

California Polytechnic State University, San Luis Obispo
College of Architecture and Environmental Design

College Level
Appointment and Re-Appointment
Retention Promotion, Tenure
Rank Elevation
Post-Tenure

Procedures and Criteria

Date: Revised 10/6/04

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Introduction

1. Purpose of Document

A strong faculty, dedicated to excellence, who continue to grow professionally throughout their careers is necessary to fulfill the commitment to providing an instructional program of the highest quality for all students. The University's faculty personnel policies should facilitate the individual's continuing professional development, as well as absolute levels of achievement.

One of the College of Architecture and Environmental Design's (CAED) guiding principles is that we value individual strengths, creativity and inventiveness and believe that individuals will contribute to the realization of our mission in different ways. With that in mind, the purpose of the CAED Appointment, Retention, Promotion and Tenure (ARPT) document is to set forth guidance and evaluation structures and criteria that allows probationary faculty, faculty and lecturers (hereafter referred to as faculty), within the boundaries of the mission and goals of the departments and the college, the autonomy to choose the methods by which they feel they can best contribute to the educational mission of this institution and encourages them to develop a culture that values all aspects of faculty involvement in the university.

This document should be distributed to all new faculty members at the time of employment along with the respective departmental ARPT guidelines.

2. Mission of the CAED

The CAED at Cal Poly is a premier and unique academic unit committed to educating future generations of men and women responsible for planning, designing, constructing, managing, and preserving the physical environment. By physical environment the CAED refers to the following:

- the human or built environment at all scales, from rooms and interiors, to single structure and complexes, to site planning, to urban and regional systems;
- the visual and spatial relationships among elements of the physical environment, including open space as well as built features; and
- the natural environment within which the human or built environment must function.

The five disciplines represented in the curriculum of the CAED - Architectural Engineering, Architecture, City and Regional Planning, Construction Management, and Landscape Architecture - work closely together as a vital combination of environmental design fields. The organization of the CAED at Cal Poly reflects the logical affinity among these fields. The CAED is positioned to excel in providing an appropriate instructional vehicle to educate future professionals who have an appreciation and understanding of the collaborative model of professional practice and to be a leader in pursuing research and other creative work to expand the effectiveness of this form of practice.

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3. Goals and Objectives of the CAED

In promoting strong individual programs, the principal goals and objectives of the college are:

Goal 1 – Adopt and Implement an Action Oriented Strategic Plan

To establish clear goals, objectives and priorities; to monitor and measure activities and achievements; and to implement an action oriented Strategic Plan.

Goal 2 – Promote Professionally-Based Curricula

To encourage strong professionally-based curricula which include a broad, inter-disciplinary education.

Goal 3 – Provide a Supportive Environment for Scholarly Work

To create an academic environment which promotes faculty, staff and student development by encouraging and supporting the pursuit of teaching excellence, scholarly work, and challenging professional development and responsible service.

Goal 4 – Facilitate Learn-by-Doing

To facilitate opportunities for students and faculty to engage in practical applications of the College's curricula and to apply their skills and knowledge toward undertakings directly in community and professional office environments.

Goal 5 - Advance Opportunities for Interdisciplinary Activity

To expand collaborative opportunities to enhance interdisciplinary connections within the CAED and related programs within the university.

Goal 6 - Support Off-Campus Education Opportunities

To provide educational and professional opportunities for students and faculty to engage in off-campus domestic and international educational programs.

Goal 7 – Engage in University, Community and Professional Services

To participate as a major partner in evaluating, contributing to and directing the future physical planning and development of the University, and the surrounding region and community.

Goal 8 – Provide and Maintain Adequate Facilities and Equipment

To acquire and develop facilities and equipment for educational needs, technological change and future program growth.

Goal 9 – Promote College Advancement

To plan, coordinate and implement fund raising and outreach programs to secure supplemental public support and increased private support to meet priority needs of the college.

Goal 10 – Promote Faculty, Staff and Student Diversity

To enhance the ability of the college and the student body to understand and engage the diverse cultures and perspectives of our society.

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4. CAM and MOU

The role and scope of responsibility for the candidate, faculty, peer review committee(s), department head/director and dean are incorporated herein to offer clarification of the process and respective responsibilities of the participants in the appointment and review process's for the CAED. If conflict arises between this ARPT document and the respective department ARPT documents, this document shall prevail. If conflict arises between this document and the Memorandum of Understanding Between the California Faculty Association and the Board of Trustees (MOU) or the Campus Administrative Manual (CAM), then the MOU or CAM shall prevail, with the MOU superceding.

