

Memorandum

To : Amy Fleischer, Damon Fleming, Adriana Popescu, Philip Williams,
Christine Theodoropoulos, Andy Thulin, Dean Wendt

Date : September 10, 2021

From : Cynthia Jackson-Elmoore, Ph.D. 
Provost and Executive Vice President for Academic Affairs

Copies : Jeffrey D. Armstrong
Associate Deans
Dept. Heads/Chairs
Kathryn Rummell
Tom Gutierrez
Lewis Call
College HR Mgrs/Staff

Subject: Retention, Promotion and Tenure 2021-22

Enclosed is the projected eligibility list for Retention, Promotion, and Tenure (RPT) Evaluation for your college/division. **It is the departments' and colleges' responsibility to verify the accuracy of this information and promptly identify any corrections or omissions before the commencement of the faculty evaluation cycle.** Please carefully review these lists with your departments and bring any corrections or omissions to the attention of Lindsay Howell, Faculty Programs Analyst, at lmhowell@calpoly.edu immediately. Please be mindful of tenure clock extensions when reviewing eligibility lists. Per the [COVID-19 Tenure Extension Option joint memo sent on May 24, 2021 from Academic Personnel and the Cal Poly Chapter of the CFA](#), the deadline for probationary faculty to extend their probationary period or revoke a previous extension due to COVID-19 is **October 1** of the year in which the extension will be taken or revoked. **It is the college dean's (or designee's) responsibility to notify faculty of the scheduled review and appropriate timetable no later than September 13th. If you will be delegating this responsibility, please notify Academic Personnel of the name of your designee.**

The [University Faculty Personnel Policies \(UFPP\) AY 2021-2022](#) document (8-16-2021) was developed in consultation with the Academic Senate, and details the procedures for performance and periodic reviews. This document is available on the Academic Personnel website at <https://academic-personnel.calpoly.edu/content/policies/rpt>. You and others in your college/division who are involved in the RPT process should familiarize yourself with applicable provisions of the Unit 3 Collective Bargaining Agreement (CBA) between the CSU Board of Trustees and the California Faculty Association, Articles 11, 12, 13, 14, and 15 are particularly important for faculty evaluation. The CBA is also accessible through the Academic Personnel website under *Policies and Procedures*.

You are required to provide the approved criteria and procedures for the university, college and departments or advise the candidates in writing of the online accessibility of the material by September 13, 2021. The list of criteria and procedures currently approved appear on page 5 of this memo, and these documents are posted on the Academic Personnel website at <https://academic-personnel.calpoly.edu/content/policies/criteria>.

Faculty undergoing RPT evaluation are required to submit a Professional Development Plan (PDP) as described in the University Faculty Personnel Policies document and are encouraged to include teaching, scholarship or service accomplishments in the area of diversity, equity and inclusion in their WPAF. Department heads/chairs are expected to assist new tenure-track faculty members in formulating their Professional Development Plan. The plan should generally outline how the faculty member, as a teacher/scholar, intends to provide substantive contributions to their discipline, including periodic peer review or external validation of those activities. Specific goals and milestones should be proposed throughout the probationary period with an emphasis on what the faculty member intends to accomplish by the time they are considered for tenure and/or promotion. Those planned accomplishments should be ambitious and clear. Pursuant to Academic Senate Resolution AS-574-01, each department is encouraged to provide mentoring for each of their probationary faculty.

The following pages highlight the RPT process. All consultative levels of review should be made aware of the **necessity to closely follow established procedures and published timetables. Any deviations from the published timetables should be submitted in advance for approval by Interim AVP Kathryn Rummell** (krummell@calpoly.edu). You or your designee must carefully monitor the process and ensure that any deviations from established procedures are corrected as early in the process as possible. In the event you have any questions regarding the process to be followed during the RPT cycle, please contact Lindsay Howell (756-6574 or lmhowell@calpoly.edu).

