

**RETENTION, TENURE AND PROMOTION STANDARDS –
DEPARTMENT OF BIOLOGICAL SCIENCES**

**POLICY
FAC 754-19**

Implemented: 09 / 26 /2019

Definition: A policy for the elevation of tenure track faculty within the Department of Biology.

Authority: CSU/CFA Unit 3 Collective Bargaining Agreement

Scope: Tenure Track Faculty within the Department of Biology, College of Science and Mathematics.



Ellen J. Neufeldt, President

9-26-19
Approval Date



Kamel Haddad, Interim Provost & Vice President for Academic Affairs

8/27/19
Approval Date

Implemented: 09 / 26 /2019

**RETENTION, TENURE AND PROMOTION STANDARDS –
DEPARTMENT OF BIOLOGICAL SCIENCES**

**POLICY
FAC 754-19**

Implemented: 09 / 26 /2019

Table of Contents

- I. INTRODUCTION3
 - A. Preamble 3
 - B. Departmental Principles 3
- II. GENERAL STANDARDS FOR EACH LEVEL OF REVIEW4
 - A. Retention 4
 - B. Promotion to Associate 4
 - C. Promotion to Full 5
 - D. Tenure 6
 - E. Early Promotion or Tenure 6
 - F. Delays 7
 - G. Service Credit 7
- III. DEPARTMENTAL PRINCIPLES 7
 - A. Department of Biological Sciences General Values 7
 - B. Standards and Criteria for Teaching.....7
 - C. Standards and Criteria for Research.....8
 - D. Standards and Criteria for Service.....10

**RETENTION, TENURE AND PROMOTION STANDARDS –
DEPARTMENT OF BIOLOGICAL SCIENCES****POLICY
FAC 754-19****Implemented: 09 / 26 /2019**

I. INTRODUCTION**A. Preamble**

Faculty have the right to clearly articulated performance expectations at all levels and stages of the RTP process. The purpose of this document is to detail the general expectations for retention, tenure, and promotion (RTP) in the Department of Biological Sciences.

Department RTP standards and expectations educate others outside of the discipline, including deans, university committees, and the Provost, with respect to the practice and standards of a particular department, discipline, or field. This document was developed with the understanding that departments and colleges must respect the diversity and intellectual freedom of their faculty by avoiding standards that are too prescriptive. As such, this document is designed to emphasize and explain the unique nature of the Department and its context within the University and College RTP policies.

This document uses the same definitions, terms, and abbreviations as defined in the University RTP document. The provisions of this document are to be implemented in conformity with the CSU Collective Bargaining Agreement (CBA), the University RTP Policies and Procedures, and the College of Science and Mathematics (CSM) RTP Standards and Procedures documents.

B. Departmental Principles

The three performance areas that shall be evaluated are teaching, research and service. All standards, criteria, and expectations reflect the University and College Mission and Vision Statements and advance the goals embodied in those statements. As noted in the University and College RTP documents, the Department affirms the University-wide requirement of sustained high quality performance in all areas. The Department also encourages flexibility in the relative emphasis placed on each of the three performance areas over the period of review and recognizes this emphasis may change during an academic career.

Retention, tenure, and promotion decisions are made on the basis of the evaluation of individual performance. Ultimate responsibility for understanding, meeting, and effectively communicating how they have met the standards and expectations rests with the candidate. Candidates are strongly encouraged to avail themselves of available opportunities that provide guidance on the RTP review process and the development of the working personnel action files (WPAF), including workshops, personal advice and counsel by tenured Department faculty.

**RETENTION, TENURE AND PROMOTION STANDARDS –
DEPARTMENT OF BIOLOGICAL SCIENCES****POLICY
FAC 754-19****Implemented: 09 / 26 /2019**

The Department of Biological Sciences takes great care in the selection of faculty to serve on the PRC of each candidate. These faculty have expertise that allows them to evaluate teaching in the context of the courses in the discipline and the needs of the Department. The PRC will also be in a position to effectively evaluate the research of the faculty under review. Typically, research standards and expectations vary more widely between departments than those for teaching and service, so it is important to recognize the value of the PRC evaluation in this area.

The PRC evaluation will describe how the research methods, presentation/publication rate and quality, grantsmanship, involvement of students, etc. fits into the context of the discipline, and more specifically, the sub-discipline of the candidate. These faculty should also be viewed as authorities on the context and value of professional and departmental service.

