DEPARTMENT OF PHYSICS
Retention, Tenure and Promotion Personnel Committee
Operating Procedures and Special Criteria
2010-11

Our mission statement asserts, “The Department of Physics strives to maintain and enhance a long tradition of collegiality, professional responsibility and mutual respect.” This document is intended to promote these same goals.

I. STRUCTURE

- The Department of Physics Retention, Tenure and Promotion (RTP) Personnel Committee shall be constituted according to all appropriate guidelines and regulations that include but are not limited to the CBA and FPPP section 5.
- The membership of the committee shall consist of three members. If at all possible, these shall be members of the Department of Physics (FPPP 5.0e).
- For the review of joint-appointment faculty, it is natural that the membership of the committee be augmented by a faculty member from the other department in the joint appointment, and we strongly encourage this action. The selection of this fourth committee member shall be done by the departmental Personnel committee. The Personnel Committee (or its chair) should discuss the selection with the faculty member under review to insure the most effective evaluation.
- The eligible departmental faculty shall consist of all full-time, tenured faculty members except for the following:
  1. Faculty members serving on the College Personnel Committee.
  2. Faculty members on the Faculty Early Retirement Program (FPPP 5.0.g).
  3. Faculty members being reviewed that academic year (FPPP 5.0.h).
  4. The Department Chair, when candidates are undergoing performance review. (FPPP 5.0.j)
- In promotion considerations, peer review committee members must have a higher rank/classification than those being considered for promotion (FPPP 5.0.k)
- The Department Chair will serve as a separate level of review within the Department except during the periodic evaluation of faculty when the Department Chair will serve on the Personnel Committee as a full voting member.
- The committee will be elected after the selection of the College Personnel Committee.
- The members of the committee shall be elected in accordance with the department election guidelines.
II. PROCEDURES

- The Committee will operate under and be knowledgeable of all of the appropriate guidelines and regulations which include, but are not limited to the CBA articles 8, 11, 13, 14, 15, and 20 and the FPPP sections 3, 4, 5, and 8.

- The Committee will meet and select a Committee chair, Secretary, and Affirmative Action Liaison Faculty (FPPP 5.0.l).

- A quorum consisting of a majority must be present in order for the Committee to conduct its business.

- When the Committee meets to vote on the reports and recommendations, all members must vote, either in person or by proxy. If a member abstains from voting, the member shall submit a written reason for the abstention.

- In matters of retention, tenure and promotion, the Committee will follow the procedures and the special criteria established by and approved for the Department of Physics. In the event of any inconsistency between this document and either the FPPP or the CBA, the FPPP and/or the CBA will take precedence.

- At least one Committee member shall make a classroom visit for each faculty member under review. The Department Chair will also visit if he/she serves as an independent level of review. A written report of each visit will become a part of the personnel file of the candidate. The College Dean may also make classroom visits.

- Periodic evaluations will cover the period since the faculty member's date of hire, previous periodic evaluation, or previous performance review, whichever is more recent. Performance reviews for retention will cover the period since the faculty member's date of hire or previous performance review, whichever is more recent (FPPP 8.5.a.12) Performance reviews for tenure or promotion will cover the period since appointment or since the last promotion, whichever is more recent (FPPP 8.5.b.2.d.1 or 8.5.b.2.e.1).

- All Committee members will examine the Working Personnel Action File (WPAF) of each candidate (FPPP 5.0.m). To facilitate this examination, meetings should be conducted, whenever possible, at the Dean’s office.

- The committee’s report will include a written evaluation of the evidence contained in the WPAF. The committee's evaluation must address the evidence with respect to the requirements for promotion (FPPP 8.5.b.2.e.5), retention (FPPP 8.5.b.2.c.3) or tenure (FPPP 8.5.b.2.d), the definitions of evaluation ratings (FPPP 8.5.b.1.c) and the Special Criteria and Standards of the Physics Department. The committee will evaluate candidates based upon the quality, quantity and continuity of their performance as faculty members in pursuit of our department’s mission.

- The committee’s report can only be based on evidence in the WPAF (FPPP 3.0.p). The committee should assist the candidate in making certain that the WPAF accurately reflects the full performance record. It is the responsibility of the candidate to see that all materials needed for a favorable review are in the WPAF, while it is the committee’s responsibility to see that all materials needed for a thorough evaluation are included in the WPAF (FPPP 8.1.a.5).
• In the consideration of promotion, the review process shall only take into account the candidate’s record of performance for all years since appointment or since closing of the WPAF for the last performance report for promotion, whichever is more recent.

