



CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA
POLICY NO: 1328

PROCEDURES FOR REAPPOINTMENT, TENURE, AND
PROMOTION AND PERIODIC EVALUATION OF
PROBATIONARY FACULTY

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This policy is intended to be a guide for the conduct of all reappointment, tenure, and promotion (RTP) matters. Every effort has been made to ensure compliance with the current Unit 3 (Faculty) Collective Bargaining Agreement (CBA). However, this policy should not be considered as a substitute for those parts of the Agreement that affect RTP matters. Direct references to the 2014 - 2020 CBA are cited parenthetically by Agreement section (e.g., CBA 15.7). The term COLLEGE in this document means college, library, or Counseling and Psychological Services (CAPS).

The Faculty Evaluation policy of the University Manual provides the official university policy on performance evaluations. The Student Evaluation of Teaching policy of the University Manual provides official university policy on student evaluation of teaching and each department has a Department RTP Document that defines criteria and expectations for RTP actions and periodic evaluations. All official policy documents should be consistent with one another. In any case of inconsistency, the CBA takes first precedence, the University Manual second precedence, and the approved Department RTP Document third precedence.

1.0 GENERAL PRINCIPLES

1.1 The President (or designee) of the university makes final decisions in matters of reappointment, tenure, and promotion. Because the faculty's judgment is central to matters of educational policy, the President normally accepts faculty recommendations in these matters, except in rare instances and for compelling reasons. The President notifies RTP candidates of final decisions in writing and provides specific reasons for approval or denial of the candidate's requested RTP actions. These reasons shall be based solely on approved department RTP criteria. In order to provide the best advice on this matter to the President, the faculty will proceed with the instruments and by the steps outlined below.

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1.2 Reappointment, tenure, and promotion policy is one of the most delicate matters in a university community. A system must be provided within the restrictions of the imposed legal framework that will assure that excellence will be rewarded and that every competent and responsible faculty member will have some reasonable hope of advancement. The correct conduct of RTP procedures provides the assurance that every RTP candidate will be fairly evaluated and that the integrity of the evaluation process is maintained to the highest degree. The following procedures are designed to

achieve these goals by allowing the faculty the greatest possible participation in the process of recommendation for reappointment, tenure, and promotion. THE PRIMARY RESPONSIBILITY FOR THE ACHIEVEMENT OF THESE GOALS LIES WITH THE FACULTY MEMBER UNDER REVIEW OR EVALUATION.

1.3 The provisions of this policy apply only to probationary and tenured faculty unit employees as defined by the CBA (2.13) and to academic rank administrators holding teaching return rights who would otherwise be eligible for tenure or promotion.

1.4 Personnel recommendations or decisions relating to reappointment, tenure, or promotion shall be based on the Personnel Action File (PAF). (CBA 15.12c)

1.5 Prior to the beginning of the review process, faculty members subject to performance review or probationary faculty members undergoing periodic evaluation shall be responsible for the identification of supplementary materials that they wish to be considered for review, such as a teaching portfolio and publications, and for the submission of such materials as may be accessible to, the faculty member under review, as well as materials required by campus policy. (CBA 15.12a) An index of all supplementary materials shall be provided by the faculty under review in the RTP package or the periodic evaluation report. Letters received by the Department RTP Committee (“DRTPC”) from students, external reviewers, faculty, and administrators in response to the publicizing of the upcoming RTP action shall also be included, as well as the candidate’s responses to such letters. The contents of the RTP package shall be compiled and reviewed in electronic format beginning academic year 2019-2020.

Evaluating committees and administrators shall be responsible for identifying and providing materials relating to evaluation required by campus policy but not accessible to the faculty member under review. Any such materials shall be placed in the faculty member under review’s RTP package or periodic evaluation report. (CBA 15.12a) For faculty that are undergoing the RTP process, the RTP package is the working PAF for the purposes of RTP evaluation and consists of the Faculty Performance Review Form and accompanying materials. However, evaluating committees and administrators should consult the full PAF for additional relevant materials.

