

# Criteria and Standards for Retention, Tenure, and Promotion

Humboldt State University

Department of Environmental Resources Engineering

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## Introduction

This document provides the criteria for faculty in the Environmental Resources Engineering (ERE) Department for retention of Assistant Professors, granting tenure and promotion to the rank of Associate Professor, and promotion to the rank of Professor. The criteria include accomplishments in each of the three categories: **teaching, scholarship, and service**, with indications of performance at the level of “excellent,” “good,” and “minimum essential.”

## RTP Expectations

The outcome for promotion (acceptable/unacceptable) is determined by the table in Section IX.2.c of [Appendix J](#), unless the candidate was hired under special circumstances or has had an atypical teaching load, as discussed below in the Exceptional Circumstances section.

The Department expects that successful candidates for **retention** will demonstrate levels of accomplishment and professional development commensurate with progress towards achieving tenure.

The Department expects that successful candidates for **tenure** and promotion to Associate Professor will demonstrate excellence in teaching, and either excellence in one of the other categories (scholarship or service) or “good” performance in both of the other categories.

Full Professor is extended only to those faculty who are recognized by colleagues in their field and the University of achieving the highest level of respect. The Department expects that successful candidates for **promotion** to Professor continue to demonstrate all the qualities required for tenure, and additionally demonstrate leadership in at least one of the three categories of teaching, scholarship, and service. Examples of leadership activities for each category are provided below.

## Evaluation of Performance

It is important that the retention, tenure, and/or promotion (RTP) candidate articulate clearly how their contributions meet departmental expectations for teaching, scholarship, and service in the personnel data sheet (PDS) that is included in their Working Personnel Action File (WPAF). The Initiating Unit Personnel Committee (IUPC) must evaluate the candidate based on these criteria and clearly document their evaluation in their review letter. Following review, the recommendation for retention, promotion and/or tenure is submitted to the College Personnel Committee (CPC) by the IUPC. The department chair may also submit a recommendation to the Dean of the College.

## ERE Departmental Support

Each non-tenured ERE faculty member is assigned a faculty mentor upon arrival. Non-tenured ERE faculty are encouraged to work with their mentor and other ERE faculty to gain a good understanding of department expectations and culture. ERE Associate Professors are not assigned a mentor, but they should feel free to seek mentoring from any ERE faculty member.

Non-tenured ERE faculty should review this document with their mentor and the ERE Department chair so they may seek any necessary clarifications. While this document attempts to clarify department expectations, RTP candidates should seek clarification when necessary.

## ERE Departmental Accreditation Requirements

The ERE program is one of the largest, oldest, and most respected Accreditation Board for Engineering and Technology (ABET) accredited undergraduate environmental engineering programs. The ABET accreditation process includes a periodic (every six years) review of program educational goals and objectives, faculty expertise, curriculum, student quality, student outcomes assessment, facilities and institutional support. The accreditation process is rigorous and requires full participation by all faculty members in the department. ABET accreditation is crucial for our program as it meets one of the criteria ERE graduates need to apply for professional licensing.

# Teaching and Pedagogy

The requirements described in Appendix J Section *IX.B1.a* shall be followed in the evaluation of teaching effectiveness for faculty members being considered for retention, tenure and promotion. The description below relates to interpretation of those requirements for the ERE department.

## Assessment

Excellence in teaching effectiveness is **assessed primarily through collegial evaluation of classroom teaching, submitted as written statements, and analysis of student evaluations by peers.** Excellence in teaching effectiveness must be achieved for tenure and promotion to the rank of Associate Professor.

Collegial evaluations of classroom teaching must be supported by direct observations and submitted in writing for inclusion in the candidate's WPAF. Direct observations may include classroom visits, team teaching, guest lectures, etc. Multiple observations, conducted over time, are strongly encouraged. The candidate and the IUPC are responsible for encouraging and facilitating department colleagues to participate in the evaluation process.

The candidate and the IUPC are responsible for analyzing student evaluations. The evidence includes anonymous course evaluations, student letters, and a summary of student feedback from meetings facilitated by the department.

Ratings in the teaching effectiveness category reflect not only classroom performance, but also advising activities and pedagogical activities that improve the delivery of departmental or extra-departmental courses. Additional substantiation that may also be considered includes, but is not limited to:

- Evaluations of course materials (syllabi, exams, handouts, etc.) by faculty
- Evidence of student success (e.g., as documented in an ABET outcomes assessment process)
- Evidence of introducing new pedagogy effectively based on collegial evaluations
- Evidence of improvement to teaching approach based on student and/or collegial evaluations
- Evidence of participation in faculty development activities
- Evidence of effective student advising (e.g. results from an advising survey)

**Leadership in the area of teaching** is assessed based on evidence of significant contributions in one or more of the following indicator areas.

