



DATE: May 7, 2019

TO: Steve Martin, Chair, Department of Environmental Science and Management

FROM: Committee on Faculty RTP Criteria and Standards

SUBJECT: Department/Unit RTP Criteria and Standards Review

The Committee on Faculty RTP Criteria and Standards thanks you for your submission of RTP Criteria and Standards for the Department of Environmental Science and Management. The Committee has completed its review of the document and approves the document for use.

A copy of your department's approved RTP Criteria and Standards shall be distributed to all probationary and tenured faculty members in your department. Each probationary faculty unit member will file a copy of the document in Section 3 of his/her Working Personnel Action File.

The Committee will forward your document to Academic Personnel Services where it will be maintained and made available on the web site.

Committee on Faculty RTP Criteria and Standards members: Lisa Bond-Maupin, Yvonne Everett (Chair), Gregg Gold, Benjamin Marschke, Whitney Ogle, Dale Oliver, Sondra Schwetman, Robert Zoellner.

CC: Laura Hahn
Academic Personnel Services

Joshua Meisel, Chair
University Faculty Personnel Committee

Criteria and Standards for Retention, Tenure and Promotion

Department of Environmental Science and Management

Introduction	2
RTP Expectations	2
Evaluation of Performance	3
ESM Departmental Support	3
Demonstration of Teaching Excellence	4
Evaluation	4
Expected Level of Accomplishment	6
Evidence of Leadership (Teaching)	7
Scholarly and Creative Activities	8
Evaluation	10
Evidence of Leadership (Scholarship)	11
Service	12
Essential Service	13
Evaluation	15
Evidence of Leadership (Service)	16
Exceptional Circumstances	16

Introduction

This document provides the criteria for faculty in the Environmental Science and Management (ESM) 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 (see next page), 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) and minimum essential in the other, or *good* performance in both of these categories.

Promotion to Professor is extended only to those faculty who are recognized by colleagues in their field and the University as achieving the highest level of accomplishment and 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.

With the understanding that all candidates must demonstrate **excellence** in teaching effectiveness, Appendix J, Section IX.2.c offers the table below to guide departments and candidates in determining whether a candidate's progress to date is acceptable or unacceptable for retention, tenure and promotion

Scholarship/Creative Activities	Service	Outcome
Good	Good	Acceptable
Excellent	Minimum Essential	Acceptable
Minimum Essential	Excellent	Acceptable
Good	Minimum Essential	Unacceptable
Minimum Essential	Good	Unacceptable

ESM Departmental Support

Each probationary ESM faculty member is assigned a faculty mentor upon arrival. Probationary faculty are encouraged to work with their mentor and other ESM faculty to gain a good understanding of department expectations and culture. Probationary faculty should review this document with their mentor and the ESM Department chair so they may seek any necessary clarifications. While this document attempts to clarify department expectations, RTP candidates should seek clarification when necessary.

Demonstration of Teaching Excellence

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 ESM department.

Evaluation

Excellence in teaching effectiveness is assessed primarily through collegial evaluation of classroom teaching, submitted as written statements, and analysis of student evaluations by peers. 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. 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. In addition, Department faculty may also evaluate course materials such as syllabi, exams, in-class activities, handouts, etc., as well as student evaluations of academic advising.

All faculty are expected to create inclusive learning environments and ensure that students are provided with an equitable opportunities for success. These contributions to equity and inclusion can take a variety of forms including but not limited to those listed below.

- Exposing students to a diverse ensemble of scholars
- Integrating diverse examples/voices into curriculum
- Developing/Implementing inclusive pedagogies
- Provide space for students to share their identities and common experiences
- Building inclusive community/cohorts
- Incorporate indigenous peoples and knowledge in curriculum where appropriate
- Incorporating opportunities that encourage students from diverse backgrounds to work collaboratively inside and outside the classroom
- Providing a variety of ways in which students can demonstrate mastery of course material

Essential

Essential performance in this category is based on evidence of a demonstrated commitment to teaching. Criteria include all of the following:

- Favorable collegial letters based on multiple observations of teaching.
- Consistently high student evaluation scores for courses. In student evaluations, average student responses should be at least 4.0 or higher out of 5 once an instructor is experienced with a particular course/pedagogy, for example has taught the course at least once with a given pedagogy. Lower scores should be addressed in the Personnel Data Sheet (PDS).
- Evidence of accessibility to students, including weekly office hours.
- Cooperating in departmental efforts to assess and improve courses with which the faculty member has been involved.
- Cooperating in departmental efforts to assess major programs with which the faculty member has been involved.
- Clearly communicating course objectives, policies and grading criteria made easily accessible to students in the course syllabus and, where appropriate, in other places such as the online course management system.
- Appropriate preparation for class meetings as indicated by peer and student evaluations.
- Appropriate coverage of required course content as indicated by peer evaluations.
- A consistent pattern of excellence in academic advising as supported by both observations of the Department Chair and favorable anonymous student evaluations of advising administered by the department.
- Creating a welcoming and inclusive learning environment where students from diverse backgrounds and cultures are treated equitably, and all students have equal opportunity to succeed.
- Understanding and working toward equity-minded teaching practices.