1.6 A specific deadline shall be established by campus policy at which time the RTP package or periodic evaluation is declared complete with respect to documentation of performance for the purpose of evaluation. For the RTP package, insertion or deletion of materials other than responses and/or rebuttals to official evaluations after the date of this declaration must have the approval of the University RTP Committee (“URTPC”) and shall be limited to items that became accessible after this declaration. Materials inserted in this fashion shall be returned to the initial evaluation committee for review, evaluation, and comment before consideration at subsequent levels of review. If, during the review process, the absence of required evaluation documents is discovered, the RTP package shall be returned to the level at which the requisite documentation should have been provided. Such materials shall be provided in a timely manner. (CBA15.12b) For periodic evaluations, material may be added or updated by the probationary faculty at the discretion of the DRTPC and/or the Dean/director.

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- 1.7 The faculty member under review shall provide an electronic signature before the submission of the RTP package or periodic evaluation report. The faculty member under review will acknowledge with an electronic signature all material that is added or revised by the faculty member under review or an evaluating body. The purpose of this provision is to ensure that the faculty member under review is completely aware of the content of the RTP package or the periodic evaluation report at all times.
- 1.8 All student evaluations for the period of review shall be included in the RTP package or the periodic evaluation report according to the current Unit 3 Collective Bargaining Agreement (CBA 15.15), and procedures determined by departments, and in accordance with policy on Student Evaluation of Teaching.
- 1.9 All peer evaluations for the period of review shall be included in the RTP package or the periodic evaluation report according to the guidelines in Section 3.3 below.
- 1.10 Deliberations on reappointment, tenure, and promotion shall be confidential. Discussion of materials for periodic evaluations shall also be confidential. Access to materials and recommendations pertaining to the faculty member under review shall be limited to the faculty member under review and all appropriate levels of review, such as DRTPC and URTPC members, the department chair (in the case where the chair makes a separate evaluation), appropriate administrators, appropriate support staff, and the President. In the event where the College RTP Committee (“CRTPC”) has been called to deliberate on an action, these materials and recommendations shall also be made available to the said committees.
- 1.11 A request for external review of materials submitted by a faculty unit employee may be initiated at any level of review by any party to the review. Such a request shall document (1) the special circumstances which necessitate an outside reviewer, and (2) the nature of the materials needing the evaluation of an external reviewer. The request must be approved by the President with the concurrence of the faculty unit employee. (CBA 15.12d)
- 1.12 At all levels of review before recommendations are forwarded to the next review level, the faculty member under review shall be given the recommendation, which shall state in writing the reasons for the recommendation. The faculty member under review shall have the right to respond or submit a rebuttal statement or response in writing no later than ten (10) calendar days following receipt of the recommendation. A copy of the response or rebuttal statement shall accompany the RTP package or periodic evaluation report and also be provided to any previous levels of review. The faculty member under review may request an opportunity to discuss the recommendation with the recommending group or individual, who shall honor such a request (see also 8.0). Such requests shall not require that University Calendar timelines be extended. (CBA 15.5)
- Each committee’s report and recommendation shall be approved by a simple majority of that committee. (CBA 15.45)

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1.13 In the case of a difference of opinion concerning the interpretation of this document ([Policy 1328](#)), the Executive Committee of the Academic Senate shall recommend an interpretation to the [Provost](#). Such recommendations shall relate to policy of a general nature and not to individual cases, which should be taken through the appeal procedure.

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In each case the question, the interpretation, and subsequent response of the [Provost](#) shall be written, distributed to all concerned, and kept on file in the Academic Senate and Academic Affairs offices.

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1.14 RTP Forms, as revised annually, shall be the official Faculty Performance Review Form (i.e., "RTP package" or Working Personnel Action File).

1.15 If any stage of the RTP [or periodic evaluation](#) process has not been completed within the specified period of time, the RTP package [or periodic evaluation report](#) shall be automatically transferred to the next level of review for evaluation [and/or](#) recommendation. In such cases, the [faculty member under review](#) shall be so notified. (CBA 15.47)

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In the unusual circumstance where an extension of a deadline is required due to circumstances beyond the individual's control (the individual may be the [faculty member under review](#), DRTPC chair, department chair, CRTPC chair, dean or URTPC chair) the individual shall appeal to the URTPC for an extension of the deadline. Following consultation with the Associate Vice President for Faculty Affairs, the URTPC chair shall respond to all parties. When the URTPC chair approves an extension, all parties shall be informed of the new deadline(s). Such an extension shall not result in the abrogation of the RTP candidate's rights as described in 1.12. [For periodic evaluations, deadline extensions may be granted at the discretion of the DRTPC and/or the Dean/director in consultation with the Provost.](#)

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1.16 Prior to the final decisions, candidates for promotion may withdraw without prejudice from consideration at any level of review. (CBA 14.7) This provision also applies to candidates for early tenure.