- Receiving or being nominated for a teaching award;
- Conducting workshops or seminars that are designed to enhance teaching within the department, university, or profession;
- Submitting a peer reviewed grant application that receives favorable reviews that directly supports the teaching mission of the university;
- Introducing or adopting new pedagogical approaches effectively, where effectiveness is measured by collegial evaluations based on classroom observations, responses on student evaluations, letters from students and graduates, and other relevant data;
- Preparing high-quality significant teaching materials such as students' solution manuals, lab activities, worksheets, handouts, software or class-related website that are transferrable to other courses or faculty, where significance is noted by peer evaluation and collegial letters;
- Developing new curriculum and/or assessment material, including embedded assessment that supports ABET accreditation processes;
- Directing multiple successful service learning courses and/or projects that provide a significant learning experience for the students, a valuable service for the client and enhance the quality of our program.

The significance of the respective contributions should be documented primarily through evaluative collegial letters. Other relevant evidence may also be presented as needed. In the case of service learning projects, leadership should be documented through letters from client organizations and evaluative letters from colleagues.

## Expected Level of Accomplishment

All candidates for **tenure and promotion** must earn an “excellent” rating in the area of Teaching, as described in Appendix J.

### **Promotion to the Rank of Full Professor**

For promotion to full professor, the Department expects a faculty member to provide evidence of teaching practices that consistently maintain the standards required for Tenure. In addition, for promotion to full professor on the basis of leadership in the area of teaching, the faculty member will provide evidence of leadership in Teaching, where the whole of their contributions represents a substantive and sustained pattern of leadership as indicated in collegial letters.

## Scholarly and Creative Activities

For the granting of tenure and promotion, the Department expects a faculty

member to develop a research program that encourages and provides for student involvement.

Each faculty member is required to demonstrate contributions to knowledge in his or her area of specialization. At least some of the contributions should provide evidence of HSU graduate or HSU undergraduate student involvement. The timing of contributions should be made in a manner that indicates that scholarly efforts will be sustained throughout the candidate's career.

## Assessment

Candidates for RTP are assessed based on the quantity, quality, and impact of scholarly contributions.

It is expected that a faculty member will provide evidence of her or his efforts towards the dissemination of original research in peer-reviewed publications and/or evidence of efforts towards the submission of extramural research grant proposals. The ranking and assessment of scholarship quality and impact is assessed primarily through evaluative collegial letters assessing scholarship activities from people with direct knowledge of the work, including letters from colleagues outside the University where applicable.

Contributions made during any service credit years granted to a faculty member will have equal standing to HSU-based contributions.

For the purposes of evaluation, scholarly activities are described in two Categories below: Category 1 (research projects and contributions to knowledge), and Category 2: (applied and secondary activities). No relative importance or weighting is implied by the order within each category.

### Category 1: Contributions of Original Research and Creative Work

*Category 1 contributions are defined as peer-reviewed, significant, and high quality research projects and contributions to knowledge. Contributions that do not meet these qualifying criteria are considered to be Category 2.*

**Peer-Reviewed Publications:** Academic journal papers or similar peer-reviewed publications that represent original research contributions to knowledge in fields relevant to Environmental Resources Engineering. For this purpose, fields may include areas related to our program such as Environmental Science, International Development, Engineering Education, Environmental Policy, Energy Policy, or other Environmental Science and Policy issues. Peer-reviewed books, book chapters,

textbooks, review articles, technical reports, symposium or conference proceedings, and other similar materials that compile, organize and analyze material from the field will be considered in this category. For any co-authored publications, the specific role of the faculty member in generating the final product should be indicated. The greater the involvement of the faculty member, the more important the contribution. Additionally, publications that make an especially significant contribution to the field, such as a seminal article on a topic in a leading journal, may be given additional weight in the evaluation process. The value of exceptional contributions must be documented through evaluative letters from colleagues that have appropriate expertise to comment on the significance of the work.

**Extramural Research Grants and Contracts:** Funded extramural support for research (whether for instrumentation, personnel, student research stipends, educational opportunities, or operating expenses). Co-Principal Investigators should specifically indicate the contributions they made to the proposal and project. Exceptional size and longevity of funded grants may carry additional weight towards fulfilling the requirements for tenure and promotion.