• The candidate should indicate in the dossier the category in which (Instruction, Professional Growth and Achievement, Other Contributions) each piece of evidence should be considered. Specific pieces of evidence, e.g. published paper, may only be considered in a single category.

• The Committee will meet with each candidate after reviewing the WPAF but before writing its report (FPPP 8.5.a.18).

• All faculty must undergo SET at least once per year. Whenever a faculty member undergoes SET, all courses taught by the faculty member, for which students receive letter grades and which are normally evaluated by the Testing Office, shall be evaluated. As per the CBA each faculty member shall have written student evaluations in a minimum of two classes per year. Faculty may request to have SET's twice per year as is their right under the FPPP. RTP candidates should be aware that biannual evaluation provides the candidate with feedback more promptly and provides the committee with a more complete record.

• Evidence of scholarship activities, including the status of publications and participation in professional meetings must be included in the WPAF. It is the responsibility of the candidate to provide this evidence. Professional activities entirely completed prior to employment at CSUC will not be considered during the evaluation process, except for the first performance review of an RTP candidate who has been granted service credit (FPPP 8.5.a.12).

• The same procedures listed above will also apply in the evaluation of temporary faculty. However, the criteria and standards will focus predominantly upon instruction (FPPP 8.2.b). In the review of temporary faculty the department will consider their teaching responsibilities (FPPP 6.2.d and CBA 20), professional activity (FPPP 8.4.a) and service to the department in light of the extent of their appointment.
III. CRITERIA AND STANDARDS FOR RETENTION, TENURE, AND PROMOTION.

The mission of the Department of Physics is to “provide the highest quality undergraduate education in physics.” All standards and criteria should be considered as contributing to our pursuit of this mission. Accordingly, in what follows we state how we envision each category (Instruction, Professional Growth and Achievement, Other Contributions) contributing to our mission. This statement is followed by a list of typical activities that a faculty member undertakes, in whole or in part to help fulfill our mission.

In each area of review (Instruction, Professional Growth and Achievement, and Other Contributions to the University and Community) all reports conclude with a single-word summary evaluation, or rating (FPPP 8.5.b.1.c): superior, effective, adequate or inadequate. Therefore, it is helpful to candidates and reviewers to specify a) what ratings are typically required to produce a recommendation for tenure or promotion and b) what work constitutes the minimum necessary to achieve a given rating.

The following table presents those ratings that are typically required for a positive recommendation for tenure or promotion.

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<th>Range Elevation</th>
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<th>Prof. Dev.</th>
<th>Service</th>
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(S = superior, E = effective, A = adequate)

Note that the candidate may focus her/his efforts in various ways to be recommended for tenure or promotion, however a candidate rated as inadequate in any area will not be recommended for tenure or promotion. Also note that a minimum rating of effective in teaching is required for tenure or promotion (FPPP 8.5.b.1.c).
Probationary, tenure-track faculty undergo a retention performance review semi-annually (typically these occur in the 2nd and 4th years) (FPPP 8.5.a.6). The record of candidates undergoing a performance review for the purposes of retention should demonstrate that they have a reasonable chance of obtaining tenure in due course (FPPP 8.5.b.2.c.2). The following table presents those ratings that are typically required for a positive recommendation for retention for a given review year.

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<th>Teaching</th>
<th>Prof. Dev.</th>
<th>Service</th>
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<td>1st &amp; 2nd year</td>
<td>E*</td>
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<tr>
<td>3rd year</td>
<td>E</td>
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<td>4th &amp; 5th year</td>
<td>E</td>
<td>A</td>
<td>A</td>
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(* - For 1st and 2nd year review the candidate is only required to be effective in Area (1) in Instruction (see below).)

A recommendation by the Committee for early tenure “must be accompanied by its justification as a special case” (FPPP 8.5.b.3.a.3). Such “special case” justification must be determined, ipso facto, on an individual case basis.

A recommendation by the Committee for early promotion only occurs if a candidate is judged to be “exceptional” (FPPP 8.5.b.3.c). The Department of Physics criteria for such “exceptional” candidates are that they: a) meet all requirements for promotion in a time period shorter than normal, and b) clearly exceed the typical minimums for promotion (see below).

Beyond simply rating the candidate and making the appropriate retention recommendation, it is particularly important that the committee report give constructive guidance concerning the candidate's trajectory toward tenure and promotion. In this same collegial spirit the department strongly recommends that at the conclusion of the entire review process the retention candidate requests to meet with the department chair and RTP committee to discuss and clarify issues regarding tenure and promotion.

