

**Criteria and Standards for Retention, Tenure and Promotion  
Cal Poly Humboldt  
Department of Biological Sciences  
December 4, 2023**

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The tenured and tenure-track members of the Department of Biological Sciences approved the following teaching, scholarly/creative, and service activities as applicable to the Retention, Tenure, and Promotion (RTP) process pursuant to Appendix J, Section IX.A.1.

**1. TEACHING EFFECTIVENESS**

**1. Retention, Tenure, and Promotion to the Rank of Associate Professor**

In the evaluation of the teaching effectiveness of faculty members with the rank of Assistant Professor in the RTP process

Appendix J

IX. Areas of Performance for RTP

B. Assessment of the Areas of Performance for RTP

1. Effectiveness

a) *Teaching effectiveness*

shall be followed.

Excellence in teaching, as determined primarily through written statements from colleagues and secondarily through student evaluations of teaching and other evidence, shall be required for tenure and promotion to the rank of Associate Professor. Collegial letters will document multiple observations over time and address the specific use of teaching strategies. In addition, teaching excellence requires the faculty member to describe their efforts to improve their teaching effectiveness in their PDS.

Although not all of these elements are expected in every course, some of the elements of teaching excellence are as follows:

- establishing significant teacher-student relationships;
- providing opportunities for one-on-one or small group mentoring; creating active-learning environments;
- establishing and maintaining achievable but high expectations of students;
- incorporating opportunities that encourage students from diverse backgrounds to work collaboratively inside and outside the classroom;
- exposing students to a diverse ensemble of scholars;
- providing feedback on writing and opportunities for revision; and
- participation in professional development activities focused on pedagogy.

In addition to these course-related elements, other activities may be used as evidence of excellence in teaching effectiveness. These should also be described in the faculty members PDS and they include:

- activities that support university-wide goals for increasing inclusivity, such as crafting curricula that integrate the voices and analyses of diverse groups of people in substantive ways;
- activities that support student success through holistic and coordinated advising, training, and evaluation;
- participation in professional development activities and/or use of resources on or off campus;
- development of teaching materials; and
- development and/or revising of curriculum outcomes and assessment methodologies.

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

In the evaluation of the teaching effectiveness of faculty members with the rank of Associate Professor in the promotion process

### Appendix J

#### IX. Areas of Performance for RTP

##### B. Assessment of the Areas of Performance for RTP

##### 1. Effectiveness

##### 1) *Teaching effectiveness*

shall be followed (with the exception that in subsection (a)(1), the phrase "throughout the probationary period" is eliminated as these faculty members are no longer in their probationary period).

A pattern of excellence in teaching, as determined primarily through written statements from colleagues and secondarily through student evaluations of teaching and other evidence, shall be required for promotion to the rank of Professor.

The elements of teaching excellence are the same as described for Retention, Tenure and Promotion to the Rank of Associate Professor, however they also include at least some of the following:

- teaching a variety of courses relevant to the discipline, program and area of the candidate's expertise (i.e., expanding their repertoire);
- mentoring other faculty;
- developing, having approved and implementing new courses, pedagogies, curriculum or programs of study;
- presenting in on-campus professional development meetings;
- sharing resources, strategies and/or materials with fellow faculty; and/or
- receiving a teaching award.

## 2. RESEARCH AND OTHER SCHOLARLY AND CREATIVE ACTIVITIES

### a. CONTRIBUTIONS ASSESSED

#### **Retention, Tenure, and Promotion to the Rank of Associate Professor**

For the granting of tenure, the Department expects a faculty member to provide evidence of 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. It is expected that a faculty member will provide evidence of his or her efforts towards the dissemination of original research in peer-reviewed publications and/or evidence of efforts towards the submission of extramural research grant proposals. Contributions made during any service credit years granted to a faculty member will have equal standing to HSU-based contributions. The timing of contributions is not critical, but evidence of scholarly activity 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.

#### **Category I Contributions:**

Peer-Reviewed Publications: Academic journal papers or similar publications that represent original research contributions to knowledge in biology or in biology education. 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.*

Extramural Research Grants: Funded extramural grants in support of original research (whether for instrumentation, personnel, student research stipends, educational opportunities, or operating expenses). Unfunded extramural grant proposals in support of original research, when such proposals were submitted to established funding agencies for competitive evaluation by peers. *Funded proposals shall be weighted more heavily than unfunded proposals. Co-Principle Investigators should specifically indicate the contributions they made to the proposal. Exceptional size and longevity of funded grants may carry additional weight towards fulfilling the requirements for tenure.*

Completed Graduate Theses: Master's theses on which the faculty member served as the thesis advisor or co-advisor. *Unless the Master's Degree has already been awarded to the student in question, the completeness of theses 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 II Contributions:**

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

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 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.