5. Definitions

5.1 Performance Reviews

A Performance Review shall normally be required for retention of:
Probationary faculty unit employee;
Award of tenure; and
Promotion

5.2 Periodic Evaluations

A periodic evaluation of a faculty unit employee shall normally be required for evaluation of:
Temporary faculty unit employees;
Probationary faculty unit employees who are not subject to a performance review (1st academic year evaluation); and
Tenured faculty unit employees who are not subject to a performance review (post-tenure reviews).

5.3 Personnel Files Defined

The "Personnel Files" refers to the following:

Applicant Working File - established by each applicant for a faculty position. It contains the original faculty application and supporting materials submitted by an applicant when applying for a position. Some materials from the Applicant Working File become part of the Personnel Action File if the applicant receives an appointment by the department. If no appointment is made, materials are retained by the department for a period of three years during which period applicants not hired may request that their supplemental materials be returned, or may use them for a subsequent recruitment within the department.

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

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professional development plans, are transferred to the Personnel Action File after completion of the review process. The remainder of materials are returned to the review candidate.

Personnel Action File (PAF) - the official, permanent campus personnel file. It contains such items as application and resume/vitae, letters of offer, student evaluation of faculty, and previous faculty evaluations for any faculty member who has been appointed within the college

5.4 Functions of the CAED College Peer Review Committee

The College Peer Review Committee has five functions.
The committee shall:

- A) Serve as the college-wide personnel review committee on tenure and promotion recommendations;
- B) Serve as an advisory group to the dean on selected personnel actions at the request of the dean and where consultation is deemed advisable by the dean;
- C) Serve as an advisory group to any CAED faculty member or department head who wishes to call on the committee for advice and counsel on matters generally related to RPT;
- D) Serve as the college facilitators and advisors for faculty support resources, including, but not limited to, available funds for professional development opportunities, grant opportunities, release time (if deemed appropriate), subscription to periodicals, portable research support, etc. and;
- E) Writes and maintains the college level guidelines for ARPT.

Part I: Procedures and Process

1. General

1.1 Security of Personnel Files

During the period for review for appointment, retention, promotion, tenure, or periodic review the candidate's Applicant Working File or Working Personnel Action File shall reside in the applicable department in the custody of the department head/director. The department head/director shall assure the integrity and security of the files while in her/his custody and shall facilitate access to the personnel files by the faculty body participating in the review of the files.

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The Personnel Action File is in the custody of and maintained by the dean as the representative of the President. During the period for review for appointment, RPT, or Periodic Review these files will be made available to those faculty participating in the process. The dean shall assure the integrity and security of the files.

1.3 Mentoring

A strong and cooperative relationship between senior faculty and junior faculty is essential to the professional growth of both. Fostering the development of faculty early in their teaching careers creates a supportive environment and facilitates the development and growth of teaching effectiveness, professional contributions and the future of the university. Interaction with new faculty invigorate and enhance the success of the senior faculty providing an infusion of new techniques and fresh assessment of current practice. It is the responsibility of all academics to provide an environment that contributes to the growth of our students as professionals.

2. Procedures and Process for Appointment

Membership on any recruitment and appointment committee shall include at least two elected tenured faculty in addition to any probationary faculty who have completed two or more full-time years of teaching at Cal Poly. It is the intent of the college that the committee shall number no less than three.

When the number of faculty who are eligible and willing to serve on the appointment or recruitment committee in any one department is less than three, faculty from other departments within or without the college but from a related discipline shall be elected to the committee. The department head shall approach the faculty member of the other department to elicit interest in serving. If the faculty is agreeable, permission should be obtained from the department head/director of the other department. The head of the department needing assistance shall notify the faculty from the other department of his/her election and of the time and place of the first meeting.

Probationary faculty and temporary faculty as well as students, staff and other interested parties may provide informal input to the committee once the field is narrowed and candidates are invited to campus. Cal Poly Strategic Plan Goal 6.1 specifically states that it's "governance structure shall implement shared decision making. This involves mutual respect and a set of values that regards the members of the various university constituencies as essential for the success of the academic enterprise." With this in mind, it is essential that all personnel decisions be based on structured feedback from as broad a cross section of the academic community as is feasible within the constraints of the MOU.

2.1 College Recruitment and Appointment Committee(s)

There is no recruitment or appointment committee for faculty at the college level.

