructor rank.

- A 12-month faculty employee is compensated at the difference between the employee’s monthly salary and that of the minimum monthly salary of the 12-month Instructor rank.
• 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.
• Current academic year faculty unit employees may apply for a DIP leave of one quarter, two quarters or three quarters in length. The pay periods affected for Fall quarter are September, October, November and December. The pay periods affected for Winter quarter are January, February, March, and August. The pay periods affected for Spring quarter are April, May, June, and July.
• 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 DIP leave of 3 months, 6 months, or 9 months in length. The start date of a DIP leave for a 12-month faculty employee with instructional responsibilities shall coincide with the start date of the appropriate academic term.
• Faculty employees serving as department chair/head (class codes 2481 or 2482) shall be assigned to the equivalent instructional faculty classification (2360 or 2361) for the duration of the DIP leave, and will not receive the department chair/head stipend while on DIP leave.
• Grant-related instructional faculty (GRIF) must be converted to instructional faculty classifications for the duration of DIP leave.

12.4.3. Leave Applications
• Applicants for professional leaves with pay, either sabbatical or difference in pay leaves, should prepare the application using appropriate university forms, with consideration of the guidelines for professional leave applications presented in this section, and with submission by announced deadlines. The proposal should show thoroughness of planning and clearly present the following information:
  1. A detailed description of the proposed plan including a justification of the time requested.
  2. Supporting documentation from sponsors or hosts for the applicant or the proposed project.
  3. Statement of benefit, which will accrue to the university, to the applicant’s scholarship and/or to students.
  4. Applicant’s background in relation to the project.
  5. Urgency of the proposed leave in relation to the university’s program or mission.

12.4.4. Department Professional Leave Committee (DPLC)
• As per CBA 28.7, difference in pay leave requires review by a Department Professional Leave Committee (DPLC). DPLC 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.
• In the College of Science and Mathematics, the DPLC shall review all DIP and sabbatical leave applications and make a recommendation for or against the leave based on the quality of the leave proposal. The recommendation of the DPLC is included in the application sent to the department chair/head.

12.4.5. Department Chair Recommendations
• Department chairs 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.
• If an applicant is the current department chair/head, the appropriate associate dean shall make the equivalent recommendation.
12.4.6. College Professional Leave Committee (CPLC)

- As per CBA 27.5, CPLC members shall be composed of tenured faculty who are not applying for a sabbatical or DIP leave.
- College Professional Leave Committee (CPLC) members shall be elected 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.
- In the College of Science and Mathematics, the CPLC shall review both DIP and sabbatical 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.
- The CPLC shall rank order all recommended sabbatical leave applications, and separately rank order any DIP leave applications under the scope of its review. Applicants should be recommended to the dean in categories such as recommend enthusiastically, recommend, recommend with reservations, not recommended. The CPLC report shall clearly state to the dean or appropriate administrator the reasons for recommending denial of an application, and this report should be forwarded to the dean or appropriate administrator along with the leave applications.

12.4.7. Dean Recommendations

- Deans shall review all sabbatical and DIP leave applications in their faculty units and make recommendations to the provost.
- Deans 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, and campus budget implications.
- Deans should be aware that faculty members from small departments should not be disadvantaged from obtaining a sabbatical or DIP leave.
- Deans shall verify that post-leave reports have been completed for all previous sabbatical and DIP leaves prior to recommending approval.
- Deans shall rank order all sabbatical leave applications that are being recommended (including all one, two- and three-quarter sabbatical applications). Deans shall separately rank order all DIP leave applications that are being recommended.

12.4.8. Provost Decision

- The provost is the final level of administrative evaluation for sabbatical and DIP leave.
- The provost shall review the candidate’s materials and reports from all levels of evaluation.
- The provost’s letter to the candidate constitutes the final decision on sabbatical and DIP leave.
- 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).
- Leave recipients shall submit a post-leave report to the college dean or appropriate administrator (with a copy to the department chair/head) within two months of their return from leave. The college dean or appropriate administrator 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.
- 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.
13. Appendices

13.1. Appendix A: WPAF for Probationary and Tenured Faculty, and Lecturers

Outline for Probationary and Tenured Faculty, and Lecturers Preparing WPAF for Periodic Evaluations and Performance Reviews. Please determine which of the materials below are required for your evaluation type by reading sections 3.3 and 3.4 of this document.

A. Index of Materials

B. Curriculum Vitae (CV): Please provide a full professional CV using the following outline, distinguishing work accomplished prior to appointment at Cal Poly from Cal Poly accomplishments, beginning with the most recent.

1. **Educational Preparation**: higher education since high school

2. **Employment**:
   a. For probationary/tenured faculty – include employment since Ph.D. unless prior employment is relevant
   b. For lecturers – include relevant employment

3. **Teaching Related Activities**:
   a. Courses taught (prefix, catalog number, title, quarters)
   b. Honors/Awards
   c. Special Contributions to the curriculum (e.g., course coordination)
   d. Undergraduate research and senior projects (please list grants, presentations, publications in the next section labeled “scholarship”).

4. **Scholarship**:
   a. Publications: List only those actually published, in press or accepted for publication. Under each compose a short description that unambiguously addresses the following:
      i. **Date of Work**: Distinguish work done at Cal Poly from work done prior to arrival at Cal Poly. For associate professors being considered for promotion to Professor, it is important to indicate accomplishments resulting from work performed since promotion to associate professor. Here are some examples of what qualifies as each of those categories.
         • A publication from a Ph.D. dissertation based solely on work done at the graduate institution but dated in the journal subsequent to arrival at Cal Poly should not be attributed to work done at Cal Poly.
         • A publication that is from prior work but with significant enhancement at Cal Poly can be listed as work at Cal Poly with proper explanation.
         • A paper accepted for publication while an assistant professor but with a publication date after promotion to associate professor should not be counted as an accomplishment while in rank of associate professor.
         • Any manuscript submission (and subsequent acceptance for publication) that occurs after a faculty member has submitted materials for promotion would be used in consideration for their next promotional step.
      ii. **Journal**: Briefly describe type of journal (affiliation, peer-reviewed, etc.)
      iii. **Authors**: Clearly identify Cal Poly student co-authors and indicate whether they are graduate or undergraduate students, and their major. Identify other co-authors (title, institution, relationship) and the extent of collaboration. Describe your role in the work.
b. Manuscripts: List manuscripts in the categories of “Manuscripts Submitted” (indicate journal and date of submission) or “Manuscripts In-Preparation” (indicated projected date for submission).

c. Educational Materials: This section is for textbooks and other educational materials. Provide date of publication and publisher. If textbook is under contract but not yet published, indicate the expected date of publication.

d. Project and Technical Reports: Reports on work done for a company, government agency, or professional laboratory should be listed in this category.

e. Articles: This category should contain non-refereed articles.

f. Patents: Clearly identify collaborators and indicate whether they are graduate or undergraduate students, and the major. Identify other collaborators (title, institution, relationship) and the extent of collaboration. Describe your role in the work. Refer to https://research.calpoly.edu/policyIP for campus policy on intellectual property.

g. Presentations:
   i. External Presentations
      • Date of Work: Distinguish work presented from that done at Cal Poly as opposed to work completed prior to arrival at Cal Poly. Similarly, distinguish work done in each rank (e.g., assistant professor, associate professor, full professor, etc.) See guidelines under publications.
      • Type: Distinguish among talks, posters and symposia.
      • Professional Meeting: Indicate the venue of the presentation such as national or regional professional society meeting, invited or refereed, presentation at another university, and date.
      • Presenter(s): When listing a presentation with multiple authors, indicate who actually did the presentation, identify the co-authors, and especially identify Cal Poly students and indicate whether they are undergraduate or graduate and their major.
      • Proceedings and Abstracts: A pre-conference abstract probably should not be listed as a publication. A substantial and refereed article in a conference proceedings publication might qualify as a publication.
      • Short Courses and Workshops: Give title or description of the workshop, whether on- or off-campus, and if the presentation is to a mostly external constituency provide dates, location, and approximate number of participants.

   ii. Cal Poly Presentations: On-campus professional presentations to members of the campus community should be listed separately. Examples would be department seminars and student presentations of research you mentored at the CSM Student Research Conference. However, guest lecturers performed in Cal Poly classes generally would not be listed.

   iii. Community Presentations: A community presentation related to your discipline and expertise should be listed here.

h. Grants and Contracts: List each grant or contract separately. For each, identify the following:
   i. External or Internal Funding
   ii. Date
   iii. Purpose
iv. Source
v. Identify whether it was funded or not funded
vi. Amount
vii. Label your role (eg., principal investigator, co-principal investigator, researcher, etc.) and identify other PIs/participants.
viii. Describe your role by providing a relative proportion of the grant in which you participated or are participating either by giving a percentage or a descriptive statement (such as ‘a majority’ or ‘shared between four colleagues’) so that reviewers at all levels will be able to determine your contribution.
ix. Are Cal Poly students are involved? If so, distinguish graduate and undergraduate students, and provide their names and majors.

i. Consulting Activities
j. Professional Honors and Leadership Activities: Please list and describe awards from professional organizations and leadership activities such as officer in a professional society or journal editor.
k. Other: Please list any other important activities that are part of your accomplishments under scholarship.