1.17 Eligibility for RTP Activities

A. The Collective Bargaining Agreement (15.2) restricts membership on RTP committees to tenured, full-time faculty members and, if requested by the majority vote of probationary and tenured faculty members of the department and approved by the President, faculty participating in the Faculty Early Retirement Program (FERP). The RTP committees shall not be solely comprised of faculty participating in the FERP. The CBA permits (15.2) consideration of information from other faculty, students, and academic administrators. In addition to service on RTP committees there are a number of activities (electing RTP committees, adopting criteria, etc.) in which a wide participation of faculty is desirable.

1. Those eligible for RTP committee membership shall be full-time tenured

faculty and, if requested by the majority vote of probationary and tenured faculty members of the department and approved by the President, faculty participating in FERP. This group is hereinafter called the "full-time tenured faculty and FERP faculty."

2. For participation in all other RTP activities those eligible shall be probationary and tenured faculty unit employees. This group is hereinafter called "the probationary and tenured faculty."
3. Under certain conditions, department chairs may make separate evaluations/recommendations. (CBA 15.21) (See Section 3.1)

B. Eligibility Constraints

1. No tenured faculty member may serve on more than one RTP committee level during any given RTP cycle. (CBA 15.42)
2. In promotion considerations, RTP committee members and the department chair must have a higher rank/classification than those being considered for promotion. Candidates being considered for promotion are ineligible for service on RTP committees dealing with tenure or promotion. (CBA 15.43)
3. Faculty on Professional Leave-with-Pay (sabbatical and difference-in-pay) may participate in RTP activities subject to other provisions in this policy and to the stipulations in the Acceptance of Paid Professional Leave form.
4. Individuals who know in advance that they will, during one semester or more, be unavailable or ineligible should not be nominees for CRTPCs or the URTPC.

1.18 Department and higher level peer review committee(s) may rank-order faculty unit employees recommended for promotion. The end result of a promotion ranking shall serve as a recommendation to the President. (CBA 15.44)

2.0 DEPARTMENT RTP CRITERIA AND PROCEDURES

2.1 Department RTP criteria must be consistent with [the following](#) university-wide RTP criteria: ~~they must recognize the primary importance of teaching and the maintenance of appropriate academic standards, must address accomplishments in the area of scholarly and creative activities, and must address accomplishments in the area of service to the university, the profession, and the community.~~

Department criteria also shall address the following: ~~consideration of performance in the area of student advising/mentoring, peer evaluation of teaching performance, provision for the evaluation of faculty serving in administrative positions or performing administrative duties, provision for evaluation of faculty serving in positions of academic governance, and consideration of the activities of faculty temporarily on leave from teaching duties (such as sabbatical leave, fellowships, overseas teaching and~~

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administrative assignment for the university, and visiting professor/scholar at another institution).

Department evaluation of teaching performance will include a review of student evaluations and peer evaluations. This evaluation will also include a comparison of the candidate's student evaluations with their peer evaluations.

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Explicit criteria must be elaborated for the following actions: reappointment, tenure, early tenure, promotion (by academic rank), and early promotion (by academic rank). Reappointment criteria should clearly address the necessity of progress toward satisfying the criteria for tenure; that is, they should establish a progressively more rigorous set of expectations during the probationary period. For all candidates who are not yet tenured, the DRTPC will evaluate the progress the candidate is making in satisfying the department's RTP criteria for tenure. Department procedures must clearly identify the composition of the DRTPC.

Adoption of the Department RTP Document, describing the criteria and procedures, shall be accomplished by a majority vote of the probationary and tenured faculty in that department. The department chair shall ensure that each faculty member has a copy of the approved Department RTP Document. RTP evaluations at all levels, including deans and other administrative levels, shall apply the approved department RTP criteria.

