

**DEPARTMENT OF FINANCE, REAL ESTATE & LAW
COLLEGE OF BUSINESS ADMINISTRATION**

**POLICY ON RETENTION, TENURE, AND PROMOTION
(EFFECTIVE FALL, 1998)**

I. RESPONSIBILITIES

A. The Candidate

1. The candidate has the sole and exclusive responsibility for collecting, organizing, and presenting evidence of her/his accomplishments to the reviewing committees and administrators. Candidates should make every effort to seek and obtain advice and guidance on the RTP process; discussions with department chairs and experienced colleagues are suggested, to help candidates understand the process and participate in it more effectively.
2. The candidate shall submit a resume of accomplishments in the areas listed under “Criteria and Evaluation” in this document, supplementary material documenting the accomplishments, and a specifically designated Narrative, with three separately designated sub-sections in the Narrative labeled “Teaching,” “Scholarly & Creative Activities,” and “Professional Service.” The sub-section on Teaching will include a Teaching Portfolio which shall have incorporated therein an Individual Development Plan and a Reflective Commentary as described in sections of the document below. The Narrative shall serve as a guide to reviewers in evaluating the candidate’s professional goals and values as they relate to the “essential” and “enhancing criteria” and demonstrate the candidate’s accomplishments to the mission of the College.
3. All supplemental materials submitted by the candidate in the RTP process shall be paginated and listed in a detailed table of contents.
4. Documentation of scholarly and creative activities shall include all works produced during the period of evaluation. The candidate shall submit supporting data and documentation relevant to the evaluation process.

5. The candidate shall inform the Department Chair at least fifteen days prior to the prospective commencement date of any anticipated consulting activities which she/he expects to include as meeting professional service obligations for RTP purposes in order that the Department Chair may advise the candidate whether the specific consulting activity will contribute toward the professional service obligation for RTP purposes.

B. The Department RTP Committee

1. The Committee is charged with the responsibility for evaluating the work of the candidates in all areas and makes its initial recommendation to the University regarding tenure and promotion. Committee members, therefore, have the responsibility of applying the criteria and standards of the department to the performance of respective candidates in the RTP process.
2. The Committee may request additional information and documentation from the candidate to assist in its evaluation.
3. The Committee may seek the advice of colleagues if members feel unqualified to evaluate the professional work of candidates. Such action must be taken in consultation with the candidate, consistent with the University Procedure for External Evaluators.
4. Because the evaluation of teaching effectiveness by professional peers is so significant in this process, it is important that the department committee develop and utilize systematic means for acquiring evidence of candidates' teaching accomplishments at the beginning of the department RTP process. For example, if in-class visitations are to be used by the committee to support peer evaluations, such visitations should be done consistently for all candidates in the department.

C. The Department Chair

The Chair shall be responsible for providing new faculty with copies of the Department, College, and University RTP policies; the relevant RTP sections of the current Collective Bargaining Agreement, and the University Standard RTP Evaluation format at the time of initial employment.

II. CRITERIA AND EVALUATION

- A. Criteria: The criteria for evaluation for each of the three areas of professional review (Instruction and Instructionally-Related Activities, Scholarly & Creative Activities, and Professional Service) are divided into two distinct categories: Essential Criteria and Enhancing Criteria. Essential Criteria describe the nature and level of performance required of all faculty in the University. Enhancing Criteria establish standards by which faculty, following diverse career paths, are evaluated beyond the Essential Criteria. Colleagues in the department and on review committees play the central role in evaluating the quality of performance in each of these areas.
1. Instruction and Instructionally-Related Activities: Instruction and Instructionally-Related Activities include teaching in the classroom setting, advising, supervision of student research and fieldwork, the development of curriculum, and related activities.
 - a. Essential Criteria: Teaching will be evaluated in terms of five dimensions: (1) Pedagogical Approach and Methods, (2) Peer Evaluation, (3) Student Response, (4) Ongoing Professional Development as a Teacher, and (5) Ongoing Professional Development in the Discipline.
 - (1) Pedagogical Approach and Method: Instructional methods should be appropriate to courses taught, and materials should be relevant and appropriate to the topic. Reason for choices, learning goals and instructional methods should be presented. Grading practices, standards, and criteria should be articulated clearly. Results of grading practices should be reasonably consistent with university and college norms. Course materials should clearly convey the learning goals of the course and the relationship of the course to the major and/or to general education. Course requirements, including the semester schedule, assignments, and grading policies should be included. Course materials should also identify the purposes for which a course may be meaningful to students, such as preparation for further courses, graduate school or employment, or the intrinsic interest of the material, development or civic responsibilities and/or individual personal growth.