5. Service and University Citizenship: This is the primary documentation of service. Arrange as best describes your contributions. A common organization uses the headings of department, college, university, professional, community. Please include evidence of university citizenship such as attending/organizing seminars and colloquia, academic orientation and advising of students, fall conference, commencement, functions of student clubs and honor societies, and other important events at the department, college, and university levels.

C. Summary Table of Grades Assigned: Please develop and keep up to date annually a summary table for the entire period in rank for graded courses and labs in which you were responsible for assigning student grades for official student transcripts. Grades should be reported in percent in the following format. Reporting course GPA is optional. Sample table below:

<table>
<thead>
<tr>
<th>Quarter and Year</th>
<th>Course Prefix/Subject</th>
<th>Course/Catalog Number</th>
<th>Student Count</th>
<th>% A</th>
<th>% B</th>
<th>% C</th>
<th>% D</th>
<th>% F/WU</th>
<th>% W/I</th>
</tr>
</thead>
<tbody>
<tr>
<td>Example: Fall 2019</td>
<td>Examples: BIO, MATH</td>
<td>Examples: 100, 220, 350</td>
<td>#</td>
<td>#</td>
<td>#</td>
<td>#</td>
<td>#</td>
<td>#</td>
<td>#</td>
</tr>
</tbody>
</table>

D. Summary Table of Student Evaluation Results: Please develop and update annually a summary table of student evaluation scores for the entire period in rank. Report the average that appears on your course summary reports for the Academic Senate required question, “Overall, this instructor was educationally effective.” Include in your table the quarter and year (e.g., Fall 2019, Winter 2020), course prefix/subject, course/catalog number and section number, mode of instruction (e.g., lec, lab, act, sem), enrollment total, response rate (participation divided by enrollment) and the average score for the question specified above. See table below.

<table>
<thead>
<tr>
<th>Quarter and Year</th>
<th>Course Prefix/Subject</th>
<th>Course/Catalog Number and Section Number</th>
<th>Mode of Instruction</th>
<th>Enrollment Total</th>
<th>Response Rate</th>
<th>Average for “Overall, this instructor was educationally effective”</th>
<th>%</th>
<th>%</th>
<th>%</th>
<th>%</th>
<th>%</th>
<th>%</th>
</tr>
</thead>
</table>

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E. Teaching Philosophy and Approach: In this essay, describe the role you have established for yourself in teaching, guiding students in the learning process, and promoting student success.

F. Professional Plan:
The professional plan is an especially important part of the Working Personnel Action File (WPAF). Criteria for personnel action in the College of Science and Mathematics are purposefully general. They are applied to each faculty member via the faculty member’s individual professional plan that is developed to demonstrate career-long commitment in teaching, scholarship with external validation, active service and university citizenship. In the professional plan, the faculty member should propose significant achievements in the areas of teaching, scholarship, and service and university citizenship relevant to the faculty member’s assignment.

For probationary/tenured faculty, an approved plan is a faculty member’s own personalized set of criteria for tenure and promotion and thus provides security as one pursues such goals. The plan may undergo change as long as the final achievements are reasonably comparable to those proposed and previously approved and/or clearly appropriate for tenure or promotion. Teaching, scholarship and university citizenship should be the emphasis for assistant professors with the expectation of increasing levels of service for associate and full professors. For specifics regarding preparing a professional plan for a particular evaluation type, please refer to “Appendix C: Summary Table of Evaluation Types for Tenure/Probationary Faculty Evaluations”.

For lecturers, an approved plan is a lecturer’s personalized set of criteria for growth and continuous improvement as well as sustainability of effort and contribution. For specifics regarding preparing a professional plan for a particular evaluation type, please refer to “Appendix D: Summary Table of Evaluation Types for Lecturer and Supervisor Evaluations”.

Guidelines for expressing a professional plan follow:

1. Section 1 of the Professional Plan (one or two pages in length)
   This section concisely lists proposed achievements for tenure and/or promotion in teaching, scholarship, and service and university citizenship. The prospective achievements should be described with reasonable specificity for a diverse audience, but need not be fully explained. This part will be read by many evaluators at all levels, some without expertise in the discipline (for example, the College Peer Review Committee (CPRC) has representatives from each department and the School of Education. Here are some examples:

   a. Teaching
      i. Teach introductory course sequence X, Y, Z.
      ii. Teach upper division courses T, U, and V.
      iii. Professional growth in teaching by attending (suggest meetings, workshops), consulting with colleagues, etc.
      iv. Develop/improve lab experiments for course C.
v. Join committee to study content (amount/level) and student success in first year course sequence.

vi. Contribution to the curriculum.

b. Scholarship

Using a research example, each research project should be described with a title, one to two short sentences and the journal(s) likely to be targeted for eventual publication including a possible title. This is followed by a brief description of how the achievement will be pursued such as establishing a student research group, seeking grant support, and involving students and the faculty member in presentations at professional meetings. The plan can include a timeline but this is not necessary. This should be done for each distinct research proposal. Please see the example below.

i. Determination of the Influence of AB on YZ

ii. Possible journal: The Journal of Alphabetical Influences

iii. Possible title: Influence of AB on YZ under the Conditions of TUV

iv. Short Paragraph (include a couple of sentences here describing the research as much as possible for a diverse audience).

v. Brief outline of plan for pursuit of the achievement such as:

• Establish a student research group and/or collaboration with colleagues
• Seek internal and/or external grant funding throughout from the following proposed granting agencies
• Involve students in the College of Science and Mathematics Student Research Conference
• Student/faculty presentations at regional and/or national professional meeting
• Publication

c. Service and University Citizenship

The examples below are more focused on assistant professors; associate and full professors would add examples to these that enhance their level of service.

i. Attend commencement and Fall Conference each year.

ii. Serve on department committee (give name)

iii. Become academic advisor

iv. Participate in Summer Advising and Academic Day of Week of Welcome.

v. Participate in New Student Day of Open House.

2. Section 2 of the Professional Plan (multiple pages in length)

In Section 2 of the Professional Plan, you can elaborate on your proposed achievements in teaching, scholarship, and service. This is important as the Department Peer Review Committee (DPRC) needs to fully understand the pursuits and be able to validate them as worthy and reasonable. This does not have to be written for a diverse audience and should be more complete than what is described in Section 1 of the Professional Plan.

G. Case for... (one or two pages in length)

The case is an executive summary of achievements. The case will be read by many evaluators at all levels, some without expertise in the discipline. It is important for a candidate to prepare a well-organized case in teaching, scholarship, and service and university citizenship relevant to their assignment. The case should demonstrate growth and achievement in rank.
1. **Explanation of Summary of Achievements**: The achievements should be described with reasonable specificity, but need not be fully explained.
   
   a. **Teaching**: Summarize major achievements such as courses taught, contributions to the curriculum, and professional growth in teaching.
   
   b. **Scholarship**: Summarize scholarship activities, which includes but is not limited to, for example, grant activity, scholarly publications, presentations and mentorship of student research (see Section I.B on Scholarship for more detail). It is okay to include manuscripts submitted (not necessary) but not in preparation as they will be part of your plan for the future. See other parts of this appendix for more information on expressing professional achievements.
   
   c. **Service and University Citizenship**: Describe significant examples of service (with dates and role) and university citizenship such as attendance at commencement, fall conference and other important university, college and department events.

2. **Types of Cases**
   
   a. **Case for Tenure and/or Promotion** – for probationary and tenured faculty
   
   b. **Case for Three-Year Appointment** – for lecturers
   
   c. **Case for Lecturer Range Elevation** – for lecturers

H. **Response to Previous Evaluations**: A response should be made to a significant suggestion, statement of guidance, or criticism that was made in the previous year’s evaluation cycle.

I. **Materials for Examination in Teaching**:
   For each different lecture, studio, or laboratory course taught, submit a complete set of materials. If you have taught multiple sections of a course, submit materials for only a single experience, preferably the most recent. A complete set of materials includes a syllabus including grading scheme, quizzes, and all exams including the final exam. If there are other materials you think would be useful to examiners, such as sample handouts, representative power points, description of website, etc. please do include these. You will need to submit a complete set of materials for courses taught during the WPAF time period specified in Appendix C (Probationary/Tenured) or Appendix D (Lecturers/Supervisors).

J. **Materials for Examination in Scholarship**: Please submit examples of achievements as practical and appropriate. For example, copies of publications are usually helpful. Submitting a textbook is cumbersome; alternatively, a copy of the cover and a short section like the introduction or preface may give evaluators an idea of the work. Complete grant applications are not necessary but the introductory or summary statement is helpful.

K. **Materials for Examination in Service and University Citizenship**: If there is something significant you would like to share that supports your entries in your other WPAF materials.

L. **Other Materials**: The dean may request additional materials in the memo initiating an evaluation.
13.2. Appendix B: WPAF for Clinical Practice Supervisor

Clinical practice supervisors will develop a Working Personnel Action File (WPAF) that will serve to characterize the work and associated responsibilities of clinical practice supervision.