Personnel Action Files/ Working Personnel Action Files

Interfolio will be utilized for all faculty evaluations during the 2021-22 academic year for both the Personnel Action File (PAF) and Working Personnel Action File (WPAF). Each Interfolio case contains PDF files of scanned materials from the PAF, including student evaluation reports for the previous six academic years. Candidates are unable to add or delete materials to the "Electronic Personnel Action File (ePAF)" and "Student Evaluation Reports" sections in Interfolio. Candidates should review these sections for accuracy, and if they discover any inaccuracies, they should notify their college dean or appropriate administrator before the deadline to submit the Working Personnel Action File. Candidates are no longer required to sign and date the paper PAF log. Instead, by submitting their Interfolio case, they acknowledge that they have reviewed the "Electronic Personnel Action File (ePAF)" and "Student Evaluation Reports" sections for accuracy.

It is the responsibility of the candidates to present clear, yet concise, evidence of their qualifications for retention, tenure or promotion. Pursuant to the University Faculty Personnel Policies, **candidates are required to submit materials as described in their college and department personnel policies.** The faculty contract requires the campus to establish a deadline whereby the Working Personnel Action File is declared complete with respect to documentation for the purpose of evaluation. By **October 13, 1st and 2nd probationary year faculty members** who are subject to performance review are responsible for submitting their **Working Personnel Action File (WPAF) via Interfolio** that includes all materials they wish to be considered in the performance review and an index of the materials submitted. By **November 1, candidates in their 3rd through 6th probationary year**, as well as candidates being considered for **tenure and/or promotion**, are responsible for submitting their **Working Personnel Action File via Interfolio.**

The insertion of material after these deadlines **must be approved** by the College/Library Peer Review Committee and **must be limited to items that became accessible after the deadline.** Materials inserted in this fashion shall be returned to the initial evaluation committee for review, evaluation and comment before consideration at subsequent levels of review. **Please consult with Lindsay Howell about any such requests received.**

It is the professional obligation of **all evaluators** to review the information in **both** the Working Personnel Action File and the Personnel Action File within Interfolio before they vote or submit a written recommendation. By signing the written evaluation, they acknowledge agreement with the evaluation and acknowledge that the evaluation resulted from thorough review of the Personnel Action File (PAF), including student evaluations, and the Working Personnel Action File (WPAF). All evaluators are to ensure the confidentiality of personnel files.

Election of Peer Review Committees

Articles 15.40 and 15.41 of the faculty contract address responsibility of **the probationary and tenured faculty of the department to elect eligible tenured faculty members to the peer review committee(s).** Service as an evaluator is limited to no more than one level of peer review for a particular candidate. At the request of the department, the dean may agree to include participants in FERP if all reviews can be concluded within their FERP assignment. Consequently, department and college peer review committees should be elected as soon as possible. Tenured faculty members applying for promotion are **ineligible** to serve on promotion or tenure committees, but may be elected to serve on retention committees. In promotion considerations, evaluators must hold a higher rank than those being considered for promotion.

Evaluations/Recommendations

Department peer review committees, tenured department heads/chairs, college peer review committees and deans are to continue to use the AP 109 Form to evaluate faculty for retention, tenure, and promotion (fillable forms and guides on routing forms for signature through AdobeSign and uploading to Interfolio are available at <https://academic-personnel.calpoly.edu/content/forms>).

Recommendations for retention, tenure or promotion should be supported by substantive evidence that the candidate meets established university, college, and departmental criteria, which is based on information in the Working Personnel Action File and/or the Personnel Action File. Candidates must be provided a minimum of a **five-day notice that classes will be observed. Candidates must be consulted regarding the classes to be evaluated and the scheduling of such visits. Please refer to Section 8.2 of UFPP AY 2021-2022 for newly established policy on Observation of Instruction.**

It should be understood that if a faculty member does not have the potential to achieve tenure, then that individual should not be reappointed. Similarly, a candidate who does not have the potential for promotion to associate professor and professor should not be granted tenure. This does not mean that retention is a guarantee of tenure, nor is tenure a guarantee of promotion. Probationary faculty members should be expected to complete the normal probationary period, and it should be recognized that occasions for granting early tenure will be rare and must meet a higher standard.