- (a) Faculty employ a variety of teaching pedagogues in the Finance, Real Estate and Law (FREL) Department: large lectures, small lectures, discussion and presentation, teams and project groups, case studies, computer-based approaches and combination formats.

Criteria for evaluation shall include, but are not limited to, learning objectives to be achieved, specificity and clarity of how goal achievement will be measured, and the nature of the learning environment.

Faculty are encouraged to develop new approaches to teaching, where appropriate. Evaluation of new approaches to teaching or of team-taught courses shall recognize the experimental nature of the pedagogy and favorable consideration shall be given when the pedagogy is carefully planned and thoughtfully implemented.

- (2) Student Response to Instruction: Student ratings of instruction should be consistent with or above department and college averages. These ratings should reflect a favorable student perception of the instructor's conveyance of knowledge, effort, availability, organization, and attention to individual student needs.

- (a) In the Department, student evaluations of instructors shall initially be interpreted on a comparable course basis within the Department. For example: a section of a Department core course shall be compared with other sections of the same or comparable Department core courses; an elective course at the 400-level shall be compared with other 400-level electives in the same department; large lecture sections shall be compared with other large lecture sections; graduate courses shall be compared to other graduate courses of the same level (600 versus 500) and type (core versus elective). Following careful comparison at the appropriate level, general comparisons shall be made across type and

level.

- (3) Ongoing Professional Development as a Teacher: Continuous improvement in teaching effectiveness is expected of all candidates. This pattern of change should be described in a narrative and supported by exemplary materials. This record should include regular and ongoing interactions with colleagues regarding pedagogy, such as discussions of pedagogical issues, classroom visits and consultation on course development. The record should include involvement in programs of the CSULB Center for Faculty Development; participation in teaching development seminars or conferences sponsored by the department, college, University or professional organizations; giving or receiving of formal or informal pedagogical coaching and/or other activities which contribute to professional development of teaching effectiveness.
- (a) Candidates in the Department shall develop a written Individual Development Plan (IDP) which presents a plan for maintaining and improving their teaching effectiveness as part of their presentation of materials. Activities such as teaching development seminars and conferences, seminars offered by the Office of Faculty Development, and mentoring are deemed evidence of continuous effort to improve teaching effectiveness.
- (b) Candidates shall prepare and submit a Teaching Portfolio as part of their presentation of materials. The Teaching Portfolio shall include selected products of teaching and a reflective commentary on all products of teaching submitted in order to reveal the pedagogical thinking behind the various kinds of evidence included in the Portfolio. The Portfolio shall provide relevant evidence and examples which are explained in the reflective commentary.
- (4) Ongoing Professional Development in the Discipline: All candidates are expected to keep abreast of discipline developments through participation in discipline conferences,

reading of discipline-appropriate materials such as journals and books, interaction with practitioners in the field, electronic communications with colleagues and/or other activities.

- (a) All Department candidates shall include a narrative explaining, in a clear and direct manner, how the candidate's classroom scholarly and creative activities relate to the candidate's classroom instruction. The scholarly and creative activities need not be identical in subject or content to the courses taught by the candidate; however, they shall be related to each other. The narrative shall be more specific than a statement of philosophy.

- (b) Enhancing Criteria: There are many ways that faculty may go beyond the essential criteria for teaching effectiveness to enhance their achievement; the following are illustrative, not exhaustive, of the possibilities. Faculty may develop innovative approaches to teaching or exemplary ways of fostering student learning in the classroom. Faculty may also be involved outside the classroom in such areas as academic advising, field trips, student mentoring, collaborative research projects with students, thesis supervision, support of student organizations and/or recruitment and retention activities. New curriculum, instructional programs or materials may be developed, including electronic or multimedia software or new advising materials or programs. Conducting assessment of one's instructional effectiveness in order to improve instruction (e.g., varied classroom evaluation techniques) can be a particularly appropriate method of continuous improvement of instructional effectiveness. Offering teaching colloquia to department colleagues or pedagogical workshops at discipline meetings may demonstrate department or discipline leadership regarding instructional issues.