A. Index of Materials (template provided by the School of Education)

B. Curriculum Vitae (CV): The CV should include education and professional preparation, previous experience, and activities and accomplishments in teaching/mentoring and service (if applicable).

C. Mentoring Philosophy Statement: Clinical Practice Supervisors should submit a one-page mentoring philosophy statement, which explains their thinking regarding the mentoring and evaluation of teacher candidates. The purpose of mentoring teacher candidates is to support their development as educators while in the field. This document should describe how you, as a supervisor, enable teacher candidates to set and achieve goals, make decisions and solve problems. Feel free to build off of the mentoring statement you submitted in your application for hire.

D. Evidence of Mentoring: Supervisors should include materials that give a sense of their mentoring interactions. For a periodic and cumulative review, the following materials should be submitted:
   1. One observation report
   2. One summative evaluation (if applicable)
   3. One induction plan (if applicable)
   4. One communication (i.e., email) with a cooperating teacher

E. Evidence of Professional Development and Service Activities: CTC Accreditation requires that Clinical Practice Supervisors demonstrate ongoing professional development in four areas: (1) current knowledge of the content; (2) knowledge of current context of public schooling; (3) knowledge of diversity in society; and (4) demonstration of effective professional practices in teaching and learning. Service is not required of supervisors. To show evidence of commitment to ongoing professional development activities in these four areas and represent any service contributions, supervisors will submit the following:
   1. Professional Development & Service form (fillable form provided by the School of Education)

F. Response to Previous Evaluations: If applicable, a response should be made to a significant suggestion, statement of guidance, or criticism that was made in the previous year’s evaluation cycle.

G. Case for Three-Year Appointment or Case for Lecturer Range Elevation (when applicable): It is important to prepare a well-organized case for a three-year appointment or for range elevation (as appropriate to review) that demonstrates growth and achievement consistent with the category or categories relevant to the assignment. The case is essentially a summary of the material submitted for previous annual reviews and should highlight accomplishments/engagement in (a) mentoring, (b) professional development, and (c) service. This case should be 1-2 pages in length, responding to the prompts provided by the School of Education.
### 13.3. Appendix C: Summary Table of Evaluation Types for Tenure/Probationary Faculty Evaluations

<table>
<thead>
<tr>
<th>Evaluation Type</th>
<th>WPAF Materials</th>
<th>Evaluation Process</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>First Periodic Evaluation of Probationary Faculty Members</strong></td>
<td>Include materials reflecting activities completed during employment at Cal Poly, which would be one quarter for six-year cycle, five-year cycle and four-year cycle. For late start cycles, this would include either two quarter (Spring of partial year and Fall of first full academic year) or three quarters (Winter and Spring of partial year and Fall of first full academic year).</td>
<td>Three-Stage Probationary/Tenured Evaluation</td>
</tr>
<tr>
<td><strong>List of WPAF Materials:</strong></td>
<td>• Index of Materials</td>
<td>• Department Peer Review Committee (DPRC)</td>
</tr>
<tr>
<td></td>
<td>• Curriculum Vitae (CV)</td>
<td>• Department Chair</td>
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<tr>
<td></td>
<td>• Teaching Philosophy and Approach</td>
<td>• College Dean</td>
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<tr>
<td></td>
<td>• Scholarship Statement</td>
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</tr>
<tr>
<td></td>
<td>• Materials for Examination of Teaching*</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Summary Table of Grades Assigned</td>
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<tr>
<td></td>
<td>• Summary Table of Student Evaluation Results</td>
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<tr>
<td></td>
<td>• Other Materials [optional]</td>
<td></td>
</tr>
</tbody>
</table>

*Submit a complete set of teaching materials for each different course taught.
<table>
<thead>
<tr>
<th>Evaluation Type</th>
<th>WPAF Materials</th>
<th>Evaluation Process</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Retention</strong></td>
<td>Include materials reflecting activities completed during employment at Cal Poly.</td>
<td><strong>Four-Stage Probationary Evaluation</strong>&lt;br&gt;• Department Peer Review Committee (DPRC)&lt;br&gt;• Department Chair&lt;br&gt;• College Dean&lt;br&gt;• Provost</td>
</tr>
<tr>
<td><strong>List of WPAF Materials:</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Index of Materials</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Curriculum Vitae (CV)</td>
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<tr>
<td>• Summary Table of Grades Assigned</td>
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<tr>
<td>• Summary Table of Student Evaluation Results</td>
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<tr>
<td>• Teaching Philosophy and Approach</td>
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<tr>
<td>• Professional Plan*</td>
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<tr>
<td>• Response to Previous Evaluations</td>
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<tr>
<td>• Materials for Examination of Teaching**</td>
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<tr>
<td>• Materials for Examination of Scholarship</td>
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<tr>
<td>• Materials for Examination of Service/University Citizenship</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Other Materials [optional]</td>
<td></td>
<td></td>
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</tbody>
</table>

*The plan should propose activities and achievements leading to tenure. The best time to first present this plan is early the second year during the first performance evaluation for retention. It is reasonable to consult with tenured colleagues in preparing the plan. It is important to put together a strong plan to gain approval since professional plans cannot be practically approved during the following year’s periodic evaluation.

**Submit a complete set of teaching materials for each different course taught during employment at Cal Poly. If you have taught multiple sections of a course, please submit materials for only a single experience, preferably the most recent.

<table>
<thead>
<tr>
<th>Subsequent Periodic Evaluation of Probationary Faculty Members</th>
<th>Include materials reflecting activities completed during employment at Cal Poly.</th>
<th><strong>Three-Stage Probationary/Tenured Evaluation</strong>&lt;br&gt;• Department Peer Review Committee (DPRC)&lt;br&gt;• Department Chair&lt;br&gt;• College Dean</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>List of WPAF Materials:</strong></td>
<td></td>
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<tr>
<td>• Index of Materials</td>
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<td></td>
</tr>
<tr>
<td>• Curriculum Vitae (CV)</td>
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<tr>
<td>• Teaching Philosophy and Approach</td>
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<tr>
<td>• Summary Table of Grades Assigned</td>
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<tr>
<td>• Summary Table of Student Evaluation Results</td>
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<tr>
<td>• Professional Plan*</td>
<td></td>
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</tr>
</tbody>
</table>

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<table>
<thead>
<tr>
<th>Evaluation Type</th>
<th>WPAF Materials</th>
<th>Evaluation Process</th>
</tr>
</thead>
</table>
| Response to Previous Evaluations  
Other Materials [optional] | | |
*Submitted materials should have the professional plan from the previous performance evaluation for retention. However, since periodic evaluation does not involve the entire tenured faculty and does not involve the provost, gaining approval is not possible. |

<table>
<thead>
<tr>
<th>Tenure</th>
<th>Include materials reflecting activities completed during employment at Cal Poly.</th>
</tr>
</thead>
</table>
| List of WPAF Materials:  
  • Index of Materials  
  • Curriculum Vitae (CV)  
  • Summary Table of Grades Assigned  
  • Summary Table of Student Evaluation Results  
  • Teaching Philosophy and Approach  
  • Case for Tenure  
  • Professional Plan  
  • Response to Previous Evaluations  
  • Materials for Examination of Teaching**  
  • Materials for Examination of Scholarship  
  • Materials for Examination of Service/University Citizenship  
  • Other Materials [optional] | |

* The plan should propose future activities and achievements (plan should be for five years). The professional plan should demonstrate sustainability of effort and continued growth and achievement in the future.

**Submit a complete set of teaching materials for each different course taught during your probationary period at Cal Poly. If you have taught multiple sections of a course, please submit materials for only a single experience, preferably the most recent. |

Five-Stage Probationary/Tenured Evaluation
  • Department Peer Review Committee (DPRC)  
  • Department Chair  
  • College Peer Review Committee (CPRC)  
  • College Dean  
  • Provost
<table>
<thead>
<tr>
<th>Evaluation Type</th>
<th>WPAF Materials</th>
<th>Evaluation Process</th>
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<tbody>
<tr>
<td>Promotion</td>
<td>Include materials reflecting activities completed during employment at Cal Poly and specifically during the period within the current rank.</td>
<td>Five-Stage Probationary/Tenured Evaluation</td>
</tr>
<tr>
<td></td>
<td><strong>List of WPAF Materials:</strong></td>
<td>• Department Peer Review Committee (DPRC)</td>
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<tr>
<td></td>
<td>• Index of Materials</td>
<td>• Department Chair</td>
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<td></td>
<td>• Curriculum Vitae (CV)</td>
<td>• College Peer Review Committee (CPRC)</td>
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<td>• Summary Table of Grades Assigned</td>
<td>• College Dean</td>
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<td>• Summary Table of Student Evaluation Results</td>
<td>• Provost</td>
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<td>• Teaching Philosophy and Approach</td>
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<td>• Case for Promotion</td>
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<td>• Professional Plan*</td>
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<td>• Response to Previous Evaluations</td>
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<td></td>
<td>• Materials for Examination of Scholarship</td>
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<td></td>
<td>• Materials for Examination of Service/University Citizenship</td>
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<tr>
<td></td>
<td>• Other Materials [optional]</td>
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<tr>
<td></td>
<td><strong>For All Promotion Evaluations:</strong> The professional plan should demonstrate sustainability of effort and continued growth and achievement in the future.</td>
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<tr>
<td></td>
<td><strong>For Assistant Professor Applying for Promotion to Associate Professor:</strong> The plan should propose future activities and achievements leading to timely promotion to full professor. The plan should be for five years.</td>
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<tr>
<td></td>
<td><strong>For Associate Professor Applying for Promotion to Full Professor:</strong> The plan should propose future activities and achievements beyond full professor. The plan should be for five years.</td>
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<tr>
<td></td>
<td>**Submit a complete set of teaching materials for each different course taught while at your current rank (e.g., assistant or associate professor). If you have taught multiple sections of a course, please submit materials for only a single experience, preferably the most recent.</td>
<td></td>
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</tbody>
</table>
### Evaluation Type