**Completed Graduate Theses and Projects:** Master's theses and Projects for which the faculty member served as the thesis/project advisor or co-advisor. Unless the Master's Degree has already been awarded to the student in question, the completeness of theses/project must be documented (e.g., with letters of support from colleagues). Service on graduate committees as a secondary member shall be considered as a service activity but not as a scholarship activity.

## Category 2: Contributions of Secondary and Applied Work

*Category 2 includes a range of secondary and applied scholarly work that contributes to the culture of scholarship in ERE.*

**Funded Intramural Grants:** Seed grants for research, graduate student support, etc., awarded by on-campus or CSU-based selection committees.

**Unfunded Extramural Grant Proposals:** Unfunded extramural grant proposals in support of original research, when such proposals were submitted to established funding agencies for competitive evaluation by peers.

**Supporting Development of Funded Extramural Grant Proposals:** Grant proposals in which the candidate plays a supporting role but is not the Principal Investigator or Co-Principal Investigator.

**Technical Reports:** Non-peer-reviewed technical reports presented in completion of contracts that have a substantial scholarly value.

**Software and Instructional Materials:** Non-peer-reviewed 'courseware', tutorials, or software developed for innovative instruction or specialized research uses and disseminated. These contributions shall be evaluated based on evidence of value to the discipline.

**Other Non-Peer-Reviewed Publications:** Professional letters, professional book reviews, and other publications in the discipline that have been disseminated.

**Extramural Meeting Presentations:** Published or unpublished papers or posters presented at regional, national or international meetings, conferences, or symposia (including such meetings when they are held on campus).

**Academic Seminars:** e.g., Departmental seminars or other similar presentations at HSU or elsewhere.

**Other Unpublished Materials:** Manuscripts in preparation, grant proposals in preparation, student theses in progress, research data sets, and the like. Such unpublished contributions must be documented and evaluated (e.g., with letters of support from colleagues).

**Student Research Mentoring:** Mentoring or leading research projects that involve undergraduate or graduate students.

**Applied and Translational Scholarship Activities:** Creating and developing presentations, editorials, articles, and materials in other media that communicate outcomes of scholarship to the public or targeted populations.

**Other scholarly activities** that contribute to the field, where the candidate should propose and support the inclusion of these activities in their file. Where applicable, evaluative letters of support from colleagues should be included to document additional contributions.

## Expected Level of Accomplishment

Each member of the IUPC shall evaluate the Research and Other Scholarly or



Creative Activities of faculty being considered for **tenure and promotion** according to four categories of performance: Excellent, Good, Minimum Essential (based on Appendix J). The Department defines these categories as follows:

'Excellent':

- Number of distinct contributions from Category I: **five**, with at least two Peer-reviewed Publication included among those.
- Average annual contributions from Category 2 **one per year**, with no more than one year without a contribution.

'Good':

- Number of distinct contributions from Category I: **three**, with at least one Peer-reviewed Publication included among those.
- Average annual contributions from Category 2 **one per year**, with no more than one year without a contribution.

'Minimum Essential':

- Number of distinct contributions from Category I: **one**, that is either a peer reviewed publication or an extramural research grant or contract.
- Average annual contributions from Category 2 **one per year**, with no more than one year without a contribution.

For the purpose of placing faculty under consideration for tenure and promotion into these performance groupings, additional contributions in Category 1 can be used to take the place of requirements from Category 2. However, the reverse will not be true; additional contributions from Category 2 cannot be used to offset deficiencies in contributions from Category I.

### **Promotion to the Rank of Full Professor**

For promotion to full professor, the Department expects a faculty member to provide evidence of a research program that consistently maintains the standards required for Tenure. In addition, to be promoted on the basis of leadership in the area of scholarship, the faculty member will provide evidence of leadership in Scholarship and Creative Activities, such as contributions of research projects completed as the lead investigator, publication of work by mentored students, or chairing technical committees.

## **Service**

Department of Environmental Resources Engineering faculty members are expected to maintain a consistent pattern of ongoing service across their years eligible for review for retention, tenure and promotion. All faculty members are expected to

contribute to the effective operation of the department, college, and university and strive, in the broadest terms, to promote the discipline of Environmental Resources Engineering in society.

## Assessment

The ranking of service quality **is assessed primarily through evaluative collegial letters assessing service activities by people with direct knowledge of the work**, including letters from colleagues outside the University where applicable.

In the WPAF, an RTP candidate will list and describe all service activities and provide a brief statement regarding his or her contribution to each activity, including role(s) and time commitment. Evidence of faculty contributions must be supported by evaluative written letters from colleagues inside and outside of the university, students, community members, and discipline-related professionals. In assessments of performance, both the quality and quantity of service will be evaluated.