Each level of review -- (1) departmental peer review committee, (2) tenured department head/chair, (3) college peer review committee (if applicable), and (4) dean -- is required to provide its written recommendation(s) to each candidate, **including the reasons for those recommendations. Evaluators must comment on student evaluation reports in Section 1 of the AP 109 form.** Department and college PRC recommendations must be signed by every member who

participated in the evaluation or recommendation. A signed minority report, or individual recommendation, may also be submitted collectively or by individual peer review committee member(s). **The candidate will have a ten calendar day period for response or rebuttal** before the recommendation is sent to the next level of review. Pursuant to Article 15.5, **any response or rebuttal statement submitted by the candidate must be provided to all previous levels of evaluation.** Guides for handling rebuttals within Interfolio are available at <https://academic-personnel.calpoly.edu/interfolio>. Other than reconsidering the original recommendation, there should be no reply to the candidate's rebuttal statements (with the exception of a courtesy acknowledgement that the response was received and reviewed, which may be communicated in writing to the candidate). If at any level of review, the evaluator(s) determines that the evidence submitted does not adequately support the recommendation made by the previous level(s) of review, the file may be returned to the previous level(s) of review for amplification.

Faculty Evaluation Form (AP 109)

Evaluators will upload a signed AP 109 into Interfolio. **Department heads/chairs who are probationary faculty members are not eligible to provide recommendations for retention, tenure, and/or promotion.** Department heads/chairs may attend PRC meetings only upon invitation by the PRC. Fillable forms and guides on routing forms for signature through AdobeSign and uploading to Interfolio are available at <https://academic-personnel.calpoly.edu/content/forms>.

Promotion Requests and Rankings

Article 14.3 of the Agreement requires faculty members who are technically eligible for promotion, but do not wish to be considered, to submit such a declaration in writing. In communicating with faculty members, deans should request that any faculty listed as eligible for promotion indicate to them in writing by **October 1** or sooner **whether or not** they intend to apply for promotion. In addition, faculty who plan to apply for early tenure and/or early promotion must notify the dean in writing by **October 1**. ***Please be aware that probationary faculty members cannot receive promotion to full professor unless they also apply for and are granted concurrent tenure.***

All levels of review should rank-order all candidates for promotion who were positively recommended. Deans, in arriving at their rank-ordered list for the college, should consider the recommendations at each of the three previous levels of review. Lists shall rank those being promoted to associate and full professor together. The relative priority ranking for promotion

is not required to be included in the recommendations to the candidate; however, upon written request, candidates will be informed in writing of their priority ranking by the appropriate reviewing level. Such requests and responses shall only be placed in the Working Personnel Action File upon the written request of the candidate. The rankings will be used by the deans and provost in determining promotion salary increases beyond the CBA minimum of 9%, if applicable.

Notification of Decisions

Promotion and tenure decisions will be announced by June 1. Academic Personnel will work with college personnel administrators to file the faculty resume/CV, index, Professional Development Plan, and the evaluations (and rebuttal statements, if applicable) for each level of review into the candidate's official Personnel Action File.

In the event you have any questions regarding the process to be followed during the RPT cycle, please contact Lindsay Howell (756-6574 or lmhowell@calpoly.edu).

Appendices

- | | |
|---|--------|
| 1. Timetable for Retention, Promotion & Tenure | page 4 |
| 2. Approved statements of criteria and procedures | page 5 |
| 3. Faculty Resume Worksheet | page 6 |

Enclosures (also available Online):

1. RPT Evaluation Eligibility List (by college)
2. University Faculty Personnel Action Procedures and Criteria and College and Department Personnel Policy Statements (<https://academic-personnel.calpoly.edu/content/policies/rpt>)
3. Forms AP 109 (Faculty Evaluation Forms) (<https://academic-personnel.calpoly.edu/content/forms>)
4. RPT Checklists for candidates & evaluators: (<https://academic-personnel.calpoly.edu/content/policies/rpt>)
 - 1st & 2nd Probationary Year Retention Candidates
 - 3rd – 5th Probationary Year Retention Candidates
 - Tenure Candidates
 - Promotion Candidates
 - Departmental Peer Review Committees
 - Department Heads/Chairs
 - College/Library Peer Review Committees
 - Deans