A. Modifications of the Department RTP Document shall be submitted simultaneously to the CRTPC and to the dean no later than March 1, preceding the academic year that the criteria will be in effect, for review, comment, and forwarding, with recommendations, to the President via the Provost. The CRTPC and the dean each will forward the document to the Provost within sixty days (May 1), the CRTPC forwarding its comments via the dean. The CRTPC and the dean shall provide a copy of their recommendations to the chair of the RTP document revision committee. At each step of the process an effort should be made to resolve conflicts before forwarding. Should a conflict remain unresolved, the document shall be submitted to the URTPC before forwarding to the President. The URTPC shall review the document and forward its recommendations to the President via the Provost. The URTPC shall provide a copy of its recommendations to the dean, CRTPC and the chair of the RTP document revision committee. The President shall provide a written statement of approval or disapproval with reasons within sixty days after receipt (July 1). Approved documents may be in effect for up to five years. The Department RTP Document will clearly state in a prominent way the academic years in which it is to be in effect.

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B. The review of department RTP criteria by the CRTPC and the dean may include a consideration of whether the proposed criteria are in the best interests of the department and of the college. No recommendation for changes in department RTP criteria by either the CRTPC or dean shall negate department RTP criteria that have been previously approved.

- C. The Department RTP Document will be reviewed at least once every five years by the department. The document may be reviewed more frequently on the request of the department or dean. If revisions are deemed necessary, they shall be presented to the department for ratification no later than March 1. Revisions to the Department RTP Document shall go through the same process as in Section 2.1.A., above, for review and approval.
- D. The department chair shall make available, no later than 14 days after the first day of fall semester instruction, to all RTP candidates and the DRTPC the Department RTP Document that the candidate is eligible to use. (Note that copies of these documents are available in the Faculty Affairs Office.) Once the evaluation process has begun, there shall be no changes in criteria and procedures used to evaluate the candidate during the evaluation process. Faculty members teaching online are subject to all the rights and conditions set out in the evaluative process and applicable campus evaluation policies. The collection and use of online course quantitative data for evaluation purposes shall only occur when required in campus evaluation policies and procedures. (CBA 15.3)
- 2.2 No department or college of the university can require a candidate to secure an additional degree to qualify for promotion to any rank when it is shown to the satisfaction of the URTPC and the Provost that the candidate holds the terminal degree in the discipline in which that candidate regularly teaches at the university.
- 2.3 The University may stipulate in original employment letters a requirement that faculty members so appointed must obtain a terminal degree in their discipline, a license, or certification, before tenure and/or promotion will be granted. Such requirements may be made in addition to department RTP criteria.
- 2.4 Recommendations for promotion to associate professor and to professor may be made on a contingency basis provided that the contingency does not conflict with department RTP criteria and that the contingency is met prior to the individual's anniversary date. If the contingency is not met, promotion eligibility will be deferred to the next evaluation cycle.
- 2.5 A probationary faculty unit employee shall not normally be promoted during probation. Probationary faculty unit employees shall not be promoted beyond the rank of Associate. A probationary faculty unit employee shall normally be considered for promotion at the same time they are, considered for tenure. (CBA 14.2)
- The promotion of a tenured faculty unit employee shall normally be effective the beginning of the sixth (6th) year after appointment to their, current academic rank/classification. In such cases, the performance review for promotion shall take place during the year preceding the effective date of the promotion. This provision shall not apply if the faculty unit employee requests in writing that they, not be considered. (CBA 14.3)

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2.6 A candidate may, upon application and with a positive recommendation from [the candidate's](#) department or equivalent unit, be considered for early tenure. A positive recommendation from the department or equivalent unit is not required for consideration for early promotion. Requests for early tenure and/or promotion must be initiated by the candidate and follow the regular RTP procedures.

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Requests for early actions shall not be considered unless the individual will have completed two years of full-time service in an academic rank position on this campus prior to the effective date of those actions.