2. Scholarly and Creative Activities

- a. Essential Criteria: Faculty are expected to engage in ongoing programs of scholarship or creative activity that demonstrates intellectual and professional growth in the discipline over time. All faculty are expected to produce scholarly and/or creative achievements which contribute to the advancement, application, or pedagogy of the discipline (or interdisciplinary studies), which are disseminated to appropriate audiences, receiving favorable review from professional peers prior or subsequent to dissemination.
- (1) Evaluation of the candidate's scholarly and creative work shall be based on an examination of copies of all published papers and scholarly work produced during the period of evaluation; a Narrative submitted by the candidate describing the overall goals and progress of the scholarly research. The Narrative shall identify the specific extent of the candidate's participation in any/all jointly authored activities. Primary focus shall be on the quality of the contribution.
 - (2) The Department of Finance, Real Estate & Law requires candidates to engage in an ongoing program of scholarly and creative research in their disciplines. The results of this research activity shall be disseminated to the general academic and professional communities outside the University in the form of refereed, juried or peer-reviewed journals or proceedings of conferences, professional societies or associations.
 - (3) Candidates must have at least three refereed articles in five years [inclusive of service credit year(s)], which may include proof of an unconditional publication commitment. In addition, the department requires two conference presentations or proceedings every two years. Each scholarly work shall be evaluated independently for quality by the Department RTP Committee and the reputation and professional standing of the journal or society where the work is published will be considered as a strong factor in the determination of quality.

(4) Candidates must demonstrate clear and continuing evidence of research in the candidate's area of major responsibility.

b. Enhancing Criteria: Faculty may enhance their scholarly and creative achievement through basic scholarship or applied scholarship along with instructional development consistent with the mission of the College. Such activities and products may include, among other things, publication in refereed journals, research monographs, scholarly books, chapters in scholarly books, proceedings from scholarly meetings, papers presented at academic meetings, publicly available research working papers, papers presented at faculty research seminars, publication in public/trade journals or in-house journals, book reviews, papers presented at faculty workshops, textbooks, publication in pedagogical journals, written cases with instructional materials, instructional software, and publicly available materials describing the design and implementation of new courses. Faculty may also enhance their scholarly and creative achievements through electronically published documents, editorial assignments with recognized professional publications, including journals, newsletters, or electronic media. Other achievements which may be considered are appointments to selection panels or adjudication assignments calling for professional expertise.

(1) Evidence of Accomplishment: FREL encourages candidates to engage in selected scholarly and creative endeavors such as those activities listed in the above paragraph.

(2) A "substantial record" of accomplishment for "Essential Criteria" Activities will help to satisfy the Scholarly and Creative Activities requirement for the Department of Finance, Real Estate and Law (FREL).

(3) Level of Performance: The Department encourages candidates to focus their effort on enhancing Scholarly and Creative Activities performance. Selected high quality efforts will be preferred to a larger number of lesser-quality activities.

3. Professional Service: Professional Service may be contributed to the University, the community, and the discipline, but it must directly involve the academic expertise of the faculty member.
 - a. Essential Criteria: All faculty are expected to participate actively in the collegial processes of faculty governance, as well as in appropriate professional organizations and/or activities.
 - (1) FREL candidates shall include documentation of participation in collegial processes of faculty governance by including an appendix in faculty supplemental documents containing the first page of minutes of council and committee meetings in order that the frequency of meetings and the candidate's attendance can be assessed.
 - (2) FREL candidates should list and summarize their contributions to committee and council work, and to other processes of faculty governance, in addition to documenting their attendance and nominal participation.
 - (3) FREL requires official correspondence from professional societies and associations attesting to candidate's participation in the organization and/or leadership roles.
 - b. Enhancing Criteria: Faculty may enhance their service achievements with active involvement on committees at all levels of the CBA and the University, with emphasis upon the departmental and college levels for assistant and associate professors. Authorship of documents, reports and other materials pertinent to the University, college, or department missions or procedures may comprise a service contribution. Sponsoring student groups and participating in educational equity programs are also acceptable service contributions.