Department Recruitment and Appointment Committee(s)

Recruitment of all faculty shall be initiated at the department level after consultation with the dean and following university procedures. A department committee will be convened following approved procedures. At the end of the recruitment period, the department recruitment and

appointment committee shall forward their recommendation to the department head/director.

Department Head/Director

The department head/director will submit to the college dean: a written recommendation for the candidates regarding whether or not the action to be taken is recommended, the recommendations of the committee; the Applicant Working File, all works sheets, classroom observation reports, etc., a relative priority ranking order for appointment if applicable, and the AP101A Form list of candidates.

The department head, after consultation with and approval from the dean, shall act as the representative of the dean/president in negotiating an agreement with all applicants. No proposal shall be considered final unless received in writing from the dean.

Upon the acceptance of an offer by the candidate, the department head will designate the chair of the department peer review committee or a tenured faculty member to act as a continuing advisor and resource for the appointee in all appropriate matters for a period of the first probationary year. When possible, such a tenured faculty member should be in the appointee's special field in the teaching area.

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

The president, after discussion with the dean, shall appoint all tenured and probationary faculty. The dean is the delegate of the president and will appoint all temporary faculty. Appointments shall be made after considering the recommendations of the faculty and department head/director.

2.3 Faculty Transfers from another college or campus

Faculty from one college or campus may apply to another college or campus within the CSU system. Transfers shall be governed by university policy, the MOU, CAM, and the ARPT documents of each department within the college.

2.4 Reappointment of Lecturers

Re-appointment shall follow university process and shall be at the discretion of the department after discussion with the dean.

2.5 Emergency Appointments

The dean shall consider the emergency appointment of a temporary faculty upon request of the department. A temporary faculty member may be appointed within the department when he/she 1) is not in the departmental part-time pool or 2) does not meet the minimum criteria for appointment within the department but is in possession of outstanding skills or exceptional qualifications and 3) there is no person in the part-time pool available or qualified to teach the class in question.

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3. Procedures and Process for Evaluations and Reviews

3.1 **Performance Reviews for Retention, Promotion and Tenure**

It is the intent of the college that elected tenured faculty shall serve on all peer review committees to review and recommend individuals for retention, tenure, and promotion. In promotion considerations, committee members shall have a higher rank/classification than those being considered for promotion. Each committee shall number no less than three.

3.1.1 Faculty Submittals

Each department shall make clear in the department ARPT document what materials are appropriate for submittal to a WPAF at each level of review. The material submitted by faculty shall be, at a minimum, a resume or vitae and if appropriate, a list of materials submitted.

It is the responsibility of the department head/director to assure that all faculty on the peer review committee examine and sign the WPAF before concluding their evaluation. The dean shall ensure that all committee members review and sign the PAF prior to concluding their evaluation.

3.1.2 Levels of Review

Only full-time elected faculty on active resident status, tenured department heads, and academic administrators will participate in voting, and formal recommendations. Faculty on leave and/or on off-campus programs or who are themselves under consideration by the committee shall not be eligible to serve.

Department Peer Review Committee(s)

A department committee will be convened following approved procedures. The department committee shall provide a copy of their recommendation to the faculty under review within the allotted time and, seven days thereafter, return their review to the department head/director along with any response from the faculty under review.

Department Heads

The department head/director is responsible to assure the validity of process and timeliness in the performance review process at the department level. The department head/director shall receive the department peer committee review, add his own level of review and, after seven days, forward the WPAFs along with both reviews to the dean in accordance with university procedure and timeline.

College Peer Review Committee(s)

It is the intent of the college that only elected tenured full-time full professors on active resident status shall serve on College Peer Review Committees to review and recommend individuals for tenure and promotion.

The Committee shall consist of one tenured professor elected by each department to serve a two-year staggered term. Landscape Architecture

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and Construction Management representatives shall be elected in even years and City and Regional Planning, Architecture and Architectural Engineering shall be elected in odd years. A department head shall not serve on this level of review.

A faculty member shall not serve on more than one committee level of the same nature at the same time. If a faculty member is serving on the college peer review committee he/she shall not serve at the department level.

Committee members will be elected by the faculty of each department at the end of the previous academic year to serve for the next two years.

The college peer review committee will submit to the college dean a separate written recommendation for each candidate regarding whether or not the action to be taken is recommended and, if applicable, a relative priority ranking order for promotion.