Criteria for early actions shall place emphasis on teaching and shall require exceptional performance or extraordinary qualifications with regard to scholarly and creative activities, and service to the university and profession. DRTPC recommendations shall include material relating specifically to the approved department RTP criteria.

3.0 **DEPARTMENT RTP COMMITTEE**

3.1 Committee Structure and Function

- A. The department RTP committee (DRTPC) shall consist of full-time tenured and FERP faculty members elected by probationary and tenured faculty. (See Section 1.17) The membership size for a DRTPC shall be: three (3) to seven (7) for departments with ten (10) or fewer faculty eligible to serve, five (5) to nine (9) for departments with eleven (11) to seventeen (17) faculty eligible to serve, seven (7) to fifteen (15) for departments with eighteen (18) or more faculty eligible to serve. The DRTPC shall always have an odd number of members.
- B. The DRTPC chair shall be a full-time tenured faculty.
- C. The structure, size, and procedures of the DRTPC shall be determined by the probationary and tenured faculty in the department within limits stipulated in this document.
- D. Annual elections by secret ballot must be conducted by March 1 of the school year preceding the given RTP cycle, and election shall be by a majority vote of the probationary and tenured faculty members of the department. The DRTPC's term of service shall not end until all matters pertaining to the DRTPC's recommendations have been concluded.
- E. The structure shall include whether the department chair will be a member of the DRTPC or write a separate statement. Non-tenured department chairs, or chairs who are candidates for an RTP action, are not eligible to be members of the DRTPC or to write separate recommendations.

- F. The department chair shall notify the dean of the composition of the DRTPC, including election results, immediately after its election.
- G. In promotion considerations, RTP committee members must have a higher rank/classification than those being considered for promotion. Candidates being considered for promotion are not eligible for service on promotion or tenure considerations. (CBA 15.43) In the event that the chair of the DRTPC does not have a higher rank/classification than one or more candidates being considered for promotion, those members of the DRTPC who do have a higher rank/classification shall choose an eligible member to handle the duties of the chair for these candidates.
- H. A department may use one or more subcommittees for dealing with different RTP actions.
- I. If too few faculty members are available to properly constitute a DRTPC for all or some aspects of a DRTPC's work, faculty members from outside the department shall be elected to supplement the DRTPC. Election of members outside the department members shall fully comply with all provisions under 3.1.D. above.
- J. In the case of inability to serve or procedural difficulties, the CRTPC shall recommend, after consultation with the DRTPC involved, a course of action to the Provost.
- K. The DRTPC chair shall be responsible for ensuring that the provisions of the Department RTP Document, this policy and the policy on Student Evaluation of Teaching in the University Manual, and Articles 14 and 15 of the CBA are carried out within the prescribed deadlines established by the university for completion of review at the department level. The DRTPC chair may not delegate their responsibilities (except when compliance with 3.1.G. is necessary). In the event that the chair relinquishes the position of chair, the DRTPC must choose a new chair as soon as possible.

L. The DRTPC shall conduct Performance Reviews and Periodic Evaluations

3.2 Student Evaluation of Teaching

- A. Refer to the policy on Student Evaluation of Teaching in the University Manual for an explanation of the role and procedures for the use of students' evaluation of teaching in the RTP process.
- B. The following RTP and periodic evaluation procedures provide that RTP committees should consider information from

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students. ~~(Guidelines for student involvement in faculty personnel actions are stated in the policy on Student Evaluation of Teaching).~~

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1. The probationary and tenured members of the department shall develop specific procedures and forms for the DRTPC to receive signed evaluative material, commentary, and substantiating documentation.
2. The plan shall include methods for publicizing (on department bulletin boards and other relevant locations, newsletters, etc.) names of DRTPC members to whom material is to be submitted, submission procedures, and, during an RTP cycle, the names of candidates for reappointment, tenure, or promotion. If a DRTPC is divided into subcommittees, that information shall be available. A DRTPC calendar shall be established and published at an early date in each cycle.
3. Information may be submitted at any time during the academic year ~~with~~ respect to RTP and periodic evaluation cycles. This implies the on-going existence of the DRTPC in some form.
4. Solicitation of recommendations from students, if done in such a way, and at such a time, that students feel pressured or threatened, is considered unprofessional.