In what follows the Department of Physics has attempted to quantify certain typical minimums of activity in the three areas of activity: Instruction, Professional Growth and Achievement, and Other Contributions to the University and Community. We strongly emphasize that these quantified minimums are a typical set of achievements that a candidate could pursue, but that other achievements of equivalent value may stand in place of these quantified minimums.

The purpose of the minimums stated below is not to restrict the candidate's range of work, but to aid both the candidate and the personnel committee by providing an
example set of achievements that would merit a positive recommendation for personnel action.

- **Instruction:**
  
The department values faculty that demonstrate a commitment to student learning by the energy, time and care that they devote to the creation and support of innovative, high-quality, student-centered learning environments. This commitment may be demonstrated in any or all of the three areas: general education, service courses and physics degree programs. Evidence of this commitment is demonstrated by activities that lie in one of the following four areas:

1. **Establishing and maintaining academically rigorous and effective classroom instruction**
2. **Developing or implementing innovation in undergraduate physics education.**
3. **Creating new courses or programs that help the department fulfill its mission.**
4. **Mentoring students outside of the classroom**

Since area (1) is so central to the department’s mission, all faculty members under review must demonstrate effective or superior performance in this area to be recommended for tenure or promotion. For area (1) the committee shall consider and evaluate the following evidence for rigor and effectiveness in classroom instruction:

- syllabi, assignments, exams and other course materials created by the instructor
- samples of student work
- student evaluations of teaching
- reports of class visits by committee members and others, e.g. chair and dean
- other evidence provided by the faculty member under review

In order to receive an effective or superior rating in area (1) the evidence should demonstrate that the candidate

- encourages student-faculty contact.
- encourages their students to work together.
- encourages active learning in the classroom or outside of it.
- provides prompt feedback on assignments.
- uses class time wisely.
- sets high standards and communicates them to students.
- recognizes and responds to the fact that different students learn differently.
(this list is based on: Seven Principles for Good Practice in Undergraduate Education, 1987, A.W. Chickering and Z.F. Gamson)

The Department of Physics expects the candidate to engage in teaching activities beyond area (1). Therefore candidates must demonstrate work in at least one of the remaining areas (2-4) to merit an overall Instructional rating of Effective or Superior.

The following activities constitute typical minimums of expectation:

Superior rating:
- two peer reviewed publications related to the area of activity and
- one presentation, invited or contributed, at a professional conference

Effective rating:
- one peer reviewed publication related to the area of activity and
- one presentation, invited or contributed, at a professional conference

Adequate rating:
- one peer reviewed publication related to the area of activity or
- one presentation, invited or contributed, at a professional conference

As previously stated these quantitative minimums are an example of the minimum level of achievement associated with a particular rating. The committee must always consider the quality, continuity and level of effort associated with any activity documented by the candidate. For example, a ranking of “Superior” in instruction is based on evidence that "demonstrates the candidate's consummate professionalism and exceptional skill" (FPPP 8.5.b.1.c), while a ranking of "Effective" is based on evidence that "demonstrates the candidate's substantial professionalism and competence" (FPPP 8.5.b.1.c). The committee shall consider the fact that a single publication of significant quality, or representing substantial and/or long term effort, may well constitute an achievement equal to or greater than that of two lesser publications. The committee shall also carefully consider the value of documented activities that have yet to yield publications or presentations, e.g. book in progress.

The department highly values mentoring that leads to student publications and/or presentations, and such student work may contribute to the publication and presentation record of the candidate. The department similarly values other forms of student mentoring that do not necessarily result in any form of publication or presentation, e.g. Single Subject Credential advising, Society of Physics Students advising and internship facilitating. Depending on the documented level of effort the candidate may request the committee to substitute such activity for an appropriate number of publications or presentations.
The department recognizes the benefits to our mission that can arise from faculty obtaining grants and contracts. For this reason, the candidate may request the committee to substitute this activity for an appropriate number of publications or presentations.

The committee shall consider its ratings in both area (1) and a second area in determining the candidate's overall Instructional rating.

**Professional Growth and Achievement:**

The department values faculty that demonstrate a commitment to professional growth and achievement. The Department’s Mission defines professional growth and achievement as not only that which deepens a faculty member’s scientific knowledge, “but also that which is designed to improve their pedagogic skills.” Scientific scholarship has intrinsic merit, but scholarship that enhances the student-centered learning experience directly advances the Mission of the Department and shall be considered of special value. Evidence of this commitment is demonstrated by activities that lie in:

- Physics or Applied Physics
- Physics Education or Science Education

The following sets of activities constitute *typical* minimums of expectation in professional growth and achievement:

**Superior rating:**
- two peer reviewed publications related to the area of activity *and*
- one presentation at a professional conference