Indicators of Excellence

Indicators of excellence in this category include the following:

- Multiple favorable letters from current or former students.
- Receiving a notable teaching award.
- Assuming difficult teaching assignments and achieving positive results. The challenge to the instructor, for example, may arise from the subject matter itself, the instructor's lack of familiarity with the subject matter, the audience involved, the size of the class, or the number of different preparations.

- Maintaining/updating a course through substantial related readings, scholarship, and/or travel, as documented in the PDS or collegial letters.
- Participating in departmental efforts to assess, standardize, improve, and monitor the delivery of courses with which the faculty member has been involved.
- Preparing high-quality teaching materials such as students' solution manuals, worksheets, handouts or class-related website as documented in the PDS or collegial letters.
- Successfully expanding teaching approaches by introducing projects that go beyond the typical homework assignment, attending meetings or seminars to enhance or expand teaching styles, successfully implementing those teaching styles in the classroom.
- Conference attendance on pedagogical issues.
- Directing successful independent or directed study courses, as indicated by collegial letters, student products (e.g., presentations, posters, papers), or student letters.
- Facilitating undergraduate research as indicated by collegial letters, student products (e.g., presentations, posters, papers), or student letters.
- Mentoring peers in teaching, as evidenced by collegial letters.
- Coordinating instructors of courses, for example overseeing the curriculum for several sections of the same course. Documentation for this could include explanation of this in the PDS or collegial letters.

Level of Accomplishment for Tenure and Promotion to Associate Professor

All candidates for tenure and promotion must earn an "Excellent" rating in the area of teaching effectiveness. To do so, the faculty member should meet all conditions listed under "Essential" and have achieved three or more of the items on the "Indicators of Excellence" list. The accumulation will not reflect a one-time achievement but, rather, demonstrate a pattern of success over time.

Level of Accomplishment for Promotion to Professor

All candidates for promotion to Professor must earn an "Excellent" rating in the area of teaching effectiveness. To do so, the faculty member should meet all conditions listed under "Essential" and have achieved four or more of the items on the "Indicators of Excellence" list. The accumulation will not reflect a one-time achievement but, rather, a set of noteworthy successes over the review period.

As described in the introduction of this document, candidates for promotion to Professor must also demonstrate leadership in at least one of the three categories of teaching, scholarly/creative activities, and service. For promotion to 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.

Evidence of Leadership (Teaching)

- 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;
- Successfully developing and offering new courses responsive to disciplinary needs, as documented in the PDS or collegial letters.
- Directing successful independent or directed study courses, as indicated by collegial letters, student products (e.g., presentations, posters, papers), or student letters.
- Facilitating undergraduate research as indicated by collegial letters, student products (e.g., presentations, posters, papers), or student letters.
- Mentoring peers in teaching, as evidenced by collegial letters.
- Coordinating instructors of courses, for example overseeing the curriculum for several sections of the same course. Documentation for this could include explanation of this in the PDS or collegial letters.

Research and Other Scholarly or Creative Activities

For the granting of tenure, the Department expects the faculty member to provide evidence of a research program that encourages and provides for HSU 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 from HSU-based activities should provide evidence of graduate or undergraduate student involvement. Contributions made during any service credit years granted to a faculty member will have equal standing to HSU-based contributions, but evidence of scholarly activity while in residence at HSU must be presented.

These and other contributions shall be in accordance with areas specifically indicated below. They are organized in two categories. No relative importance or weighting is implied by the order within each category.

Faculty may also make contributions toward equity and inclusion through their scholarly/creative activities. These contributions to equity and inclusion can take a variety of forms including but not limited to those listed below.

- Utilizing community-based methods
- Recognizing diverse ways of knowing
- Using critical theories and methodologies
- Emphasizing research *with* rather than *on* communities
- Giving presentations to marginalized communities
- Providing opportunities for minoritized students, e.g. research, internship or student assistant opportunities
- Developing curricula to close equity gaps

Category 1

Peer-Reviewed Publications: Academic journal papers or similar publications that represent original research contributions to knowledge. Peer-reviewed books, book chapters, textbooks, review articles, symposium proceedings and the like that primarily compile, organize and analyze material from the field. 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.