Certain responsibilities are regarded by the department as necessary service by tenure-line faculty members and therefore listed as “Essential Service”.

Examples of additional activities beyond the minimum essential level of service typically considered as evidence of an ongoing commitment to service have been grouped into:

- Category 1: Service to the University
- Category 2: Service to the Public and Profession

Appendix J, Section IX.B.5 provides that the candidate may submit an activity for evaluation that is not included in the core definition of service as put forth in Appendix J, Section IX.B.3. A candidate may make the case in their WPAF that an activity not listed in Categories 1 and 2 should count as a contribution to service for purposes of evaluation. The candidate’s IUPC will determine whether the activity should be evaluated as part of the candidate’s service and in which category of activity it will be placed.

Additional activities in either category cannot be used to offset deficiencies in the other category. However, in a case in which the candidate has been called upon to perform disproportionate service in one category, such as the ongoing mentoring of students or service on departmental committees, the candidate can make a case in the WPAF for exceptional consideration of weighting of activities in Categories 1 and 2.

Leadership in service (required for promotion to full Professor) is exemplified by significant contributions in one or more of the indicator areas denoted with (\*) below or listed in separate leadership sections, where the whole of the contributions represents a substantive and sustained contribution.

## Essential Service

All ERE faculty are expected to:

- regularly attend department meetings including departmental retreats that occur the week before and the week after instruction every semester;
- work collaboratively and productively with colleagues;
- serve on an ABET assessment sub-committee and conduct activities such as collecting and evaluating assessment data, writing assessment reports and sharing reports with the rest of the ERE faculty;
- actively participate in the department RTP review process by conducting direct observations of peer teaching and submitting written letters to include in peers' WPAFs;
- participate in group advising by attending group advising sessions and providing advice to advisees;
- successfully serve at the college or university level for at least two years of the review period, (this may be a standing committee or equivalent), where success is documented by evidence such as a letter indicating that the candidate was a contributing member;
- serve as advisor for at least one university student club and/or a similar student organization or activity that serves the Department or serve as the coordinator for a graduate program option, for more than half of the review period.

The candidate can work with the IUPC to substitute an equivalent service activity for either of the last two bullet points. The substitution will be mutually agreed upon and documented in the appropriate RTP document (PDP or IUPC letter).

## Category 1: Service to the University

Activities to consider in the evaluation of University Service may include, but are not limited to, the following:

### Governance

- (\*) Fulfilling administrative responsibilities at the university, college or department level;
- (\*) Chairing standing committee at the department, college, or university level;
- Contributing to university, college, and department policy development and governance;

### Academic and Faculty Development

- (\*) Mentoring other faculty members;
- (\*) Leading departmental accreditation and assessment efforts;
- Participating in faculty and staff search committees;
- (\*) Organizing, directing and/or implementing faculty development activities;
- Participating in academic program development;
- (\*) Leading academic program development;

#### Student Support and Curriculum Development

- Participating in student organizations as an advisor or mentor beyond the essential service requirement;
- Contributing individually and/or collaboratively to the development and improvement of the HSU academic program;
- (\*) Developing outreach and recruiting activities and programs that enhance the university's ability to serve the needs of a diverse and non-traditional student body;
- Developing and maintaining services and programs that support the curriculum;
- Preparing outcomes assessment data and/or reports.
- Serving on graduate student thesis or project committees (note that serving as the chair of a committee is included under scholarship rather than service)
- (\*) Coordinating curriculum development across departments that have a demonstrably significant impact on the academic program.

#### University-wide Services

- Collaborating throughout the campus community on projects, workshops, presentations, and other campus activities;
- Contributing to department and other University website development and/or management;
- Participating in recruiting events on and off campus (e.g. HOP, Preview, presentations at high schools, etc.).

#### Other

- A portfolio of other service activities that, taken in sum, constitute an equivalent service contribution to the activities listed above. This portfolio should be suggested and supported by the candidate.