2021-22 Timetable for Retention, Promotion and Tenure

Action	Retention (current 1-2 year)	Retention (current 3-5 year)	Tenure Promotion
Academic Personnel Provides Lists of RPT Eligible Candidates	Aug 10 (Tu)	Aug 10 (Tu)	Aug 10 (Tu)
Deadline for Colleges to Notify RPT Eligible Candidates and Notify of Deadline to Submit WPAF (Enclose copy or reference to Approved College/Department Criteria) with copy to Academic Personnel of Notifications	Sept 13 (Mo)	Sept 13 (Mo)	Sept 13 (Mo)
Deadline for probationary faculty to request extension or revocation of probationary period due to COVID-19 (Coronavirus Tenure Extension Memo 5/24/2021)	Oct 1 (Fri)	Oct 1 (Fri)	Oct 1 (Fri)
Deadline for Approval of College/Department Criteria (no further changes may be made); must notify candidates if revision approved after September 13	Oct 1 (Fri)	Oct 1 (Fri)	Oct 1 (Fri)
Promotion-eligible Candidates Notify Dean in writing whether or not they intend to apply for promotion (Any candidates applying for early tenure and/or early promotion must also notify Dean in writing by this date)			Oct 1 (Fri)
Deadline to notify AP of any corrections to eligibility lists including early tenure and/or early promotion requests and intents to apply for promotion	Oct 1 (Fri)	Oct 1 (Fri)	Oct 1 (Fri)
Candidates provide Working Personnel Action File; Dean makes Personnel Action Files Available	Oct 13 (Wed)	Nov 1 (Mon)	Nov 1 (Mon)
Peer Review Committee to Candidate*	Nov 3 (Wed)	Dec 3 (Fri)	Dec 3 (Fri)
Peer Review Committee to Department Head/Chair	Nov 15 (Mon)	Dec 13 (Mon)	Dec 13 (Mon)
Department Head/Chair to Candidate*	Nov 30 (Tu)	Jan 21 (Fri)	Jan 14 (Fri)
Department Head/Chair to Dean/CPRC	Dec 10 (Fri)	Jan 31 (Mon)	Jan 24 (Tu)
College/Library Peer Review Committee to Candidate*	----	----	Feb 18 (Fri)**
College/Library Peer Review Committee to Dean	----	----	Feb 28 (Mon)**
Dean to Candidate*	Jan 7 (Fri)	Mar 8 (Tu)	Mar 18 (Fri)
Dean to Provost	Jan 18 (Tu)	Mar 18 (Fri)	Apr 6 (Wed)
Notification	Feb 15 (Tu)	June 1 (Wed)	June 1 (Wed)

* Candidates may submit a rebuttal statement or response in writing (with a copy to previous levels of review) and/or request a meeting to discuss the recommendation within ten calendar days following receipt of the recommendation.

** The College Peer Review Committee will make recommendations in all promotion cases, and may also make recommendations in tenure cases when specified in the personnel policies and criteria statement of the college.

Currently Approved Statements of Criteria and Procedures*

(current policy statements are posted at <https://academic-personnel.calpoly.edu> under Policies & Procedures –
direct link is <https://academic-personnel.calpoly.edu/content/policies/criteria>)

<u>Area</u>	<u>Date Approved*</u>
University Faculty Personnel Policies AY 2021-2022	8-16-21
College of Agriculture, Food and Environmental Sciences	9-28-20
College of Architecture and Environmental Design.....	8-19-09
Architecture	8-17-09
Architectural Engineering	10-1-03
City and Regional Planning	10-11-05
Construction Management	10-1-03
Landscape Architecture	6-28-19
Orfalea College of Business ARPT	9-18-13 (Revision pending approval**)
Orfalea College of Business Governance.....	2-12-21
Accounting	9-12-04
Economics Governance	4-20-15
College of Engineering.....	10-8-04
Aerospace Engineering	9-29-11
Civil and Environmental Engineering.....	8-19-11
Computer Engineering Program	9-4-02
Computer Science and Software Engineering	10-1-03
Electrical Engineering.....	Governance 9-21-06; ARPT 10-5-01
Materials Engineering.....	Governance 11-1-16; ARPT 9-5-14
Mechanical Engineering.....	10-8-93
College of Liberal Arts.....	9-2-21
Art and Design	8-30-19
Communication Studies	8-13-19
English	9-24-19
Ethnic Studies.....	2-28-97
Graphic Communication.....	9-5-14
History	9-25-20
Interdisciplinary Studies in Liberal Arts	9-3-20
Journalism.....	9-30-14
Music.....	8-30-19
Philosophy	9-24-14
Political Science.....	9-15-16
Psychology and Child Development	9-26-19
Social Sciences	9-12-18
Theatre and Dance.....	10-8-04
Women's, Gender and Queer Studies.....	9-25-20 (Revision pending approval**)
World Languages and Cultures	9-18-03
College of Science and Mathematics	9-25-20 (Revision pending approval**)
School of Education Governance	1-18-12
Library Faculty Handbook	9-2-21
Counseling Services Classification.....	1-17-19

*Corrections should be brought to the attention of Kathryn Rummell, Interim Associate Vice Provost for Academic Personnel.