**Effective rating:**
- one peer reviewed publication related to the area of activity *and*
- one presentation at a professional conference

**Adequate rating:**
- one peer reviewed publication related to the area of activity *or*
- one presentation at a professional conference

As previously stated these quantitative minimums are *an example* of the minimum level of achievement associated with a particular rating. The committee must *always consider the quality, continuity and level of effort* associated with any activity documented by the candidate. For example, ranking of “Superior” is based on evidence that "demonstrates the candidate's consummate professionalism and significant, highly regarded scholarly achievement” (FPPP 8.5.b.1.c), while a ranking of "Effective" is based
on evidence that "demonstrates the candidate's substantial significant scholarly achievement" (FPPP 8.5.b.1.c). The committee shall consider the fact that a single publication of significant quality, or representing substantial and/or long term effort, may well constitute an achievement equal to or greater than that of two lesser publications. The committee shall also carefully consider the value of documented activities that have yet to yield publications or presentations, e.g. book in progress.

Publications and presentations counted in the area of instruction cannot also be counted in the area of professional growth and achievement.

The department realizes that certain activities that constitute professional growth, e.g. attending and/or organizing workshops or symposia; corporate or government experience; leadership in professional societies, do not necessarily result in publications or presentations. The candidate may request the committee to substitute these activities for an appropriate number of publications or presentations depending on the documented level of effort and achievement.

The department recognizes the benefits to our mission that can arise from faculty obtaining grants and contracts. For this reason, the candidate may request the committee to substitute this activity for an appropriate number of publications or presentations.

- Other Contributions to the University and Community:

  The department values faculty that demonstrate a commitment to serving the department, college, university and larger communities. The Department’s Mission states, “the well rounded students we seek to educate should develop a strong sense of the value of service to others.” Our faculty should set a high standard for students to emulate. Evidence of this commitment is demonstrated by activities that lie in one of the following four areas:

  - Participation in governance at the departmental, college or university level
  - Performance of departmental, college or university service
  - Participation in professional or community service organizations
  - K-12 outreach and other community service

A candidate’s service is particularly vital at the departmental level, since active participation of its faculty is necessary for the health of the Department. Therefore, all faculty should (a) demonstrate a willingness and ability to cooperate and work effectively with faculty and staff members of the department; and (b) show a genuine interest in departmental activities and problems.

In addition to demonstrating this overall ability to work productively with departmental faculty and staff, a candidate’s service should include specific service activities. The following sets of activities constitute typical minimums of expectation in service:

9
Superior rating:
- Active service on 3 or more elected terms on standing or ad hoc departmental committees and
- Active service on 2 or more elected terms on standing or ad hoc college or university committees

Effective rating:
- Active service on 2 or more elected terms on standing or ad hoc departmental committees and
- Active service on 1 or more elected terms on standing or ad hoc college or university committees

Adequate rating:
- Active service on 1 or more elected terms on standing or ad hoc departmental committees and
- Active service on 1 or more elected terms on 1 standing or ad hoc college or university committee

The department recognizes that all committees are not equivalent when it comes to workload, and that all committee members do not accomplish the same amount of work. The committee must consider the quality, continuity and level of effort associated with any committee activity. For example, a ranking of "Superior" is based on evidence that demonstrates "the candidate's assumption of key roles on significant University-, College-, and/or Department-level committees" (FPPP 18.3), while a ranking of "Effective" is based on evidence that demonstrates "the candidate's occasional assumption of key roles on significant University-, College-, and/or Department-level committees" (FPPP 8.5.b.1.c). It is in the candidate's interest for him/her to document heavy workload committees and/or document special responsibilities assumed, e.g. serving as committee chair.

The department recognizes that a candidate may make significant service contributions to the university that are outside of a committee setting, for example: university senator, departmental chair, SPS advisor or liberal studies advisor. Depending on the documented level of effort, the candidate may request the committee to substitute these activities for an appropriate amount of committee service work.

The department recognizes that a candidate may make significant service contributions that, while formally outside of the university, do promote the department, college or university mission. Typically this work is within the community or a professional society. Depending on the documented level of effort, the candidate may request the committee to substitute these activities for some of the
intra-university service expectations. However, the candidate must still demonstrate service at the departmental and college levels.

The department recognizes that joint-appointment faculty have service commitments to two departments. Given this fact, it is entirely appropriate for the Personnel Committee to consider the candidate’s departmental, college, and university service work done as a member of the second department.

Nothing in the above criteria and standards is intended to conflict with the FPPP or CBA; should there be a conflict, the FPPP and/or CBA shall take precedence.