In addition to campus governance activities, faculty members may participate in community service to professional organizations and in professionally-related activities (e.g., local, state, national and/or international levels) through such discipline-oriented activities as committees, workshops, speeches, media interviews, articles, and/or editorials. Service to the community may also include consultantships to

public schools, local government, and community service organizations. Service contributions based on consultancies, whether paid or unpaid, shall be evaluated on the basis of their contributions to the mission of the University and particularly to the candidate's department or program. Meaningful service must be clearly related to the academic expertise of the faculty member.

B. Evaluation

1. General Principles

- (a) The quality of faculty performance is the most important element to consider in evaluating individual achievement. Both essential and enhancing criteria are evaluated in the context of the mission of the department and the college, and of the professional development of the individual faculty member.
- (b) In order to present their achievements in the most coherent intellectual and professional context, candidates are required to present a written narrative describing their work in each of the categories to be evaluated. the narrative is intended to serve as a guide to reviewers in understanding the faculty member's professional goals and values as they relate to the essential and enhancing criteria and the mission of the department, college and University. All supporting materials should be referenced and clearly explained.
- (c) The Department realizes that faculty develop skills and competencies over their careers. In each of the three review areas, candidates are urged to identify, within the materials submitted, examples which they believe represent their best efforts and to explain why these may be regarded as significant contributions. Reviewers shall give particular consideration to the quality of these best examples.
- (d) In evaluating the performance of faculty, the Department recognizes that each faculty member has different strengths; that successful candidates for retention, tenure, or promotion need not have achievements which are necessarily alike. Candidates who fulfill the requirements for advancement may enhance their achievements in very different areas depending upon their professional interests.

- (e) Computers and network technology provide alternative modes of professional activity and new media for dissemination. Such contributions must be evaluated even though the methods for evaluation are still evolving. The following guidelines are suggested: [1] appropriate methods of evaluation must be identified on a case-by-case basis; [2] external evaluators, used in compliance with university policy, may prove to be particularly effective for these assignments; [3] technology-related work may be considered to be either essential or enhancing, depending on its relation to the criteria in Section A; [4] the training effort involved in technology-related professional activity needs to be credited appropriately; and [5] categorization of such work as research or Instructionally-related activities may need to be done on an individualized basis. The candidate bears the primary responsibility for explaining the significance of activities that employ new technology. When possible and appropriate, the candidate should identify potential methods of evaluation. Faculty involved in technology-related work should consult frequently with mentors and other colleagues concerning the significance and direction of the work. Such discussions should be specific, involving the issues of training time, media of dissemination, potential methods of evaluation and the boundaries between research and Instructionally-related activities.

2. Instruction and Instructionally-Related Activities

- a. The focus in the evaluation of teaching should be upon the overall teaching performance of the candidate over time rather than her/his performance in a few classes or a brief period.
 - (1) Student evaluations shall not be the sole and exclusive basis upon which faculty teaching performance is evaluated. Significant weight shall be given to the factors identified in the section of this document on Essential Criteria: Pedagogical Approach and Method. The Teaching Portfolio, the section of the Narrative dedicated to the teaching area, shall be used by the Committee as one instrument for evaluating teaching skills. The Portfolio shall be examined for coherence around some

central organizing principle(s), goals and expectations. The Committee will look for an appropriate sampling of performance, as well as quantitative and qualitative evidence of performance from a variety of sources. Within the Portfolio, the candidate shall include a Reflective Commentary which reveals the pedagogical thinking of the candidate behind various kinds of evidence presented (e.g., syllabi, student projects, special assignments, examination methodology). Also, the Individual Development Plan will be examined by the Committee to determine the level of activity in which the candidate is involved to maintain and improve effectiveness as a teacher.

- (2) FREL requires candidates to be evaluated in each section of each course they teach each semester, using the University student evaluation system.
 - (3) FREL student evaluations of teaching performance shall be considered with respect to trend of performance over time as well as the average level of teaching performance per semester.
 - (4) Classroom visits and interviews with the candidate may be requested by the Department RTP Committee.
- b. Instructional activities that involve supervision of students, such as thesis or field work, should be appropriately evaluated as part of the teaching assignment.
 - c. If formal, scheduled student advising is part of the candidate's assigned workload, such advising shall be considered as part of teaching, and the file should include appropriate documentation, including the extent, nature and quality of such advising activity.
3. Scholarly and Creative Activities
- a. In the Department of FREL, appropriate scholarly and creative activity shall be based or focused in areas and disciplines related to courses taught. Appropriate activities may include development of new theory, improvement of business practices, curriculum development, innovations in teaching, innovative use of technology, practical applications and

research.