Funded Extramural Research Grants: Extramural grants in support of original research. *Co-PIs should specifically indicate the contributions they made to the proposal.*

Applied Research and Creative Processes: Ongoing activities that apply disciplinary expertise and yield significant substantive professional results—when subject to review by agency personnel or peer review.

Completed Graduate Theses: Includes only theses for which the faculty member served as the primary thesis advisor. The faculty member must demonstrate that advising the thesis went beyond normal teaching responsibilities and was integrated into the faculty member's research activity (e.g. the thesis was part of the faculty member's own larger

funded research project). Service on graduate committees as a secondary member shall be considered as a service activity but not as a scholarship activity.

Category 2

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

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

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

Amicus briefs: legal documents filed in appellate court cases by non-litigants with a strong interest in the subject matter. The briefs advise the court of relevant, additional information or arguments that the court might wish to consider. For a co-authored brief, 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.

Software, Datasets, and Instructional Materials: Non-peer-reviewed 'courseware', tutorials, or software developed for innovative instruction or specialized research uses. Published datasets made available to other researchers or the public. 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, including non-peer-reviewed law review articles.

Meeting Presentations based on Professional Expertise: Published or unpublished abstracts from 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 at HSU or elsewhere.

Other Unpublished Materials: Manuscripts in preparation. *Such unpublished contributions must be documented and evaluated (e.g., with letters of support from colleagues).*

Evaluation

Each member of the IUPC shall evaluate the *Research and Other Scholarly or Creative Activities* of faculty being considered **for tenure and promotion to Associate Professor** according to the categories of performance: Excellent, Good and Minimum Essential. The Department defines these categories as follows:

Excellent

- Number of distinct contributions from Category 1: at least **five**, with at least two peer-reviewed publications included among those.
- Average annual contributions from Category 2 at least **one per year**, with no more than one year without a contribution.

Good

- Number of distinct contributions from Category 1: at least **three**, with at least one peer-reviewed publication included among those.
- Average annual contributions from Category 2 at least **one per year**, with no more than one year without a contribution.

Minimum Essential

- Number of distinct contributions from Category 1: at least **two**, with at least one peer-reviewed publication included among those.
- Average annual contributions from Category 2 at least **one per year**, with no more than one year without a contribution.

For the purpose of placing faculty under consideration for tenure and/or 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 1.

Promotion to the Rank of Professor

For promotion to Professor, the Department expects a faculty member to provide evidence of a research program that continues to maintain the standards required for tenure. In addition, to be promoted on the basis of leadership in the area of scholarship, the candidate will provide evidence of a substantive and sustained pattern of leadership in scholarship and creative activities, as described below, and as supported by collegial letters.

Evidence of Leadership (Scholarship)

- Mentoring peers in research, as evidenced by peer letters.
- Serving as the PI for a funded extramural research grant.
- Exceptional size (for example, \$100,000 or greater) of funded extramural research grants.
- Significant curricular program development, as evidenced by peer letters.
- Instructional materials deemed particularly significant based on strong evidence of dissemination and value to the discipline.
- Significant collaborative research project completed as the lead investigator.
- Publication of work by mentored students.
- Chairing technical committees.

Service to the University, Profession, Community

Documentation of service requires that faculty provide a description of their efforts on each activity and, where feasible, review letters from an appropriate person.

The Department considers service in the three categories (University, Profession, Community) to be of equal value, so long as the level of effort is equivalent. However, faculty are expected to provide some evidence of service to the Department and University. The following (see next page) is a list of possible activities, which may not be comprehensive and does not denote any order of importance within a category.

The rating 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, the RTP candidate will list and describe all service activities and provide a brief statement regarding his or her contribution to each activity, including roles 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 two categories (1 and 2).

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 one category cannot be used to offset a deficiency 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.

Faculty may also make contributions toward equity and inclusion through the service aspects of their duties. These contributions to equity and inclusion can take a variety of forms including but not limited to those listed below.

- Giving presentations at the Campus & Community Dialogue on Race (CDOR)
- Serving as the equity advocate on search committees
- Serving on committees and programs to close opportunity and equity gaps
- Leadership in professional organizations whose goal is to increase the representation of minoritized students or faculty in their discipline/profession
- Serve on working groups in order to improve community engagement (e.g. Equity Arcata, etc.)