<table>
<thead>
<tr>
<th>Periodic Evaluation of Third Year Tenured Associate</th>
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</thead>
<tbody>
<tr>
<td>At a minimum, include materials reflecting activities completed during first two years as an associate professor as well as materials from promotion year.</td>
</tr>
</tbody>
</table>

#### List of WPAF Materials:
- Index of Materials
- Curriculum Vitae (CV)*
- Summary Table of Grades Assigned
- Summary Table of Student Evaluation Results
- Teaching Philosophy and Approach
- Professional Plan**
- Response to Previous Evaluations
- Materials for Examination of Teaching***
- Materials for Examination of Scholarship
- Materials for Examination of Service/University Citizenship
- Other Materials [optional]

* Distinguish new work as an associate professor.

** Revisit and update the professional plan you submitted with your tenure and promotion package. This plan should continue to propose activities and projected achievements during your years as associate professor that will guide you to promotion to full professor.

*** Submit a complete set of teaching materials for each different course taught during your first two years as an associate professor as well as materials from your promotion year. If you have taught multiple sections of a course, please submit materials for only a single experience, preferably the most recent.

### Evaluation Process

<table>
<thead>
<tr>
<th>Three-Stage Probationary/Tenured Evaluation</th>
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<tbody>
<tr>
<td>Department Peer Review Committee (DPRC)</td>
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<tr>
<td>Department Chair</td>
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<tr>
<td>College Dean</td>
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</table>
## Evaluation Type

<table>
<thead>
<tr>
<th>Evaluation Type</th>
<th>WPAF Materials</th>
<th>Evaluation Process</th>
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</thead>
</table>
| Post-Tenure Periodic     | Include materials reflecting activities completed since last evaluation, which is typically the previous five years. | Three-Stage Probationary/Tenured Evaluation  
|                           | **List of WPAF Materials:**  
|                           | • Index of Materials  
|                           | • Curriculum Vitae (CV)  
|                           | • Summary Table of Grades Assigned  
|                           | • Summary Table of Student Evaluation Results  
|                           | • Teaching Philosophy and Approach  
|                           | • Professional Plan*  
|                           | • Materials for Examination of Teaching**  
|                           | • Materials for Examination of Scholarship  
|                           | • Materials for Examination of Service/University Citizenship  
|                           | *The professional plan should demonstrate commitment to career-long teaching effectiveness, a productive program of scholarship capable of external validation, and a record of active service and participation in the university community including events important to the department, college, and university.  
|                           | **Submit a complete set of teaching materials for each different course taught since your last evaluation. If you have taught multiple sections of a course, please submit materials for only a single experience, preferably the most recent. | • Department Peer Review Committee (DPRC)  
|                           |                                                                 | • Department Chair  
|                           |                                                                 | • College Dean |
|                           |                                                                 | |
|                           |                                                                 | |
|                           |                                                                 | |

*The professional plan should demonstrate commitment to career-long teaching effectiveness, a productive program of scholarship capable of external validation, and a record of active service and participation in the university community including events important to the department, college, and university.**Submit a complete set of teaching materials for each different course taught since your last evaluation. If you have taught multiple sections of a course, please submit materials for only a single experience, preferably the most recent.
### Evaluation Type

<table>
<thead>
<tr>
<th>Full-Time Lecturer (appointed the entire academic year)</th>
<th>Part-Time Lecturer (appointed the entire academic year)</th>
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<tbody>
<tr>
<td><strong>WPAF Materials</strong></td>
<td>Include materials reflecting activities completed during employment at Cal Poly.</td>
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<td>• Index of Materials</td>
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<tr>
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<td>• Summary Table of Student Evaluation Results*</td>
<td>• Summary Table of Student Evaluation Results*</td>
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<tr>
<td>• Teaching Philosophy and Approach</td>
<td>• Teaching Philosophy and Approach</td>
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<tr>
<td>• Response to Previous Evaluations</td>
<td>• Response to Previous Evaluations</td>
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<tr>
<td>• Materials for Examination of Teaching**</td>
<td>• Materials for Examination of Teaching**</td>
</tr>
<tr>
<td>• Other Materials [optional]</td>
<td>• Other Materials [optional]</td>
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</tbody>
</table>

**For long term lecturers, at least the previous five years should be covered.**

**Submit a complete set of teaching materials for each different course taught since your last evaluation. If you have taught multiple sections of a course, please submit materials for only a single experience, preferably the most recent.**

### Evaluation Process

<table>
<thead>
<tr>
<th>Three-Stage Lecturer Evaluation</th>
<th>Two-Stage Evaluation</th>
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<tbody>
<tr>
<td>• Department Peer Review Committee (DPRC)</td>
<td>• Department Chair</td>
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<td>• Department Chair</td>
<td>• Associate Dean</td>
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<td>• Associate Dean</td>
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<td>Evaluation Type</td>
<td>WPAF Materials</td>
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<tr>
<td><strong>Submit a complete set of teaching materials for each different course taught since your last evaluation.</strong> If you have taught multiple sections of a course, please submit materials for only a single experience, preferably the most recent.</td>
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<td><strong>List of WPAF Materials:</strong></td>
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<td>• Teaching Philosophy and Approach</td>
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<td>• Materials for Examination of Teaching**</td>
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<td>• Other Materials [optional]</td>
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<td><strong>Submit a complete set of teaching materials for each different course taught since your last evaluation.</strong> If you have taught multiple sections of a course, please submit materials for only a single experience, preferably the most recent.</td>
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<td>• Summary Table of Student Evaluation Results</td>
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<tr>
<td>• Teaching Philosophy and Approach</td>
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</tbody>
</table>

Include materials reflecting activities completed during employment at Cal Poly.

List of WPAF Materials:

- Index of Materials
- Curriculum Vitae (CV)
- Summary Table of Grades Assigned
- Summary Table of Student Evaluation Results
- Teaching Philosophy and Approach
- Response to Previous Evaluations
- Materials for Examination of Teaching
- Other Materials [optional]

*For long term lecturers, at least the previous five years should be covered.

Include materials reflecting activities completed during employment at Cal Poly. For long term lecturers, at least the previous five years should be covered. The qualifying period for an initial three-year appointment should include the current evaluation year and previous five years.

List of WPAF Materials:

- Index of Materials
- Curriculum Vitae (CV)
- Summary Table of Grades Assigned
- Summary Table of Student Evaluation Results
- Teaching Philosophy and Approach
<table>
<thead>
<tr>
<th>Evaluation Type</th>
<th>WPAF Materials</th>
<th>Evaluation Process</th>
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<tbody>
<tr>
<td></td>
<td>• Case for Three-Year Appointment</td>
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<td>• Professional Plan*</td>
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<td>• Response to Previous Evaluations</td>
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<td>* The plan should describe future plans for growth and continuous improvement as well as sustainability of effort and contribution.</td>
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<td>**Submit a complete set of teaching materials for each different course taught during the qualifying six-year period. If you have taught multiple sections of a course, please submit materials for only a single experience, preferably the most recent.</td>
<td></td>
</tr>
<tr>
<td>3rd-Year Cumulative Evaluation for 12.13 Eligible Lecturers</td>
<td>Include materials reflecting activities completed during employment at Cal Poly. For long term lecturers, at a minimum materials reflecting activities completed during the qualifying period for a subsequent three-year appointment should be included. The qualifying period for a subsequent three-year appointment is the current three year appointment period.</td>
<td>Three-Stage Lecturer Evaluation</td>
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<td>List of WPAF Materials:</td>
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<td>• Teaching Philosophy and Approach</td>
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<td>• Case for Three-Year Appointment</td>
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<td>• Professional Plan*</td>
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<td>• Response to Previous Evaluations</td>
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<td>• Materials for Examination of Teaching**</td>
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<td></td>
<td>• Other Materials [optional]</td>
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<td>* The plan should describe future plans for growth and continuous improvement as well as sustainability of effort and contribution.</td>
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<tr>
<td>Evaluation Type</td>
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<td>Evaluation Process</td>
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</tbody>
</table>
| Lecturer Range Elevation | **Submit a complete set of teaching materials for each different course taught during the qualifying three-year period. If you have taught multiple sections of a course, please submit materials for only a single experience, preferably the most recent.** | Four-Stage Lecturer Evaluation  
- Department Peer Review Committee (DPRC)  
- Department Chair  
- College Peer Review Committee (CPRC)  
- Associate Dean |