### Unfunded Intramural Grants Submitted

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).*

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

For promotion to full professor, the Department expects a faculty member to provide evidence of an ongoing pattern of on-campus research 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 from HSU-based activities should provide evidence of graduate or undergraduate student involvement. It is expected that a faculty member will provide evidence of his or her efforts towards the dissemination of original research in peer-reviewed publications, as well as evidence of efforts towards the submission of extramural research grant proposals. The timing of contributions is not critical, but evidence of on-campus scholarly activity must be presented.

## **2.b. EVALUATION OF LEVEL OF ACCOMPLISHMENT**

### **Retention, Tenure, and Promotion to the Rank of Associate Professor**

Each member of the IUPC shall evaluate the *Research and Other Scholarly or Creative Activities* of faculty being considered for tenure according to four categories of performance: Excellent, Good, Minimum Essential, and Unacceptable (new Appendix J). The Department defines these categories as follows:

'Excellent' - At least three distinct contributions are expected from Category I, where at least one is a peer-reviewed publication. An unfunded grant proposal may be used as one of the two contributions required from Category I, if the proposal was submitted to an established funding agency and was subjected to competitive evaluation by peers. Intramural funding should have been awarded if no extramural grant was awarded. An average of one contribution per year (including service credit years) from Category II is expected.

'Good' – At least two distinct contributions from Category I, where at least one is a peer-reviewed publication. An unfunded grant proposal may be used as the contribution required from Category I, if the proposal was submitted to an established funding agency and was subjected to competitive evaluation by peers. Intramural funding should have been sought if no extramural grant was awarded. An average of one contribution per year (including service credit years) from Category II is expected.

'Minimum Essential' - Approximately one contribution per year (including service credit years) from Category II, plus at least one peer-reviewed publication.

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

#### Exceptional Situations

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 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.

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

For promotion to Professor, the Department expects a faculty member to provide evidence of a research program that maintains the standards required for Tenure. In addition, the faculty member will provide evidence of leadership in Scholarship and Creative Activities, such as

contributions of proposals submitted as the lead investigator, publication of work by mentored students, or chairing technical committees. Professor is extended only to those faculty who are recognized by colleagues in their field and the University for achieving the highest level of respect. For this reason, expectations for scholarship for promotion to Professor exceed those of non-tenured faculty seeking tenure.

Each member of the IUPC shall evaluate the *Research and Other Scholarly or Creative Activities* of faculty being considered for promotion to full professor according to four categories of performance: Excellent, Good, Minimum Essential, and Unacceptable (from new Appendix J). The Department defines these categories as follows:

'Excellent' - At least four distinct contributions are expected from Category I, where at least one is a peer-reviewed publication. An unfunded grant proposal may be used as one of the four contributions required from Category I, if the proposal was submitted to an established funding agency and was subjected to competitive evaluation by peers. Intramural funding should have been awarded if no extramural grant was awarded. An average of one contribution per year (including service credit years) from Category II is expected.

'Good' - At least three distinct contributions from Category I, where at least one contribution is a peer-reviewed publication. An unfunded grant proposal may be used as a contribution required from Category I, if the proposal was submitted to an established funding agency and was subjected to competitive evaluation by peers. Intramural funding should have been sought if no extramural grant was awarded. An average of one contribution per year (including service credit years) from Category II is expected.

'Minimum Essential' - Approximately two contributions per year (including service credit years) from Category II, plus at least one peer-reviewed publication.

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

### Exceptional Situations

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 promotion to full professor. For example, such situations may arise when faculty are specifically tasked with conducting activities in addition to instruction, such as program development.

Accordingly, the specific requirements for scholarly 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 promotion 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 promotion decision.

## **3. SERVICE TO THE PROFESSION, UNIVERSITY OR COMMUNITY**

### **a. CONTRIBUTIONS ASSESSED**

#### **Retention, Tenure, and Promotion to the Rank of Associate Professor**

Faculty service activities are important, but the Department encourages faculty to emphasize *Research and Other Scholarly or Creative Activities* in the years prior to the granting of tenure. Evidence of modest, but high-quality, on-going service activity is expected of faculty under consideration for tenure. Documentation of service requires that faculty provide a measure of their efforts on each activity.