II. GENERAL STANDARDS FOR EACH LEVEL OF REVIEW

- A. Retention:** It is expected that candidates for retention at the rank of Assistant Professor will show increasing or sustained effectiveness in each area of performance and demonstrate consistent progress toward meeting the tenure requirements in the areas of teaching, research/creative activity, and service.
- B. Promotion to Associate:** Promotion to the rank of Associate Professor requires an established record of effectiveness in teaching, research/creative achievements, and involvement in service activities that enhance the University and the profession.
1. Teaching: Candidates are expected to develop into high-quality, effective instructors, and should show clear progress since starting at CSUSM. Innovative teaching approaches and exploration of new methods are strongly encouraged at this level of review, and must be clearly documented in the narrative. Candidates are expected to serve departmental curricular needs in their teaching assignments, as developed in consultation with their colleagues and the Department chair. For example, candidates could provide evidence of successful instruction of majors core courses (lower or upper division) and upper division (or graduate) elective classes relevant to their area of expertise. There is no specific expectation that candidates will have taught courses at all levels (non-majors, undergraduate majors, graduate majors) prior to promotion to Associate Professor.
 2. Research:
 - a. At a minimum, candidates must publish two peer-reviewed articles reporting original research in high-quality scientific journals in order to be promoted to Associate Professor. At least one of these articles must include data collected primarily since joining the Department, and on which the candidate must be a senior author (i.e., first author or last author).

**RETENTION, TENURE AND PROMOTION STANDARDS –
DEPARTMENT OF BIOLOGICAL SCIENCES****POLICY
FAC 754-19****Implemented: 09 / 26 /2019**

- b. The candidate must also provide additional evidence (items) which clearly demonstrate an active, productive, and sustained research program at CSUSM.
 - c. The Department expects undergraduate and/or graduate student participation in research that is supervised by the candidate. Accordingly, narrative statements must explicitly describe how students are involved in research activities. Evidence of student inclusion in research includes, but is not limited to: student co-authorship on publications or research posters; oral or poster presentations by students at scientific conferences or research competitions or supervision of student research through independent study courses such as BIOL 489, 499, 697, and 698.
 - d. Preparation and submission of grants is also strongly encouraged, and documentation of these activities as evidence for research is appropriate for this level of review, but successful award of grants is not required.
3. Service: One fifth (approximately 8 hours per week) of CSUSM faculty's time base is dedicated to service, and the candidate should participate in service throughout their probationary period. The Department prefers to limit the service obligations of its new faculty, so that they have sufficient time to develop their teaching and research.
- C. Promotion to Full**: Promotion to the rank of full professor requires evidence of continued commitment to and effectiveness in teaching, service, and evidence of substantial achievement in research/creative activities.
1. Teaching: Faculty are expected to continue to provide high-quality and effective instruction. Innovation and experimentation in teaching is still encouraged. Their teaching assignments should be responsive to departmental needs, as developed in consultation with their colleagues and the Department chair. New course development is less likely to be needed, but willingness to develop and teach new courses in response to changing Department needs is expected.
 2. Research: The candidate's narrative should clearly document sustained progress in research achievement since promotion to the rank of associate professor.
 - a. At a minimum, candidates must publish two primary peer-reviewed articles in high-quality scientific journals in the time after promotion to associate professor. These articles must include work completed primarily since promotion to associate, and the candidate must be a senior author (i.e., first author or last author).
 - b. The candidate must also provide additional evidence (items) which clearly demonstrates an active and productive research program.

**RETENTION, TENURE AND PROMOTION STANDARDS –
DEPARTMENT OF BIOLOGICAL SCIENCES****POLICY
FAC 754-19**

Implemented: 09 / 26 /2019

- c. The candidate must also demonstrate sustained research activity, including, when applicable, the ability to support their research activities at CSUSM by means of whatever resources are needed. Evidence of this ability includes, but is not limited to, award of intramural and/or extramural grants, research contracts, or donations. The Department recognizes that not all candidates require external grants or financial sources to sustain their research activities, but the candidate must demonstrate sustained research productivity regardless of funding requirements.
 - d. The Department expects undergraduate and/or graduate student research supervision. Accordingly, narrative statements must explicitly describe how students are involved in research activities. Evidence of student inclusion in research includes, but is not limited to: student co-authorship on publications or research posters; oral or poster presentations by students at scientific conferences or research competitions; and supervision of student research through independent study courses such as BIOL 489, 499, 697, and 698.
3. **Service:** As senior faculty, candidates should have a demonstrated track record of significant service at multiple levels, with at least some service at the university level. Candidates for promotion to full professor should provide evidence of service leadership, for example by serving as chair of a college or university level committee (or equivalent) or by taking on a departmental leadership role (e.g., Biotechnology Program Coordinator, Graduate Program Coordinator, search committee chair, PRC chair, program review coordinator). Broad involvement in service at various levels and venues is expected (professional, community, department and university).
- D. Tenure:** For granting of tenure, the Department of Biological Sciences adheres to the standards stated in the relevant section of the College of Science and Mathematics RTP document.
- E. Early Promotion or Tenure:** The Department encourages candidates to request promotion when they have achieved and can demonstrate attainment of the goals necessary for promotion. At CSUSM early tenure is typically requested in Year Five for those without service credit, in Year Four for those with one year of service credit, or in Year Three for those with two years of service credit. Candidates for early promotion are expected to provide evidence of achievement in teaching, research and service equivalent to that required for successful promotion to that rank as if they were following the normal timeline of a faculty eligible for promotion.