**List of WPAF Materials:**  
- Index of Materials  
- Curriculum Vitae (CV)  
- Summary Table of Grades Assigned  
- Summary Table of Student Evaluation Results  
- Teaching Philosophy and Approach  
- Case for Lecturer Range Elevation  
- Professional Plan*  
- Response to Previous Evaluations  
- Materials for Examination of Teaching**  
- Other Materials [optional]  

*The plan should describe future plans for growth and continuous improvement as well as sustainability of effort and contribution.*

**Submit a complete set of teaching materials for each different course taught during employment at Cal Poly and specifically during the period within the current lecturer range. If you have taught multiple sections of a course, please submit materials for only a single experience, preferably the most recent.**

| SOE Part-Time Supervisor (appointed the entire academic year) | Include materials reflecting activities completed during employment at Cal Poly. | Two-Stage Evaluation  
- Department Chair  
- Associate Dean |

**List of WPAF Materials:**  
- Index of Materials  
- Curriculum Vitae (CV)  
- Mentoring Philosophy Statement  
- Evidence of Mentoring
<table>
<thead>
<tr>
<th>Evaluation Type</th>
<th>WPAF Materials</th>
<th>Evaluation Process</th>
</tr>
</thead>
</table>
| SOE Part-Time Supervisor (appointed one or two quarters) | • Evidence of Professional Development and Service Activities  
• Response to Previous Evaluations  
List of WPAF Materials:  
• Index of Materials  
• Curriculum Vitae (CV)  
• Mentoring Philosophy Statement  
• Evidence of Mentoring  
• Evidence of Professional Development and Service Activities  
• Response to Previous Evaluations | Two-Stage Evaluation  
• Department Chair  
• Associate Dean |
| SOE 6th-Year Cumulative Evaluation for 12.12 Eligible Supervisor | Include materials reflecting activities completed during employment at Cal Poly.  
List of WPAF Materials:  
• Index of Materials  
• Curriculum Vitae (CV)  
• Mentoring Philosophy Statement  
• Case for Three-Year Appointment  
• Evidence of Mentoring  
• Evidence of Professional Development and Service Activities  
• Response to Previous Evaluations | Four-Stage Lecturer Evaluation  
• Department Peer Review Committee (DPRC)  
• Department Chair  
• College Peer Review Committee (CPRC)  
• Associate Dean |
| SOE 3rd-Year Cumulative Evaluation for 12.13 | Include materials reflecting activities completed during employment at Cal Poly. For long term lecturers, at a minimum materials reflecting activities completed during the qualifying period for an initial three-year appointment should be included. The qualifying period for an initial three-year appointment is the six-year period including the current evaluation year and previous five years.  
List of WPAF Materials:  
• Index of Materials  
• Curriculum Vitae (CV)  
• Mentoring Philosophy Statement  
• Case for Three-Year Appointment  
• Evidence of Mentoring  
• Evidence of Professional Development and Service Activities  
• Response to Previous Evaluations | Three-Stage Lecturer Evaluation  
• Department Peer Review Committee (DPRC)  
• Department Chair  
• Associate Dean |
<table>
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<th>Evaluation Type</th>
<th>WPAF Materials</th>
<th>Evaluation Process</th>
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<tbody>
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<td>• Curriculum Vitae (CV)</td>
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<td>• Mentoring Philosophy Statement</td>
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<td>• Case for Three-Year Appointment</td>
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<td>• Evidence of Mentoring</td>
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<td>• Evidence of Professional Development and Service Activities</td>
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<td>• Response to Previous Evaluations</td>
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<tr>
<td>SOE Lecturer Range Elevation for Supervisor</td>
<td>Include materials reflecting activities completed during employment at Cal Poly and specifically during the period within the current lecturer range.</td>
<td>Four-Stage Lecturer Evaluation</td>
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<td>List of WPAF Materials:</td>
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<td>• Case for Lecturer Range Elevation</td>
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<td>• Evidence of Professional Development and Service Activities</td>
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<td>• Response to Previous Evaluations</td>
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<tr>
<td>SOE Full-Time Lecturer and Supervisor (appointed the entire academic year)</td>
<td>Include materials reflecting activities completed during employment at Cal Poly.</td>
<td>Three-Stage Lecturer Evaluation</td>
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<td>Evaluation Process</td>
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<tr>
<td>SOE Part-Time</td>
<td>Include materials reflecting activities completed during employment at Cal Poly.</td>
<td>Two-Stage Evaluation</td>
</tr>
<tr>
<td>Lecturer and</td>
<td>List of WPAF Materials:</td>
<td>• Department Chair</td>
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<tr>
<td>Supervisor</td>
<td>• Index of Materials</td>
<td>• Associate Dean</td>
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<td>(appointed the</td>
<td>• Curriculum Vitae (CV)</td>
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<td>academic year)</td>
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<td></td>
<td>• Evidence of Mentoring</td>
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<tr>
<td></td>
<td>• Evidence of Professional Development and Service Activities</td>
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<tr>
<td></td>
<td>• Other Materials [optional]</td>
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<td></td>
<td>*For long term lecturers, at least the previous five years should be covered.</td>
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<tr>
<td></td>
<td>**Submit a complete set of teaching materials for each different course taught</td>
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<td></td>
<td>since your last evaluation. If you have taught multiple sections of a course,</td>
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<td></td>
<td>please submit materials for only a single experience, preferably the most recent.</td>
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</tr>
</tbody>
</table>

| SOE Part-Time   | Include materials reflecting activities completed during employment at Cal Poly. | Two-Stage Evaluation                                                               |
| Lecturer and    | List of WPAF Materials:                                                          | • Department Chair                                                                 |
| and Supervisor  | • Evidence of Professional Development and Service Activities                   | • Associate Dean                                                                    |
| (appointed      | • Other Materials [optional]                                                     |                                                                                     |
| the entire      |                                                                                   |                                                                                     |
| academic year)  |                                                                                   |                                                                                     |

*For long term lecturers, at least the previous five years should be covered.**

**Submit a complete set of teaching materials for each different course taught since your last evaluation. If you have taught multiple sections of a course, please submit materials for only a single experience, preferably the most recent.
<table>
<thead>
<tr>
<th>Evaluation Type</th>
<th>WPAF Materials</th>
<th>Evaluation Process</th>
</tr>
</thead>
<tbody>
<tr>
<td>Supervisor (appointed one or two quarters)</td>
<td>• Index of Materials</td>
<td></td>
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<tr>
<td></td>
<td>• Curriculum Vitae (CV)</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Summary Table of Grades Assigned*</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Summary Table of Student Evaluation Results*</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Teaching Philosophy and Approach</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Mentoring Philosophy Statement</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Response to Previous Evaluations</td>
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<tr>
<td></td>
<td>• Materials for Examination of Teaching**</td>
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<tr>
<td></td>
<td>• Evidence of Mentoring</td>
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<tr>
<td></td>
<td>• Evidence of Professional Development and Service Activities</td>
<td></td>
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<tr>
<td></td>
<td>• Other Materials [optional]</td>
<td></td>
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<tr>
<td></td>
<td>*For long term lecturers, at least the previous five years should be covered.</td>
<td></td>
</tr>
<tr>
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<td>** Submit a complete set of teaching materials for each different course taught since your last evaluation. If you have taught multiple sections of a course, please submit materials for only a single experience, preferably the most recent.</td>
<td></td>
</tr>
</tbody>
</table>
| SOE 6th-Year Cumulative Evaluation for 12.12   | Include materials reflecting activities completed during employment at Cal Poly. For long term lecturers, at a minimum materials reflecting activities completed during the qualifying period for an initial three-year appointment should be included. The qualifying period for an initial three-year appointment is the six-year period including the current evaluation year and previous five years. | Four-Stage Lecturer Evaluation  
• Department Peer Review Committee (DPRC)  
• Department Chair  
• College Peer Review Committee (CPRC)  
• Associate Dean |
<p>| Eligible Lecturer and Supervisor               | List of WPAF Materials:                                                       |                                                                                     |
|                                                | • Index of Materials                                                          |                                                                                     |
|                                                | • Curriculum Vitae (CV)                                                       |                                                                                     |
|                                                | • Summary Table of Grades Assigned                                            |                                                                                     |
|                                                | • Summary Table of Student Evaluation Results                                |                                                                                     |
|                                                | • Teaching Philosophy and Approach                                            |                                                                                     |
|                                                | • Mentoring Philosophy Statement                                              |                                                                                     |
|                                                | • Case for Three-Year Appointment                                             |                                                                                     |
|                                                | • Professional Plan*                                                         |                                                                                     |
|                                                | • Response to Previous Evaluations                                            |                                                                                     |</p>
<table>
<thead>
<tr>
<th>Evaluation Type</th>
<th>WPAF Materials</th>
<th>Evaluation Process</th>
</tr>
</thead>
</table>
| **SOE 3rd-Year Cumulative Evaluation for 12.13 Eligible Lecturer and Supervisor** | • Materials for Examination of Teaching**  
• Evidence of Mentoring  
• Evidence of Professional Development and Service Activities  
• Other Materials [optional]  

*The plan should describe future plans for growth and continuous improvement as well as sustainability of effort and contribution.*  

**Submit a complete set of teaching materials for each different course taught during the qualifying six-year period. If you have taught multiple sections of a course, please submit materials for only a single experience, preferably the most recent.** | **Three-Stage Lecturer Evaluation**  
• Department Peer Review Committee (DPRC)  
• Department Chair  
• Associate Dean |

Include materials reflecting activities completed during employment at Cal Poly. For long term lecturers, at a minimum materials reflecting activities completed during the qualifying period for a subsequent three-year appointment should be included. The qualifying period for a subsequent three-year appointment is the current three year appointment period.  