Essential Service

All ESM faculty are expected to:

- regularly attend department meetings including departmental retreats that occur the week before instruction every semester;
- work collaboratively and productively with colleagues;
- actively participate in the department RTP review process by conducting direct observations of peer teaching and submitting written letters to include in peers' WPAFs;
- actively participate, as needed, in department assessment of student learning outcomes;
- successfully serve at the college or university level for at least one year 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 a university student club and/or a similar student organization or activity, ideally one that serves the Department. If this opportunity is not available, the candidate may substitute an additional service activity from either Category 1 or 2.

Category 1

Service on HSU Committees at the University, College and/or Departmental level, including membership on standing or ad hoc committees and faculty search committees.

Service in an official capacity for professional societies or organizations, including activity as an officer, committee chair, committee member, or the like.

Service as an editor or member of an editorial board for a professional journal.

Service as a reviewer for grant applications submitted to professional granting agencies such as the National Science Foundation.

Service in professionally related community or government groups, including membership on local boards or other evidence of activity in community governance in areas of academic expertise.

Service on professionally related regional, state, or national boards, advisory groups, etc., including governmental and non-governmental entities

Service as a scientific consultant for public or private agencies.

Category 2

Service at meetings of professional organizations, including organizing or chairing meetings, symposia or contributed paper sessions.

Service as a reviewer for professional publications, especially peer-review of manuscripts of journal articles, books, textbooks, and the like.

Service in organizing or conducting University functions and activities.

Service as a reviewer for candidates for tenure or promotion at other universities.

Service on a HSU thesis committee where the candidate is not the committee chair.

Service on a thesis committee for a graduate student at another university.

Presentations of lectures or other instruction delivered to community groups or organizations based on professional expertise.

Service in organizing or conducting community functions and events related to one's professional expertise.

Service in community groups, including membership on local boards or other evidence of activity in community governance.

Mentoring activities sponsored by the University that are not directly related to instruction. Service as a faculty sponsor or advisor for on-campus student clubs or organizations.

Participation in mentoring, fund-raising, and charitable efforts in the community. Service in organizing or conducting community functions and events.

Evaluation

Self-evaluation of *Service to the Profession, University, or Community* should be provided by the faculty member in his or her PDS. Faculty should describe all service contributions along with an estimate of the effort devoted to each contribution (a detailed log of hours is not required). Effort of more than a few hours on a specific service activity should be documented with a letter of support from an appropriate person. For granting of tenure, faculty will be expected to show some evidence of service to the Department and the University.

Each member of the IUPC shall evaluate the Service activities of faculty being considered **for tenure and promotion to Associate Professor** according to the categories of performance: Excellent, Good and Minimum Essential. The Department defines these categories as follows:

Excellent

- Essential service AND
- at least two distinct contributions from Category 1, AND
- at least four distinct contributions from Category 2.

Good

- Essential service AND
- at least one distinct contributions from Category 1, AND
- at least three distinct contributions from Category 2.

Minimum Essential

- Essential service AND
- at least one distinct contribution from Category 1, AND
- at least two distinct contributions from Category 2.

Promotion to the Rank of Professor

For promotion to Professor, the Department expects a faculty member to provide evidence of their *Service to the Profession, University, or Community* that continues to maintain the standards required for Tenure. In addition, to be promoted on the basis of leadership in the area of Service, the candidate will provide evidence of leadership in Service activities as described below.

Evidence of Leadership (Service)

Service activities include leadership roles in either departmental or non-departmental activities that contribute directly to department goals. Activities that demonstrate leadership may include, but are not limited to:

- Coordinating role in development of the major or minor degree programs
- Coordinating role in development of other departmental activities, such as study abroad programs, internships, or other activities which contribute to department goals
- Chairing an active committee at the college or university level
- Chairing or leading a service activity in the community
- Chairing a committee or holding office in a regional, state, or national organization
- Coordinating curriculum developments across departments that have a demonstrably significant impact on HSU academic programs
- Organizing community-outreach events (including K-12) or services relevant to the discipline.

Exceptional Circumstances

The Department acknowledges that exceptional situations may arise in which the specific criteria and rankings delineated above for ancillary activities may not provide an appropriate rubric for the awarding of tenure. For example, such situations may arise when faculty are specifically hired to conduct activities in addition to instruction, such as program development.

Accordingly, the specific requirements for scholarly and 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 one year prior to the submission of personnel files for the tenure decision.



HUMBOLDT STATE UNIVERSITY

Department of Environmental Science & Management

Date: May 9, 2016

The undersigned tenure-track faculty of Environmental Science and Management do hereby approve the updated Retention, Tenure and Promotion Criteria and Standards (attached).

Steven R. Martin

Yvonne Everett

Alison O'Dowd

Laurie Richmond (currently on sabbatical)

Kevin Fingerman

James Graham

David Gwenzi

Kerry Byrne

Jennifer Marlow (has not yet arrived)