The Department considers service to the University, the Profession, and the Community to be of equal value. The following is a list of possible activities, which may not be comprehensive and does not denote any order of importance. The types of activities are organized into the categories of Essential, Breadth, and Leadership.

#### **I. Essential Service**

Tenure track faculty are also expected to carry out normal professional duties, such as regularly attending convocation, commencement, and department meetings; participate in search committees; conduct peer evaluations for colleagues; and write letters of reference for students and working collaboratively with colleagues.

#### **II. Service in a Broader Capacity**

Service on graduate student thesis committees at HSU or elsewhere.

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.

Presentations of lectures or other instruction delivered to community groups or organizations.

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

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

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

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

Service as a scientific consultant for public or private agencies.

Participation in mentoring, fund-raising, and charitable efforts in the community.

### **III. Service in a Leadership Capacity**

Service in governance, including membership on standing or ad hoc committees or offices involved in the governance.

Service in organizing or conducting University functions and activities.

Service in organizing conferences or related professional activities.

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

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

Chairing an active committee at the Department, College or University level.

Service in organizing or conducting community functions and events.

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

While the Department encourages faculty to emphasize *Research and Other Scholarly or Creative Activities* in the years prior to the granting of tenure, evidence of significant, high-quality, on-going service activity is expected of faculty under consideration for promotion to full professor. Documentation of service requires that faculty provide a measure of their efforts on each activity.

### **3. b. EVALUATION OF LEVEL OF ACCOMPLISHMENT**



### **Retention, Tenure, and Promotion to the Rank of Associate Professor**

Self-evaluation of service activities should be provided by the faculty member in his or her PDS. Faculty should describe all service contributions along with a measure of the effort devoted to each contribution. 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 or University.

The IUPC shall review the material submitted by faculty as evidence of service, and evaluate these contributions as 'Excellent', 'Good', 'Minimum Essential', or 'Unacceptable' (from new Appendix J). The Department defines these categories as follows:

'Excellent' - Requires regular participation in all the activities listed in 'Essential Service'. Regular participation is defined as a consistent pattern of participation where absence from the services are rare.

Requires either a) 4 activities described in, or similar to 'Service in a Broader Capacity', or b) at least 2 activities described in, or similar to 'Service in a Broader Capacity', and at least 1 activity described in, or similar to 'Service in a Leadership Capacity'.

'Good' - Requires regular participation in the activities listed in 'Essential Service' and at least 2 activities described in, or similar to 'Service in a Broader Capacity'.

'Minimum Essential' - Requires regular participation in the activities listed in 'Essential Service'.

#### **Exceptional Situations**

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 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.

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

For promotion to full professor, the Department expects a faculty member to provide evidence of service that maintains the standards required for Tenure and also provide evidence of Service in a Leadership Capacity taking advantage of professional expertise. Full Professor is extended only to those faculty who have demonstrated a strong record of participation and achievement in

service activities and that show promise of continued growth. For this reason expectations for scholarship for promotion to full professor exceed those of non-tenured faculty seeking tenure.

Self-evaluation of service activities should be provided by the faculty member in his or her PDS. Faculty should describe all service contributions along with a measure of the effort devoted to each contribution.

The IUPC shall review the material submitted by faculty as evidence of service, and evaluate these contributions as 'Excellent', 'Good', 'Minimum Essential', or 'Unacceptable' (from new Appendix J). The Department defines these categories as follows:

'Excellent' - Requires regular participation in the activities listed in 'Essential Service'. Regular participation is defined as a consistent pattern of participation where absence from the services are rare.

Requires

at least 3 activities described in, or similar to 'Service in a Broader Capacity', and at least 3 activities described in, or similar to 'Service in a Leadership Capacity'.

'Good' - Requires regular participation in the activities listed in 'Essential Service', at least 2 activities described in, or similar to 'Service in a Broader Capacity', and at least 2 activities described in, or similar to 'Service in a Leadership Capacity'.

'Minimum Essential' - Requires regular participation in the activities listed in 'Essential Service', at least 3 activities described in, or similar to 'Service in a Broader Capacity', and at least 1 activity described in, or similar to 'Service in a Leadership Capacity'.

#### Exceptional Situations

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 promotion to full professor. For example, such situations may arise when faculty are specifically tasked with conducting activities in addition to instruction, such as program development.

Accordingly, the specific requirements for 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 promotion 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 promotion decision.