**RETENTION, TENURE AND PROMOTION STANDARDS –
DEPARTMENT OF BIOLOGICAL SCIENCES****POLICY
FAC 754-19****Implemented:** 09 / 26 /2019

- F. Delays:** It is our expectation as a Department that all equipment, space, start-up funds, and facilities promised to an incoming faculty member will be provided to that faculty member as scheduled in their offer letter. If a candidate experiences a setback of this commitment (e.g., no promised lab provided; delayed start-up funds), the candidate should consult with the dean and Department to explore other options. In addition, the candidate may, but is not required to, request an extension for the tenure application.
- G. Service Credit:** The Department follows the University and CSM policies on evaluation of a candidate's teaching, research and service activities conducted during their pre-campus employment period for which they were awarded service credit. In addition, the Department encourages promotion and/or tenure candidates awarded service credit to specifically and explicitly explain, in their WPAF narratives and evidence, how their service credit period activities in teaching, research or service are relevant and applicable toward demonstration of their sustained excellence during their current evaluation period. Explicit description of how the service credit activities are equivalent to similar activities in teaching, research or service at CSUSM would greatly assist in their evaluation.

III. DEPARTMENTAL PRIORITIES AND VALUES**A. Department of Biological Sciences General Values**

Biology faculty value highly the teacher-scholar model by which we embrace active participation in both instruction and scholarship, and the integration of our scholarship in the classroom to create vibrant learning experiences for students. The Department puts a high priority on creating opportunities for student involvement in faculty research. Such activities greatly improve the educational experience and training of our students. We expect our faculty to have demonstrated student involvement in their scholarly activities.

B. Standards and Criteria for Teaching

The Department supports and follows the standards and criteria for teaching as written in the CSM RTP Standards and Procedures Policy. In addition:

1. The reflective statement in the WPAF should include a discussion of reviewer feedback from previous review cycles (PRC, Dean, Provost), and if relevant, evidence of attempting to address areas of concern.
2. The candidate's WPAF must include complete student evaluations of each course taught during the review period. As part of the PRC review, both the summary data analyses and written comments by students on course evaluations will be examined.

**RETENTION, TENURE AND PROMOTION STANDARDS –
DEPARTMENT OF BIOLOGICAL SCIENCES****POLICY
FAC 754-19****Implemented: 09 / 26 /2019**

The candidate is encouraged to discuss their relative scores and pertinent student comments in their reflective statement. When relevant, the candidate is encouraged to include evidence of efforts taken to address concerns and/or to modify the course to incorporate appropriate student suggestions for improvement.

3. Candidates are encouraged to consult the CSM RTP Standards document for information on additional evidence and measures of high-quality instruction.

C. Standards and Criteria for Research

The Department supports and follows the standards and criteria for research/creative activity as written in the CSM RTP Standards and Procedures Policy. The reflective statement of a candidate should include a discussion of the impact of their accomplishments in their field, and should address feed-back from previous review cycles (PRC, Dean, Provost). The Department understands the extraordinary effort required for high impact faculty mentorship of student research.

Accordingly, evidence items that indicate research productivity produced in collaboration with students are valued more by the Department than similar quality evidence items produced without student participation. For example, if the candidate produced two papers of equal quality and significance in the same journal (or 2 poster presentations at the same conference), one with and one without student mentee collaborators, the one with student participation should be weighted more than the one without. The rationale for this is to account for the additional faculty effort needed for mentorship of the student. Details on specific departmental standards related to research are provided below:

1. Research Publications:
 - a. At each level of promotion review, we expect a minimum of two peer-reviewed primary research articles published in high quality journals and a combination of other pieces of evidence supporting the sustained activity of the candidate during that review period. The Department recognizes that some research programs require extensive data for publication (e.g., ecosystem studies, genetic sequences) and that merely counting papers may overlook substantial contributions to the field. The candidate should explain in their WPAF narrative how their chosen journal venues constitute as 'high quality', because impact factor alone may not be an appropriate metric of quality.
 - b. The number and order of authors on papers in the biological sciences varies. For example, many fields have no single-author papers, or a lead biologist is frequently the last (senior) author of a multi-authored paper, especially when students are involved. Therefore, candidates should discuss their contributions as an author in their reflective statements.