**List of WPAF Materials:**  
• Index of Materials  
• Curriculum Vitae (CV)  
• Summary Table of Grades Assigned  
• Summary Table of Student Evaluation Results  
• Teaching Philosophy and Approach  
• Mentoring Philosophy Statement  
• Case for Three-Year Appointment  
• Professional Plan*  
• Response to Previous Evaluations  
• Materials for Examination of Teaching**  
• Evidence of Mentoring  
• Evidence of Professional Development and Service Activities  
• Other Materials [optional] |
<table>
<thead>
<tr>
<th>Evaluation Type</th>
<th>WPAF Materials</th>
<th>Evaluation Process</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>*The plan should describe future plans for growth and continuous improvement as well as sustainability of effort and contribution.</td>
<td></td>
</tr>
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<td></td>
<td>**Submit a complete set of teaching materials for each different course taught during the qualifying three-year period. If you have taught multiple sections of a course, please submit materials for only a single experience, preferably the most recent.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SOE Lecturer Range Elevation for Lecturer and Supervisor</th>
<th>Include materials reflecting activities completed during employment at Cal Poly and specifically during the period within the current lecturer range.</th>
<th>Four-Stage Lecturer Evaluation</th>
</tr>
</thead>
<tbody>
<tr>
<td>List of WPAF Materials:</td>
<td>• Index of Materials</td>
<td>• Department Peer Review Committee (DPRC)</td>
</tr>
<tr>
<td></td>
<td>• Curriculum Vitae (CV)</td>
<td>• Department Chair</td>
</tr>
<tr>
<td></td>
<td>• Summary Table of Grades Assigned</td>
<td>• College Peer Review Committee (CPRC)</td>
</tr>
<tr>
<td></td>
<td>• Summary Table of Student Evaluation Results</td>
<td>• Associate Dean</td>
</tr>
<tr>
<td></td>
<td>• Teaching Philosophy and Approach</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Mentoring Philosophy Statement</td>
<td></td>
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<tr>
<td></td>
<td>• Case for Lecturer Range Elevation</td>
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<tr>
<td></td>
<td>• Professional Plan*</td>
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</tr>
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<td></td>
<td>• Response to Previous Evaluations</td>
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<td>• Materials for Examination of Teaching**</td>
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<td>• Other Materials [optional]</td>
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<td></td>
<td>* The plan should describe future plans for growth and continuous improvement as well as sustainability of effort and contribution.</td>
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<tr>
<td></td>
<td>**Submit a complete set of teaching materials for each different course taught during employment at Cal Poly and specifically during the period within the current lecturer range. If you have taught multiple sections of a course, please submit materials for only a single experience, preferably the most recent.</td>
<td></td>
</tr>
</tbody>
</table>
### Appendix E: Summary Table of AP109/Evaluation Completion for All Evaluation Types

