

DEPARTMENT OF PHYSICS

Retention, Tenure and Promotion Personnel Committee Operating Procedures and Special Criteria Approved 8-31-21

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 4.
- The membership of the committee shall consist of at least three members. A majority of members of a *Department Personnel Committee* shall come from within the Department, where possible. (FPPP 4.1.4, 4.1.9.a).
- 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 ensure the most effective evaluation.
- The eligible departmental faculty shall consist of all full-time, tenured faculty members (FPPP 4.1.4).
- FERP faculty may be elected to a *Personnel Committee* only if they will be employed during the entire portion of a faculty member's review cycle for which that committee is responsible. (FPPP 4.1.4.b.2).
- Department Chairs may participate as members of the *Department Personnel Committee* when the committee is undertaking a *periodic evaluation* or a *performance review*. Such membership counts towards the committee's required size. (FPPP 4.1.10.a) No faculty member may serve on a committee if he/she is the subject of a *periodic evaluation* or a *performance review* that year. (FPPP 4.1.6).
- Faculty members shall not serve on more than one committee level of peer review. (FPPP 4.1.1)

- In promotion considerations, peer review committee members must have a higher rank/classification than those being considered for promotion (FPPP 4.1.5)
- If the Department Chair does not serve on the Personnel Committee he/she will serve as a separate level of review within the Department.
- 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 and the FPPP.
- Each *Personnel Committee* and subcommittee shall elect a chair and a secretary (FPPP 4.2.1).
- 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.
- *Periodic evaluations* and *performance reviews* will cover the period since the faculty member's date of appointment. For summer or fall appointments, period of review will begin at the last academic day of spring semester in the academic year preceding the appointment. Spring appointments will begin on the date of appointment. All faculty members' evaluations and *performance reviews* will include work that is part of a service credit year or years and other granted credits. (FPPP 10.1.11).
- In consideration of tenure or promotion, the period of review shall be the entire *probationary* period (including years of prior service credit, if any). Consideration shall be given to the development and continuity of the candidate's total performance during the review period. Where prior credits have been granted, these credits plus performance rendered since being appointed to the faculty at California State University, Chico shall, together, constitute the data base for the review. (FPPP 10.4.4.a).
- *Personnel Committees* may be divided into subcommittees, with the division of work being determined by the *Personnel Committee*. In cases where this is done, the subcommittee rather than the entire *Personnel Committee* is responsible for the complete and thorough review and evaluation of data and making *recommendations* on each candidate. Subcommittee *reports* and *recommendations* shall be submitted to the entire *Personnel Committee* for endorsement, after which the *reports* and *recommendations* are forwarded to the Department Chair or College Dean as appropriate (FPPP 4.1.3).
- 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 retention (FPPP 10.4.3), tenure (FPPP 10.4.4), or promotion (FPPP 10.4.5)

the definitions of evaluation ratings (FPPP 10.3.3) 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 7.0.16). 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 with the assistance of the Department to make certain that all materials needed for a favorable review are in the WPAF (FPPP 8.1.1.b.1), while it is the committee chair's responsibility to see that all materials needed for a thorough evaluation are included in the WPAF (FPPP 8.1.1.b).
- 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, Service that contributes to the Strategic Plans and Goals of the Department/Unit, College, University, and to the Community) each piece of evidence should be considered. Specific pieces of evidence, e.g. a published paper, may only be considered in a single category.
- The Committee (or sub-committee) will meet with each candidate after reviewing the WPAF but before writing its report (FPPP 10.2.6).
- All faculty must undergo SET as stipulated by the CBA. Faculty may request to have SET's more often as is their right under the FPPP. RTP candidates should be aware that more frequent 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 California State University, Chico will not be considered during the evaluation process, except for an RTP candidate who has been granted service credit (FPPP 10.1.11).
- 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 9.1.2). In the review of temporary faculty the department will consider their teaching responsibilities (FPPP 5.2.5 and CBA 20), professional activity (FPPP 12.1.2.d) and service to the department in light of the extent of their appointment.

III. CRITERIA 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, Service that contributes to the Strategic Plans and Goals of the Department/Unit, College, University, and to the Community) 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 Service that contributes to the Strategic Plans and Goals of the Department/Unit, College, University, and to the Community) all performance review reports conclude with a single-word summary evaluation, or *rating* (FPPP 10.3.3): 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.

	Instruction	Professional Growth and Achievement	Service
Tenure	E	E	A
	E	A	E
	S	A	A
Prom. To Assoc.	S	E	E
	E	S	E
	E	E	S
	S	S	A
	S	A	S
Prom. To Full	S	S	E
	S	E	S
	E	S	S

(S = superior, E = effective, A = adequate)

Note that the candidate may focus their 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 10.3.3).