### Category 2: Service to the Public and Profession

Activities to consider in the evaluation of Service to the Public and Profession may include, but are not limited to, the following:

- (\*) Testifying before government regulatory, judicial, or legislative bodies;
- (\*) Offering training workshops and other forums for the dissemination of technologies or demonstration of novel

technologies;

- (\*) Organizing a conference in one's area of expertise;
- (\*) Holding an office in a regional, state or national professional organization;
- (\*) Chairing or leading a service activity in the community or for the profession;
- (\*) Directing service learning courses and/or projects;
- (\*) Organizing community outreach events (including K-12);
- Giving presentations on ERE related topics to the local community;
- Providing ERE related professional services directly to the community;
- Providing extension education;
- Writing for popular and non-academic publications, including newsletters and magazines directed to agencies, professionals, or other specialized audiences as well as articles or op-ed pieced directed to the general public;
- Writing peer reviews for scholarly publications and funding organizations;
- Participating in Partnerships with Other Organizations;
- Participating in collaborative endeavors with schools, industry, civic agencies, or other community organizations;
- Consulting with town, city, or county governments; schools, libraries, museums, parks, and other public institutions; groups; or individuals;
- Participating in professional organizations;
- Providing public policy analysis, program evaluation, technical briefings for local, state, national, or international governmental agencies;
- Serving on civic and governmental boards or committees;
- Contributing to university development through corporate grants, donations of equipment, and other entrepreneurial activities;
- Creating working relationships with business [and other community partners] for the purpose of generating revenue for the university;
- Providing support work for a grant that supports the teaching mission of the university;
- Participating in professional entrepreneurial activities.
- A portfolio of other service activities that, taken in sum, constitute an equivalent service contribution to the activities listed above. This portfolio should be suggested and supported by the candidate.

## Expected Level of Accomplishment

Consequential service is valued. Accounting for the quantity of contributions on committees and similar activities below is in terms of hours. Service must be sustained over a year at a minimum of the equivalent of 2 hours per week (64 hours per year).

Each member of the IUPC shall evaluate the Service Activities of faculty being

considered for tenure and promotion according to four categories of performance: Excellent, Good, and Minimum Essential (Appendix J). The Department defines these categories as follows:

'Excellent' - A consistent level of participation in all activities listed in "Essential Service" over the entire evaluation period (**64 hours per year**), and:

- Total activities from Category 1 and 2: **At least 160 hours over five years**
- Minimum activities in each of Category 1 and 2: **At least 64 hours in each**
- At least **30 hours** of Category 1 activity that serves the College or University
- Demonstrated consistency over the period of review

To achieve a classification of Excellent, the evaluative letters must indicate the service provided is **high impact, consequential, and represents a substantial level of effort and commitment** by the candidate. The hour requirements specified are necessary but not sufficient to meet the ranking of 'Excellent'.

'Good' - A consistent level of participation in all activities listed in "Essential Service" over the entire evaluation period, and:

- Total activities from Category 1 and 2: **at least 96 hours over five years**
- Minimum activities in each of Category 1 and 2: **at least 32 hours in each**
- Demonstrated consistency over the period of review

To achieve a classification of Good, the evaluative letters should indicate the service provided is **consequential and represents a reasonable level of effort and commitment** by the candidate that goes beyond the Essential service. The hour requirements specified are necessary but not sufficient to meet the ranking of 'Good'.

'Minimum Essential' - A consistent level of participation in all activities listed in "Essential Service" over the entire evaluation period. The number of hours to meet the essential service requirements is at least 64 hours per year.

### **Promotion to the Rank of Full Professor**

For promotion to full professor, the Department expects a faculty member to provide evidence of service activities that consistently maintain the standards required for Tenure. In addition, for promotion to full professor on the basis of leadership in the area of service, the faculty member will provide evidence of leadership in Service through a pattern of contributions like those denoted with (\*) in the Category 1 and Category 2 activity areas above.

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## Exceptional Circumstances

The Department acknowledges that exceptional situations related to circumstances of a professional appointment may arise in which the specific criteria and rankings delineated above for scholarship and service may not provide an appropriate rubric for the awarding of tenure and/or promotion to Associate Professor or Professor. *For example, such situations may arise when faculty are specifically hired to conduct activities in addition to instruction, such as program development, when they are assigned substantial administrative or research duties, or when they have a tenure track position that is partially supported by an outside entity.*

These exceptional circumstances will alter the time a candidate for RTP has available to engage in Teaching, Scholarship and Creative Activities, and Service. Accordingly, the specific requirements for scholarly or service activities may be modified on a case-by-case basis, in consultation with the CNRS Dean, so long as faculty have met the primary requirement of demonstrating excellence and effectiveness in their teaching assignments.

Any requested modifications of tenure criteria should be specifically itemized and presented to the IUPC by the faculty member at least two years prior to the submission of personnel files for the tenure decision. Where applicable, the specific requirements will be outlined in the offer letter before the person is hired and clarified in additional documentation throughout their tenure and promotion review process or timeline.