<table>
<thead>
<tr>
<th>Evaluation Type</th>
<th>Evaluation Process</th>
<th>DPRC AP 109 Completion</th>
<th>Chair AP 109 Completion</th>
<th>CPRC AP 109 Completion</th>
<th>Dean AP 109 Completion</th>
<th>Provost</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full-Time Lecturer (appointed the entire academic year)</td>
<td>Three-Stage Lecturer Evaluation</td>
<td>The DPRC does not rate the lecturer using the &quot;satisfactory&quot; or &quot;unsatisfactory&quot; ratings, nor recommend for or against retention but must use the 1-4 ratings on the AP109-L. No vote is recorded.</td>
<td>The department chair does not rate the lecturer using the &quot;satisfactory&quot; or &quot;unsatisfactory&quot; ratings, nor recommend for or against retention, but must use the 1-4 ratings on the AP109-L.</td>
<td>No CPRC</td>
<td>The associate dean will make additional evaluative statements or endorse those of the previous levels of review.</td>
<td>No provost</td>
</tr>
<tr>
<td>Part-Time Lecturer (appointed the entire academic year)</td>
<td>Two-Stage Evaluation</td>
<td>No DPRC</td>
<td>The department chair does not rate the lecturer using the &quot;satisfactory&quot; or &quot;unsatisfactory&quot; ratings, nor recommend for or against retention, but must use the 1-4 ratings on the AP109-L.</td>
<td>No CPRC</td>
<td>The associate dean will make additional evaluative statements or endorse those of the previous levels of review.</td>
<td>No provost</td>
</tr>
<tr>
<td>Part-Time Lecturer (appointed one or two quarters)</td>
<td>Two-Stage Evaluation</td>
<td>No DPRC</td>
<td>The department chair does not rate the lecturer using the &quot;satisfactory&quot; or &quot;unsatisfactory&quot; ratings, nor recommend for or against retention, but must use the 1-4 ratings on the AP109-L.</td>
<td>No CPRC</td>
<td>The associate dean will make additional evaluative statements or endorse those of the previous levels of review.</td>
<td>No provost</td>
</tr>
<tr>
<td>Evaluation Type</td>
<td>Evaluation Process</td>
<td>DPRC AP 109 Completion</td>
<td>Chair AP 109 Completion</td>
<td>CPRC AP 109 Completion</td>
<td>Dean AP 109 Completion</td>
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</tr>
<tr>
<td>6th-Year Cumulative Evaluation for 12.12 Eligible Lecturer</td>
<td>Four-Stage Lecturer Evaluation</td>
<td>The DPRC does not rate the lecturer using the &quot;satisfactory&quot; or &quot;unsatisfactory&quot; ratings, nor recommend for or against a three-year appointment, but must use the 1-4 ratings on the AP109-L. No vote is recorded.</td>
<td>The department chair does not rate the lecturer using the &quot;satisfactory&quot; or &quot;unsatisfactory&quot; ratings, nor recommend for or against a three-year appointment, but must use the 1-4 ratings on the AP109-L.</td>
<td>The CPRC does not rate the lecturer using the &quot;satisfactory&quot; or &quot;unsatisfactory&quot; ratings, nor recommend for or against a three-year appointment, but must use the 1-4 ratings on the AP109-L. No vote is recorded.</td>
<td>The associate dean will make a determination of &quot;satisfactory&quot; or &quot;unsatisfactory&quot;.</td>
<td>No provost</td>
</tr>
<tr>
<td>3rd-Year Cumulative Evaluation for 12.13 Eligible Lecturer</td>
<td>Three-Stage Lecturer Evaluation</td>
<td>The DPRC does not rate the lecturer using the &quot;satisfactory&quot; or &quot;unsatisfactory&quot; ratings, nor recommend for or against a three-year appointment, but must use the 1-4 ratings on the AP109-L. No vote is recorded.</td>
<td>The department chair does not rate the lecturer using the &quot;satisfactory&quot; or &quot;unsatisfactory&quot; ratings, nor recommend for or against a three-year appointment, but must use the 1-4 ratings on the AP109-L.</td>
<td>No CPRC</td>
<td>The associate dean will make a determination of &quot;satisfactory&quot; or &quot;unsatisfactory&quot;.</td>
<td>No provost</td>
</tr>
<tr>
<td>Lecturer Range Elevation</td>
<td>Four-Stage Lecturer Evaluation</td>
<td>The DPRC must recommend for or against range elevation by voting. The numerical results of the vote must be reported as for, against, or abstain. The votes of individual committee members are not reported. The DPRC must also use the 1-4 ratings on the AP109-L.</td>
<td>The department chair must recommend for or against range elevation. The department chair must also use the 1-4 ratings on the AP109-L.</td>
<td>The CPRC must recommend for or against range elevation by voting. The numerical results of the vote must be reported as for, against, or abstain. The votes of individual committee members are not reported. The CPRC must also use</td>
<td>The associate dean will make a determination to grant or deny Lecturer Range Elevation.</td>
<td>No provost</td>
</tr>
<tr>
<td>Evaluation Type</td>
<td>Evaluation Process</td>
<td>DPRC AP 109 Completion</td>
<td>Chair AP 109 Completion</td>
<td>CPRC AP 109 Completion</td>
<td>Dean AP 109 Completion</td>
<td>Provost</td>
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</tr>
<tr>
<td>First Periodic Evaluation of Probationary Faculty Members</td>
<td>Three-Stage Probationary /Tenured Evaluation</td>
<td>The DPRC checks the &quot;Periodic Review&quot; box at the top of the AP109 and under the &quot;WE RECOMMEND&quot; section near the bottom. The DPRC must use the 1-4 ratings on the AP109. However, because no personnel action is being recommended, no vote is recorded.</td>
<td>The department chair checks the &quot;Periodic Review&quot; box at the top of the AP109 and under the &quot;I RECOMMEND&quot; section near the bottom. The department chair must use the 1-4 ratings on the AP109.</td>
<td>No CPRC</td>
<td>No CPRC</td>
<td>The dean will provide additional evaluation and guidance statements from the dean's perspective or further explain or endorse the reviews generated at the department level.</td>
</tr>
<tr>
<td>Retention</td>
<td>Four-Stage Probationary Evaluation</td>
<td>The DPRC must recommend for or against retention and check the respective box under &quot;WE RECOMMEND&quot; on the AP109. The numerical results of the vote must be reported as for, against, or abstain. The votes of individual committee members are not reported. The DPRC must also use the 1-4 ratings on the AP109.</td>
<td>The department chair must recommend for or against retention and check the respective box under &quot;I RECOMMEND&quot; on the AP109. The department chair must also use the 1-4 ratings on the AP109.</td>
<td>No CPRC</td>
<td>No CPRC</td>
<td>The dean will prepare an evaluation and recommend for or against retention. The dean's report will include evaluative statements regarding the candidate's performance in teaching, scholarship, service and university citizenship, and the candidate's professional plan.</td>
</tr>
<tr>
<td>Evaluation Type</td>
<td>Evaluation Process</td>
<td>DPRC AP 109 Completion</td>
<td>Chair AP 109 Completion</td>
<td>CPRC AP 109 Completion</td>
<td>Dean AP 109 Completion</td>
<td>Provost</td>
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<td>---------</td>
</tr>
<tr>
<td>Subsequent Periodic Evaluation of Probationary Faculty Members</td>
<td>Three-Stage Probationary/Tenured Evaluation</td>
<td>The DPRC checks the &quot;Periodic Review&quot; box at the top of the AP109 and under the &quot;WE RECOMMEND&quot; section near the bottom. The DPRC must use the 1-4 ratings on the AP109. However, because no personnel action is being recommended, no vote is recorded.</td>
<td>The department chair checks the &quot;Periodic Review&quot; box at the top of the AP109 and under the &quot;I RECOMMEND&quot; section near the bottom. The department chair must use the 1-4 ratings on the AP109.</td>
<td>No CPRC</td>
<td>The dean will provide additional evaluation and guidance statements from the dean's perspective or further explain or endorse the reviews generated at the department level.</td>
<td>No provost</td>
</tr>
<tr>
<td>Tenure</td>
<td>Five-Stage Probationary/Tenured Evaluation</td>
<td>The DPRC must recommend for or against tenure and check the respective box under &quot;WE RECOMMEND&quot; on the AP109. The numerical results of the vote must be reported as for, against, or abstain. The votes of individual committee members are not reported. The DPRC must also use the 1-4 ratings on the AP109.</td>
<td>The department chair must recommend for or against tenure and check the respective box under &quot;I RECOMMEND&quot; on the AP109. The department chair must also use the 1-4 ratings on the AP109.</td>
<td>The CPRC must recommend for or against tenure by voting. The numerical results of the vote must be reported as for, against, or abstain. The votes of individual committee members are not reported. The CPRC should also use the 1-4 ratings on the AP109.</td>
<td>The dean will prepare an evaluation and recommend for or against tenure. The dean's report will include evaluative statements regarding the candidate's performance in teaching, scholarship, service and university citizenship, and the candidate's professional plan.</td>
<td>Provost makes decisions on tenure.</td>
</tr>
<tr>
<td>Promotion</td>
<td>Five-Stage Probationary/Tenured Evaluation</td>
<td>The DPRC must recommend for or against promotion and check the respective box under &quot;WE RECOMMEND&quot; on the AP109. The numerical results of the vote must be reported as for, against, or</td>
<td>The department chair must recommend for or against promotion and check the respective box under &quot;I RECOMMEND&quot; on the AP109. The department chair must</td>
<td>The CPRC must recommend for or against tenure and check the respective box under &quot;WE RECOMMEND&quot; on the AP109. The numerical results of the vote</td>
<td>The dean will prepare an evaluation and recommend for or against promotion. The dean's report will include evaluative statements regarding the candidate's</td>
<td>Provost makes decisions on promotion.</td>
</tr>
<tr>
<td>Evaluation Type</td>
<td>Evaluation Process</td>
<td>DPRC AP 109 Completion</td>
<td>Chair AP 109 Completion</td>
<td>CPRC AP 109 Completion</td>
<td>Dean AP 109 Completion</td>
<td>Provost</td>
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</tr>
<tr>
<td>Periodic Evaluation of Third Year Tenured Associate</td>
<td>Three-Stage Probationary/Tenured Evaluation</td>
<td>The DPRC checks the &quot;Periodic Review&quot; box at the top of the AP109 and under the &quot;WE RECOMMEND&quot; section near the bottom. The DPRC must use the 1-4 ratings on the AP109. However, because no personnel action is being recommended, no vote is recorded.</td>
<td>The department chair checks the &quot;Periodic Review&quot; box at the top of the AP109 and under the &quot;WE RECOMMEND&quot; section near the bottom. The department chair must use the 1-4 ratings on the AP109.</td>
<td>No CPRC</td>
<td>The dean will provide additional evaluation and guidance statements from the dean's perspective or further explain or endorse the reviews generated at the department level.</td>
<td>No provost</td>
</tr>
<tr>
<td>Post-Tenure Periodic Evaluation</td>
<td>Three-Stage Probationary/Tenured Evaluation</td>
<td>The DPRC checks the &quot;Periodic Review&quot; box at the top of the AP109 and under the &quot;WE RECOMMEND&quot; section near the bottom. The DPRC must use the 1-4 ratings on the AP109. However, because no personnel action is being recommended, no vote is recorded.</td>
<td>The department chair checks the &quot;Periodic Review&quot; box at the top of the AP109 and under the &quot;WE RECOMMEND&quot; section near the bottom. The department chair must use the 1-4 ratings on the AP109.</td>
<td>No CPRC</td>
<td>The dean will provide additional evaluation and guidance statements from the dean's perspective or further explain or endorse the reviews generated at the department level.</td>
<td>No provost</td>
</tr>
</tbody>
</table>
13.6. Appendix F: DPRC Composition, Election and Responsibilities Table for All Evaluations

All DPRCs have the following responsibilities regardless of evaluation type:

- All DPRC members shall review the PAF and WPAF, and by signing and dating the evaluation (AP109) they are certifying that they reviewed both the PAF and WPAF. For DPRCs where a subcommittee is formed, the entire DPRC (not just the subcommittee) must review the PAF and WPAF, and sign the evaluation (AP109) to certify that they reviewed both the PAF and WPAF.
- The DPRC will arrange for and ensure visitation of classroom and laboratory teaching of each candidate for the purpose of evaluating teaching effectiveness. The DPRC must give at least a five (5) day notice of classroom visit. There shall be consultation between the faculty member being evaluated and the individual who visits the class(es) regarding the class(es) to be visited and the scheduling of the visit(s) (CBA 15.14).
- The evaluation report shall analyze the evidence on each performance dimension (e.g., teaching, scholarship, service and university citizenship, etc.) relevant to the faculty member’s assignment. In producing evaluations, the relevant criteria in Section 8, 9, and 10 must be considered and commented upon as appropriate. The DPRC will produce an evaluation report which addresses the candidate’s strengths and accomplishments, and provides them with guidance and suggestions for improvement. If applicable, this report should also include evaluation of the candidate’s professional development plan in teaching, scholarship, service and university citizenship and provide guidance as necessary.
- The DPRC shall use forms provided by Academic Personnel for their evaluation report. Minority reports are permissible from individuals or groups within the DPRC who do not agree with the majority committee report. All DPRC members must sign the DPRC majority report or a minority report. The elected DPRC is not required to report to the tenured faculty at large.