- b. Consistent with the emphasis on professional growth and development that underlies the evaluation process, the candidate's documentation of scholarly and creative activities and the evaluation review of that documentation should focus on the concept of progressive professional development. This consideration should be the central organizing element of the candidate's narrative.
- c. In the evaluation of publications, manuscripts, and other creative works, quality is the primary criterion.
 - (1) The quality of each scholarly and creative work shall be evaluated by the Department RTP Committee, in consultation with other department faculty, as required. Consulted faculty shall be in fields related to the candidate's fields and of a rank and/or tenure status equal to or higher than the candidate.
 - (2) As a general rule, competitive papers, articles subject to blind review, and invited papers are valued more than papers and articles reviewed in open or noncompetitive selection.
- d. Joint authorship or participation in scholarly and creative activities is normally valuable and creditable, but is often difficult to evaluate.
 - (1) FREL Department encourages collaboration in some scholarly and creative activities.
 - (2) Candidates shall identify the specific extent of their participation and contribution in jointly authored activities.
 - (3) When a candidate has produced little individual work in comparison with other RTP candidates in the department for the same rank or status, the Department RTP Committee may

elect to give less weight to jointly authored work. Such determinations are on a case-by-case basis.

- e. Consistent with the objective of obtaining the best and most comprehensive evaluation possible, the candidate's scholarly and creative achievements, external evaluations of the candidate's contributions to his or her academic field may be considered, based on applicable university guidelines.
 - (1) Unsolicited evaluations in the form of published reviews of the candidate's work (or unpublished, unsolicited evaluations if they are included in the file) may be considered. It is also appropriate to consider the quality of the journal or other context within which the work is published or otherwise disseminated to the scholarly and creative community, as well as citations to the candidate's work in other publications.
 - (a) FREL RTP Committee may request the candidate to provide names of outside references in the academic setting whom the Committee may contact if, in the Committee's judgment, such a reference may be helpful in its decision. The candidate shall be informed as to the names of each referee contacted. Any information received from a referee shall be in writing and shall become a part of the candidate's file.

4. Professional Service

- a. The emphasis in the evaluation of professional service shall be on: (1) the quality and significance of the activity, as measured by the degree to which the activity contributes to the mission of the University; (2) the extent and level of the candidate's involvement.
 - (1) Mere membership in an organization (one or more) is insufficient to establish quality of professional service. Contributions such as serving as an officer of the organization, as an editor or reviewer for professional publications, or as an active member of committees will be considered to determine the quality of professional service.

- (2) Assessment of the service to both the University and the community shall be based on the information described in the Narrative, as well as on supporting evidence which may include, but shall not be limited to, letters of invitation, memoranda acknowledging the quality of the contribution, printed programs, and other appropriate documentation.

- (3) The burden to demonstrate the value of the contributions to the University, College, and/or Department by a detailed description shall be on the Candidate in the Narrative of the nature and extent of involvement in the service activity, individual accomplishments, and any leadership role assumed. The exact length of time in which the candidate engaged in a particular activity should be set forth.

III. AMENDMENTS

- A. The faculty of the Department, voting by secret mail ballot (with pro and con arguments attached), may amend this document. Amendments may be proposed either by:
 - a.. Direct faculty action via petition from ten percent (10%) of the faculty to the Chair of the Department, or
 2. Action of the CBA Faculty Council

Proposed amendments shall be submitted to discussion at an open hearing for the Department faculty called within fifteen (15) instructional days following their receipt and shall be distributed in writing by the Chair of the CBA Faculty Council to the Department faculty at least five (5) instructional days before the open hearing. Amendments to this document shall become effective when they have received a favorable vote of a majority of the faculty voting in a secret mail ballot conducted by the Department Elections Committee within twenty (20) instructional days of the open hearing and shall have the concurrence of the CBA Faculty Council.

Revised: September 10, 1998