**RETENTION, TENURE AND PROMOTION STANDARDS –
DEPARTMENT OF BIOLOGICAL SCIENCES****POLICY
FAC 754-19****Implemented: 09 / 26 /2019**

2. Research Presentations at Professional Conferences: The PRC may consider presentations of current research at professional conferences as evidence of a candidate's research activity. The candidate is encouraged to promote their student research mentees to present at professional conferences, and so is encouraged to include both candidate authored and mentee co-authored (with the candidate) presentations as evidence of research activity.
3. Grant Writing Activity: The Department encourages candidates to apply for funding of their research activities if needed for their research. Because grant proposals for external funding of research are often highly competitive and typically receive outside peer review, the Department considers external grant funding a strong evidence of a candidate's scholarly achievement and long term capacity to sustain their research at CSUSM. The Department recognizes that not all candidates require external grants to sustain their research activities and support their research mentorship of students, but the candidate must demonstrate evidence of successful sustainability of research programs at CSUSM (i.e., internal awards and small grants may be all that is required to maintain research sustainability, or no grants may be needed for some fields of study).
 - a. Preparation and submission of extramural grants is encouraged by the Department, but is not required. Specific expectations on grant writing vary by level of review (see section II). To facilitate PRC and Dean review, the candidate is encouraged to explicitly discuss in their WPAF the funding needs necessary for long term sustainability of their research programs at CSUSM, as well as their past, current and future planned grant writing activities.
 - b. Funded, unfunded and pending external grant proposals may be included as evidence of research productivity. To facilitate effective evaluation of unfunded proposals, the candidate is encouraged to include all available reviews on the proposal(s) as an evidence item(s). In addition, the WPAF should document the amount requested (or awarded, if different) and clarify their status by the time of WPAF submission (pending, awarded, not awarded). The definition of external grants is not limited to federal agencies such as NIH, NSF and the USDA, but also includes private industry, nonprofit organizations and other NGOs. Grants are distinct from contracts, but both are considered as competitive external research funding by the Department.
 - c. Internal grant funding (and awards) of research are also valued by the Department. Depending on the candidate's research program needs, internal awards and grants may be sufficient to sustainably support their research and student inclusion. The candidate should clarify in their narrative the amount awarded and what the funding was used for regarding their research.
 - d. Donations are also considered external funding. To facilitate PRC review, the candidate should explain in their narrative the nature of how they obtained the

**RETENTION, TENURE AND PROMOTION STANDARDS –
DEPARTMENT OF BIOLOGICAL SCIENCES****POLICY
FAC 754-19****Implemented: 09 / 26 /2019**

donation, the amount awarded and what it supports related to their research, in addition to whether it was competitive and can be renewed.

D. Standards and Criteria for Service

The Department supports and follows the standards and criteria for service as written in the CSM RTP Standards and Procedures Policy. Feed-back from previous review cycles (PRC, Dean, Provost) should be addressed in the reflective statement. The Department expects all tenure track faculty to participate in departmental business and activities and be responsive to Department needs. In addition, the PRC will consider, but is not limited to, the evidence described below to evaluate a candidate's contributions to the Department. Specific expectations by level of review are indicated in section II, above.

1. Service to the Department. Candidates are expected to contribute to the productive functioning of the Department and well-being of the Biological Sciences major including activities such as attending faculty meetings, advising students, lecturer observations, serving on departmental thesis committees and attending thesis defenses, serving on departmental faculty and staff hiring committees, supporting Department related clubs and activities (i.e., Pre Health Society, Pre Veterinary Society, Ecology Club, etc.), and supporting other departmental initiatives. Associate and full professors are expected to serve on PRC committees when appropriate and in accordance with CSM and University PRC policies.
2. Service to the College or University. The PRC considers activities such as administrative assignments, faculty governance, PRC work, faculty and staff hiring committee work, special advising assignments, organizing seminar series, program development, obtaining donations for the DBS, CSM or University (including, but not limited to, equipment and material donations), sponsorship of student organizations, or direction of non-instructional projects as evidence of a candidate's service to the University.
3. Service to the Community. The PRC considers activities in which candidates use their professional expertise to enhance the relations between the community at large (public) and the University or profession as evidence of a candidate's service to the community.
4. Service to the Profession. Candidates are expected to participate in professional organizations. Accordingly, the PRC considers activities such as election to offices in professional organizations, honors and recognition by professional societies, participation on journal or book editorial boards, organization of conferences or symposia, or selection as a referee for manuscripts and grants as evidence of a candidate's service to the profession. Alternatively, the candidate could use these professional scholarly activities as evidence of research activity in their WPAF.