Meetings regarding RTP shall follow these procedures:

- A) The dean will call the first meeting of the committee for no later than one week after the completed WPAFs and prior level of reviews have been received from the departments. At the first meeting, the committee will review the College ARPT Guidelines, the timeline for action and elect a chairperson. The timeline shall follow that laid down by the MOU and the University on an annual basis and shall roughly correspond to the following:
 - a. February 15 – Dept. Heads forward all documents to dean;
 - b. February 21 – The dean make all documents available to the committee;
 - c. March 8 – Committee provides faculty with comments;
 - d. March 15 – Committee forwards review to the dean;
- B) After the first meeting, each member will independently review the Working Personnel Action File (WPAF) and the Personnel Action File (PAF) of faculty under consideration and sign the log sheet in each file; and
- C) At subsequent meetings, the committee will review the departmental ARPT criterias, review examples of activities considered appropriate as "scholarly and creative activities" for the discipline, review the goals and objectives of the department and college as they relate to faculty contributions, discuss the candidates and prepare a written recommendation.
- D) If additional materials are admitted to the WPAF by request or permission of the college peer review committee after the department committee or department head has completed their evaluation, such materials shall be referred back to all prior levels of review for evaluation and comment. In such a case, any of the prior levels of

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review may revise their original recommendation. If they choose not to revise their recommendations, they should indicate in writing that the material has been reviewed and the committee or department head/director does not choose to change their recommendation in any way.

- E) The committee's recommendation will be provided to the candidate at least seven days before the recommendation and response, if any, are forwarded to the dean.

Dean

After receiving recommendations from the prior levels of review, the dean may ask the faculty to meet with him to discuss the evaluation. The dean will advise the faculty member in a timely fashion of this meeting. If the dean initiates a meeting with one faculty member of a group being reviewed, he will meet with all faculty being reviewed in that group. The faculty member may initiate a meeting with the dean after the dean has received the prior level reviews and before the dean forwards his recommendation to the president.

The dean shall review and sign all WPAFs and PAFs and forward his recommendation to the president along with the files, a summary of the recommendations and the recommendations from prior levels in accordance with university procedure and timeline.

The dean will receive and distribute the decision of the president at the end of the review process.

- 3.2 Periodic Evaluations for Probationary Faculty, Full / Part Time Lecturers
- 3.3 Periodic Evaluations for Post-Tenure

Department Peer Review Committee(s)

Department periodic evaluation committee(s) shall compose one level of review to evaluate probationary faculty, full time lecturers and post-tenure faculty. Part-time faculty are not evaluated by a committee.

It is the intent of the college that elected tenured professors shall serve on department periodic evaluation committees. In post-tenure considerations, committee members shall have the same or higher rank/classification as those being considered. Each committee shall number no less than three.

When the number of faculty who are eligible and willing to serve on the Peer Review Committee in any one department is less than three, faculty from other departments within or without the college but from a related discipline shall be elected to the committee. The department head shall approach the faculty member of the other department to elicit interest in serving. If the faculty is agreeable, permission should be obtained from

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the department head/director of the other department. The head of the department needing assistance shall notify the faculty from the other department of his/her election and of the time and place of the first meeting.

Department Heads

The department head/director is responsible to assure the validity of process and timeliness of the performance review process at the department level. The department head/director shall receive the department periodic evaluation where applicable, add his own level of review and forward the WPAFs along with one/both reviews to the dean in accordance with university procedure and timeline.

College Peer Review Committee

There is no periodic evaluation committee at the college level.

Dean

The dean is the representative of the president for all periodic evaluations.

The dean shall review and sign all WPAFs and PAFs and forward his evaluation to the faculty under consideration. Faculty may request a meeting with the dean to discuss their evaluation. At the end of a seven day period, the dean will remove such articles from the WPAF as will be placed into the PAF and return the remainder of the WPAF to the department.

The department will return the remainder of the submitted material to the faculty at the end of the review process.

3.4 Range Elevation of Lecturers

- A) The department is responsible to inform lecturers when they become eligible.
- B) A lecturer who is eligible for range elevation shall make a request, in writing, to the department head/director, shall document the reasons why they believe they are, and submit a WPAF with evidence of merit. Such a request shall be made no later than February of the academic year or at time of reapplication, whichever comes first.
- C) The department Periodic Review Committee or its equivalent shall review these applications. The committee shall make a recommendation to the department head/director and shall inform the candidate in writing of their recommendation. The department head/director shall make a recommendation to the dean and provide a copy to the applicant. Said recommendation shall be made no later than the end of the academic year within which the request was made.