Probationary, tenure-track faculty undergo a *retention* performance review every two years (typically these occur in the 2nd, 4th and 6th years) (FPPP 10.1.5). 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 10.4.3). The following table presents those ratings that are typically required for a positive recommendation for *retention* for a given review year.

	Instruction	Professional Growth and Achievement	Service
1 st & 2 nd year	E*	---	---
3rd year	E	A	---
	E	---	A
4 th & 5 th year	E	A	A

(* - 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 address in its reports whether the candidate's file meets the definition of exceptional record" (FPPP 10.5.5). Such "exceptional record" 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". To qualify the candidate must: (1) be rated Superior in all three categories of evaluation; *and* (2) demonstrate the likelihood that this high level of performance will continue; *and* (3) have worked a minimum of one academic year under the conditions similar to their department's typical full time assignment. (FPPP 10.5.3)

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 Personnel 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 Service that contributes to the Strategic Plans and Goals of the Department/Unit, College, University, and to the 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
- reports of class visits by committee members and others, e.g. chair and dean
- student evaluations of teaching
- reflection on SETs and classroom visits
- other evidence provided by the faculty member under review, such as pre/post test results or other relevant metrics.

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 significant accomplishments related to the area of instruction *and*
- one presentation, invited or contributed, at a professional conference

Effective rating:

- one significant accomplishment related to the area of instruction *and*
- one presentation, invited or contributed, at a professional conference

Adequate rating:

- one significant accomplishment related to the area of instruction *or*
- one presentation, invited or contributed, at a professional conference

Examples of significant accomplishments may include activities such as

- Teaching grants and awards
- Peer-reviewed publications
- Development of new courses
- Mentoring resulting in student publications and/or recognition
- Similar work of equivalent effort and impact

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 10.3.3), while a ranking of "Effective" is based on evidence that "demonstrates the candidate's substantial professionalism and competence" (FPPP 10.3.3). 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, Summer Research 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 at least one second area (2-4) 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 significant professional development accomplishments *and*
- one presentation at a professional conference

Effective rating:

- one significant professional development accomplishment *and*
- one presentation at a professional conference

Adequate rating:

- one significant professional development accomplishment *or*
- one presentation at a professional conference

Examples of significant accomplishments may include activities such as

- Grants and awards
- Peer-reviewed publications
- Mentoring resulting in student publications and/or recognition
- Similar work of equivalent effort and impact

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 10.3.3), while a ranking of "Effective" is based on evidence that "demonstrates the candidate's substantial significant scholarly achievement" (FPPP 10.3.3). 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.

- **Service that contributes to the Strategic Plans and Goals of the Department/Unit, College, University, and to the 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:

Superior rating:

- Active service on 3 or more 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 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 2 or more terms on standing or ad hoc departmental, college or university committees

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 10.3.3), 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 10.3.3). 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 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.

IV. CRITERIA AND STANDARDS FOR RANGE ELEVATION

Since lecturer and tenured/tenure track faculty are colleagues, the criteria for RE should resemble those for tenure and promotion. It is equally true that the RE criteria must reflect the clear *differences* in work assignments for lecturer and tenure/tenure track faculty.

The Department of Physics appoints lecturer faculty predominately for purposes of classroom instruction, therefore the criteria for RE in the Instructional area of review must be distinctively higher than in the areas of either Professional Development or Service. The fact that lecturer faculty are prohibited from serving on a number of committees of central importance to the department and college further restricts the importance of this area of evaluation.

Range elevation criteria must also be consistent with the appointment standards for lecturer ranges. Since the *normal* appointment is tenure track and NOT lecturer (FPPP 6.2.a.2), and since the B, C and D Range appointment standards bear an increasing similarity to tenure/tenure track positions, such range elevations should range from unusual (elevation to B) to extremely unusual (D). It is the judgment of the Department of Physics that such appointments, and therefore the range elevations to those same appointment levels, strongly indicate the need for a tenure track hire.

Successful candidates for any RE must possess an instructional record that clearly demonstrates primary responsibility for the course content and structure in a predominance of their instructional workload.

Typical minima in each area of review are as defined in section III. As with that section, quantified minima are a *typical* set of achievements that a candidate *could* pursue, and other achievements of equivalent value may stand in place of these minima. In each area of review (Instruction, Professional Growth and Achievement, and Service that contributes to the Strategic Plans and Goals of the Department/Unit, College, University, and to the Community) all reports shall conclude with a single-word summary evaluation, or *rating*, 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 RE 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 RE.

Range Elevation	Instruction	Professional Growth and Achievement	Service
A to B	S	A	A
B to C	S	E	A
C to D	S	S	A

(S = superior, E = effective, A = adequate)

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. All FPPP references refer to the 2019/2020 FPPP. Should the FPPP be updated, refer to the appropriate updated sections.