<table>
<thead>
<tr>
<th>Evaluation Type</th>
<th>DPRC Composition</th>
<th>DPRC Elected By</th>
</tr>
</thead>
<tbody>
<tr>
<td>Full-Time Lecturer (appointed the entire academic year)</td>
<td>At least three tenured faculty members of any rank. Recommended size is three tenured faculty members with opportunity for input from and tenured faculty.</td>
<td>Probationary &amp; Tenured faculty (MOU 15.41)</td>
</tr>
<tr>
<td>Part-Time Lecturer (appointed the entire academic year)</td>
<td>DPRC not required - although opportunity must be provided for peer input (by full-time tenured faculty members). If DPRC is used, composition is the same as for &quot;Full-Time Lecturer (appointed the entire academic year)&quot;; see above.</td>
<td>If DPRC is used, the DPRC election process is the same as for &quot;Full-Time Lecturer (appointed the entire academic year)&quot;; see above.</td>
</tr>
<tr>
<td>Part-Time Lecturer (appointed one or two quarters)</td>
<td>DPRC not required - although opportunity must be provided for peer input (by full-time tenured faculty members). If DPRC is used, composition is the same as for &quot;Full-Time Lecturer (appointed the entire academic year)&quot;; see above.</td>
<td>If DPRC is used, the DPRC election process is the same as for &quot;Full-Time Lecturer (appointed the entire academic year)&quot;; see above.</td>
</tr>
<tr>
<td>Evaluation Type</td>
<td>DPRC Composition</td>
<td>DPRC Elected By</td>
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<tr>
<td>-----------------</td>
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</tr>
<tr>
<td>6th-Year Cumulative Evaluation for 12.12 Eligible Lecturers</td>
<td>Generally, all eligible tenured faculty members are expected to participate on all DPRCs for 6th-Year Cumulative Evaluation for 12.12 Eligible Lecturers unless serving on another level of review, not elected due to a clear conflict of interest with a faculty member scheduled for review or for other appropriate reasons.</td>
<td>Probationary &amp; Tenured faculty (MOU 15.41) May vote on each eligible DPRC member for each candidate, or on DPRC as a whole. Vote shall be determined by simple majority.</td>
</tr>
<tr>
<td>3rd-Year Cumulative Evaluation for 12.13 Eligible Lecturers</td>
<td>Generally, all eligible tenured faculty members are expected to participate on all DPRCs for 3rd-Year Cumulative Evaluation for 12.13 Eligible Lecturers unless serving on another level of review, not elected due to a clear conflict of interest with a faculty member scheduled for review or for other appropriate reasons.</td>
<td>Probationary &amp; Tenured faculty (MOU 15.41) May vote on each eligible DPRC member for each candidate, or on DPRC as a whole. Vote shall be determined by simple majority.</td>
</tr>
<tr>
<td>Lecturer Range Elevation</td>
<td>Generally, all eligible tenured faculty members are expected to participate on all DPRCs for Lecturer Range Elevations unless serving on another level of review, not elected due to a clear conflict of interest with a faculty member scheduled for review or for other appropriate reasons.</td>
<td>Probationary &amp; Tenured faculty (MOU 15.41) May vote on each eligible DPRC member for each candidate, or on DPRC as a whole. Vote shall be determined by simple majority.</td>
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<tr>
<td>First Periodic Evaluation of Probationary Faculty Members</td>
<td>At least three tenured faculty members. A tenured associate professor may serve on an assistant professor's periodic evaluation DPRC, even if they are undergoing their own third year tenured associate periodic evaluation.</td>
<td>Probationary &amp; Tenured faculty (MOU 15.41) May vote on each eligible DPRC member for each candidate, or on DPRC as a whole. Vote shall be determined by simple majority.</td>
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<td>Retention</td>
<td>At least three tenured faculty members of any rank. Generally, all eligible tenured faculty members are expected to participate on all retention DPRCs unless serving on another level of review, not elected due to a clear conflict of interest with a faculty member scheduled for review or for other appropriate reasons (e.g., tenured associate professors may not feel comfortable making a retention or tenure recommendation on a full professor). Faculty members being considered for promotion themselves can serve on retention DPRCs.</td>
<td>Probationary &amp; Tenured faculty (MOU 15.41) May vote on each eligible DPRC member for each candidate, or on DPRC as a whole. Vote shall be determined by simple majority.</td>
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<td>Evaluation Type</td>
<td>DPRC Composition</td>
<td>DPRC Elected By</td>
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<td>-----------------------------------------------------</td>
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| **Subsequent Periodic Evaluation of Probationary Faculty Members** | At least three tenured faculty members.  
Departments typically elect smaller DPRCs from all eligible tenured faculty members.  
A tenured associate professor may serve on an assistant professor’s periodic evaluation DPRC, even if they are undergoing their own third year tenured associate periodic evaluation. | Probationary & Tenured faculty (MOU 15.41)  
May vote on each eligible DPRC member for each candidate, or on DPRC as a whole. Vote shall be determined by simple majority. |
| **Tenure**                                          | Tenured faculty members of any rank.  
Generally, all eligible tenured faculty members are expected to participate on all tenure DPRCs unless serving on another level of review, not elected due to a clear conflict of interest with a faculty member scheduled for review or for other appropriate reasons (e.g., tenured associate professors may not feel comfortable making a retention or tenure recommendation on a full professor).  
Faculty members being considered for promotion themselves cannot serve on tenure DPRCs. | Probationary & Tenured faculty (MOU 15.41)  
May vote on each eligible DPRC member for each candidate, or on DPRC as a whole. Vote shall be determined by simple majority. |
| **Promotion**                                       | Tenured faculty members.  
For promotion evaluations, DPRC members must have higher academic rank than the candidate being considered.  
Generally, all eligible tenured faculty members are expected to participate on all promotion DPRCs unless serving on another level of review, not elected due to a clear conflict of interest with a faculty member scheduled for review or for other appropriate reasons (e.g., tenured associate professors may not feel comfortable making a retention or tenure recommendation on a full professor).  
Faculty members being considered for promotion themselves cannot serve on promotion DPRCs. | Probationary & Tenured faculty (MOU 15.41)  
May vote on each eligible DPRC member for each candidate, or on DPRC as a whole. Vote shall be determined by simple majority. |
<table>
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<tr>
<th>Evaluation Type</th>
<th>DPRC Composition</th>
<th>DPRC Elected By</th>
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</table>
| Periodic Evaluation of Third Year Tenured Associate | All eligible tenured full professors.  | Tenured faculty (MOU 15.41)  
|                                          |                                         | May vote on each eligible DPRC member for each candidate, or on DPRC as a whole. Vote shall be determined by simple majority. |
| Post-Tenure Periodic Evaluation         | At least three tenured full professors. | Tenured faculty (MOU 15.41)  
|                                          |                                         | May vote on each eligible DPRC member for each candidate, or on DPRC as a whole. Vote shall be determined by simple majority. |
MEMORANDUM

9/2/2021

TO: Cynthia Jackson-Elmoore, Provost and Executive Vice President
Academic Affairs

FROM: Dean Wendt, Dean
College of Science and Mathematics

COPIES: Derek Gragson, Cassie Stevenson

SUBJECT: CSM Personnel Document 2021-22 Update

The updated College of Science and Mathematics Faculty Policies, Procedures, and Evaluation Criteria Document is attached for your consideration. This document reflects our updates, which have been approved by Kathryn Rummell. The modifications include:

1. **Table of Contents** - For any sections that we did not previously have information on in our CSM Personnel Document (e.g., office hours), I created a header for that section and referred the reader to the appropriate section of the UFPP.

2. **1.6** - Per Rummell’s recommendation, moved the following general statement about ALL faculty from 7.6 Tenure Criteria to 1.6 Our Faculty: “The faculty have expectations of the State of California and the California State University. Prime among them is the responsibility to provide compensation commensurate with the responsibilities and expectations for achievement of the faculty and the resources required to fulfill these responsibilities and expectations successfully.”

3. **3.1.1** - We removed the teaching philosophy statement and response to previous evaluations from the list of WPAF materials that are filed in the PAF at the end of the evaluation.

4. **3.3.4 to 3.3.6 and 13.2** – As part of an effort to make the WPAF submission process easier on clinical practice supervisors, the School of Education simplified the WPAF requirements and instructions for supervisors. They removed several WPAF sections including “Evidence of Service Activities”, “Other Materials”, “Professional Plan” where appropriate. They created a template for the “Index of Materials” and a form called “Professional Development and Service Form” that supervisors will complete and upload to the new “Evidence of Professional Development and Service Activities” section; these documents will streamline the process and should eliminate confusion over what to submit.

5. **4.1.4 and 6.4.3** - We removed the language that states one or two quarter lecturers must be evaluated during their first year, and now it states, they “must be evaluated at a minimum every three years. The lecturer, department chair or dean may request more frequent reviews.”

6. **12.4** - Removed our sabbatical and DIP leave information (formerly Appendix H: Professional Leaves with Pay) and added it to the appropriate section 12.4. CSM determined that the CPLC will not conduct interviews of for leave applicants.

7. **8.4** - I removed “Appendix G: Student Evaluation of Teaching” from our document and simply direct people to refer to UFPP 8.4 for information on student evaluations of faculty, which has all the information our section formerly had and more.
To: Dean Wendt, Dean  
College of Science and Mathematics  
Date: September 14, 2021

From: Cynthia Jackson-Elmoore, Ph.D.  
Provost and Executive Vice President  
Copies: Al Liddicoat  
Kathryn Rummell

Subject: College of Science and Mathematics Faculty Policies, Procedures, and Evaluation Criteria

The subject document, revised in September 2021, is approved for immediate implementation. Please provide the College of Science and Mathematics faculty access to the document as soon as possible.