**Revisions must be approved by October 1, 2021 for implementation during the 2021-22 personnel cycle.

Approved documents will be posted to the Academic Personnel website (<https://academic-personnel.calpoly.edu/content/policies/criteria>) by October 2, 2021.

Guidelines for Working Personnel Action File

This worksheet is intended to assist you in preparing your Working Personnel Action File (WPAF). Some colleges may provide a specific format which should then be utilized. This guide is available online at <https://academic-personnel.calpoly.edu/content/policies/rpt>.

Please keep in mind that the supporting materials that you submit should be thorough but not extraneous while ensuring that your application is well documented. Be concise and include materials appropriate to the period in rank (promotion candidates) or the period of your probationary tenure-track appointment at Cal Poly.

I. BACKGROUND

- ◆ EDUCATION
- ◆ CERTIFICATION OR LICENSING
- ◆ ACADEMIC EXPERIENCE
- ◆ RELATED PROFESSIONAL EXPERIENCE

II. TEACHING RELATED ACTIVITIES

- ◆ STATEMENT OF TEACHING PHILOSOPHY AND APPROACH (*essay describing the role you have established for yourself in teaching and guiding students in the learning process, and promoting student success*)
- ◆ SUMMARY OF STUDENT EVALUATIONS DURING PERIOD OF REVIEW
- ◆ COURSES AND LABORATORIES TAUGHT
- ◆ NEW COURSE PREPARATION
- ◆ MAJOR REVISIONS AND INNOVATIONS IN EXISTING COURSES
- ◆ CURRICULUM DEVELOPMENT
- ◆ SENIOR PROJECTS OR STUDENT RESEARCH SUPERVISED
- ◆ STUDENT ADVISING
- ◆ CURRENT INSTRUCTION RELATED PROJECTS
- ◆ OTHER

III. PROFESSIONAL GROWTH AND SCHOLARLY ACTIVITIES

- ◆ PROFESSIONAL DEVELOPMENT PLAN
 - Probationary faculty should emphasize short and long range goals to be considered for tenure.
 - Tenure and promotion candidates should emphasize how they intend to continue making valuable contributions to the University, its instructional programs, and to the academic community
- ◆ SCHOLARLY ACTIVITIES COMPLETED (*Scholarly work can take many forms and the following are examples of such pursuits. Specify scholarly work that is refereed, jury reviewed, or subject to other external validation. For collaborative projects and publications, describe your specific role in the accomplishment.*)

Journal Article	Chapter(s) in a book	Consulting
Professional publication	Technical report	Collaborations (public and private sector)
Creative/Artistic Achievement	Published book review	Editorships
Book	Patents	Invited and competitively accepted papers/presentations
Textbook and/or software	Commissions	
- ◆ PARTICIPATION IN PROFESSIONAL ASSOCIATIONS AND ORGANIZATIONS
 - Leadership position, officer
 - Article in non-peer-reviewed conference proceeding
 - Speaker at professional conference
 - Panel member at professional conference
 - Poster presentation at professional conference
 - Guest lecturer or speaker in regional/local venue
 - Participation in workshops, conferences, or professional meetings
- ◆ GRANTS AND CONTRACTS (*for collaborative projects, describe your specific role in the accomplishment*)
 - Receipt of competitive grants
 - Funded grants and/or contracts
 - Submitted and pending approval
 - Submitted and not approved
- ◆ CURRENT PROJECTS AND ACTIVITIES
 - Manuscripts in preparation
 - Grant proposals in preparation
 - Learning and pedagogical research
 - Discipline based research
- ◆ FELLOWSHIPS
- ◆ HONORS

IV. SERVICE

- ◆ DEPARTMENT, COLLEGE, UNIVERSITY, CSU
- ◆ COMMUNITY (activities related to professional expertise)