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- D) The dean is the designee of the president in granting range elevations and, as such, shall advise the candidate of his/her decision within 30 days of receiving the recommendation of the department head.
- E) Decisions of the dean may be appealed. See Section 12.18 of the faculty MOU.
- F) All elevations will be effective the beginning of Fall Quarter of the following academic year or at the time of next hire, whichever comes first.
- G) Range elevation is contingent upon reappointment.
- H) As specified in university policy, range elevation is accompanied by a 5% increase in pay.

Part II: Criteria

The college expects all faculty to abide by the rules of professional conduct known as collegiality. By this it is meant that conduct shall be based upon mutual professional respect - that which is due to professional degrees and achievements, to talent and merit irrespective of degrees, and to accomplishments of individual contributors as recognized by a shared definition of excellence and the manner of its expression. Respect is based upon the ability, dedication and achievements of all faculty and ensured by the high standards of the College for hiring, retention and tenure. We affirm that the integrity of the college and the departments in general arise from the ability of various independent individuals to work in harmony for the common good.

The college also considers commonly accepted principles of professional ethics to be the cornerstone of academia. These principles are considered the foundation of education rather than as arbitrary limitations and would include: truthfulness; the free investigation, expression, and exchange of ideas; the right of access to information; the duty to consult openly about issues of mutual concern; and the concomitant right to be consulted about the same.

1. Criteria for Initial Appointment

Appointments in each department shall be made consistent with the curricular needs of the department, the long term goals of the department and college, and the CAED Strategic Plan. When making a recommendation, the department shall provide the dean with a justification for the hire based on the above criteria and the financial impact to the college.

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In the dean's deliberations, consideration will be given to the:

- A) Extent to which candidates were evaluated according to the ad description;
- B) Extent to which candidates were evaluated according to their respective departmental and college RPT criteria;
- C) Goals and objectives of the department and college as they relate to faculty appointments.

2. Criteria for Retention / Reappointment, Promotion / Evaluation and Tenure

2.1 Criteria for Retention, Promotion and Tenure of Probationary Faculty

Recommendations and decisions will be based on professional competence, educational background, teaching performance, research and other professional development achievements, committee work and other contributions to the college and university community, and performance as outlined within each departmental RPT document, this document and substantiated in the Working Personnel Action File and the Personnel Action File.

Deliberation for the college peer review committee and of the dean will be based on and consideration will be given to the:

- A) Extent to which candidates were evaluated according to their respective departmental and university RPT criteria;
- B) Departmental compliance with its own RPT and university criteria and procedures; and
- C) Evidence submitted and whether it adequately supports the recommendations made by the department peer review committee and the department head/director.
- D) Goals and objectives of the department and college as they relate to faculty evaluations.

2.2 Criteria for Reappointment of Full-Time Lecturers

Full time lecturers may be reappointed for one year following the first year of employment. Criteria for reappointment are determined by the department. No offer shall be considered final unless received in writing from the dean.

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2.3 Criteria for Range Elevation of Temporary Faculty

Those eligible for range elevation shall be limited to temporary faculty who have met the criteria specified in Section 12.16 of the MOU: served the equivalent of five years in the same department at their current range and are no longer eligible for a Service Salary Increase (SSI).

- A) Range elevation is not automatic.
- B) Range elevation shall be appropriate to lecturer work assignment as specified in Section 12.18 of the current MOU.
- C) Teaching experience will be given primary consideration; however, it is understood that all faculty are expected to continue to enhance academic preparation by continued progress through additional educational, research or professional development.

In addition to teaching experience, factors that will be given consideration by the dean for range elevation of temporary faculty are:

- 1) academic pursuits such as completion of advanced degrees or courses;
 - 2) continuing education such as activity in professional organizations, seminars or workshops;
 - 3) professional growth and development;
- D) teaching ability as measured by student evaluations and classroom observations of Department Head/Director and peers.

2.4 Criteria for Post-Tenure Periodic Evaluation

Recommendations and decisions will be based on professional competence, educational background, teaching performance, research and other professional development achievements, contributions toward implementation of College Strategic Plan goals, committee work and other contributions to the college and university community and performance as outlined within each departmental RPT document, this document and substantiated in the Working Personnel Action File and the Personnel Action File.

Deliberation for the dean will be based on and consideration given to the:

- A) Extent to which candidates were evaluated according to their respective departmental and university RPT criteria;
- B) Departmental compliance with its own RPT and university criteria and procedures; and

C) Evidence submitted and whether it adequately supports the recommendations made by the department peer review committee and the department head/director.