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3.3 Peer Evaluation of Teaching

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- A. Department RTP procedures shall provide for the evaluation of teaching performance by peers. Specific procedures and forms for peer evaluation of teaching shall be included in the Department RTP Document.
- B. Peer evaluation of teaching shall include classroom visits and a review of course syllabus and related material. The individual faculty unit employee being evaluated shall be provided a notice of at least five (5) working days that a class room visit, online observation, and/or review of online content, is to take place. There shall be consultation between the faculty member being evaluated and the individual who visits the faculty member's class(es) regarding the classes to be visited and the scheduling of such visits. (CBA 15.14) Classroom visits shall be followed within two weeks by a written report. The report must be submitted to the faculty member and to the DRTPC chair. The evaluated faculty member has the right to respond in writing to the peer evaluation within ten (10) calendar days of receiving the evaluation. It is the responsibility of the DRTPC chair to forward the peer evaluation, and the evaluated faculty member's response (if any), to the dean/director for placement in the faculty member's PAF.

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- C. A minimum of two peer evaluations shall be conducted each academic year. Peer evaluations shall reflect, to the degree possible, the breadth of courses taught.
- D. Only peer evaluations conducted either prior to or during the period of review may be used for that period's deliberations. Exceptions may be allowed if the candidate does not have the minimum number of evaluations.
- E. The DRTPC is responsible for ensuring that the minimum number of peer evaluations is conducted and that a copy of each written evaluation is submitted to the faculty member within two weeks of the class visit.
- F. A candidate may request additional peer evaluations beyond those initiated by the DRTPC. Such requests are to be directed to the DRTPC chair.

4.0 COLLEGE RTP COMMITTEE

- 4.1 The college RTP committee (CRTPC) shall consist of three members with no more than one per department until all departments are represented and with a maximum of two per department. The CRTPC shall be elected by secret ballot by the end of the third week in April preceding the academic year in which it will serve. Those eligible to vote are probationary and tenured faculty members of the college. A majority of votes cast, by secret ballot, shall be required for election. Should a majority not be obtained among candidates from a department, a run-off election will be conducted between the two who have the largest number of votes. The results of the election shall be reported to the dean who shall arrange for the CRTPC to convene and elect its chair before the end of the spring term.
 - A. When there is no CRTPC, all responsibilities as defined in this policy will default to the University RTP Committee (URTPC).
 - B. Faculty members who serve on CRTPCs must be full time tenured and at full professor rank.
 - C. The term of office for members of the CRTPC shall be two or three years. Terms shall be staggered for maximum continuity. The Academic Senate Elections and Procedures Committee will conduct the election. A constituency representative may stand for reelection after their current term expires.
 - D. A member of the DRTPC is ineligible to serve simultaneously on the CRTPC.
 - E. Candidates being considered for promotion are ineligible for service on promotion or tenure RTP committees. (CBA 15.43)
 - F. The dean of the college may meet with the CRTPC, at its invitation, or at the dean's request.

G. The CRTPC may not delegate any of its functions.

- H. In the case of procedural difficulties, the URTPC will recommend, after consultation with the department involved and the CRTPC, a course of action to the [Provost](#).
- I. If a CRTPC member is unable to serve for any reason, the replacement shall be elected by the Academic Senate through a special election.

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5.0 **UNIVERSITY RTP COMMITTEE**

- 5.1 The university RTP committee (URTPC) shall consist of one faculty member from each college. Library, Counseling and Psychological Services (CAPS), Disability Resource Center (DRC), and other unit 3 non-instructional faculty members shall have joint representation by one faculty member.
 - A. The URTPC shall assume the responsibilities of the CRTPC when it does not exist.
 - B. Faculty who serve on the URTPC must be tenured and have the rank of professor, librarian, or counselor.
 - C. The URTPC shall be elected before April 1 preceding the academic year in which it will serve. The Academic Senate Elections and Procedures Committee will conduct the election of the colleges' representatives to the URTPC. Those eligible to vote are the probationary and tenured faculty of the university. A majority of votes cast, by secret ballot, shall be required for election. Should a majority not be obtained among candidates from a college, a run-off election will be conducted between the two who received the largest number of votes. The results of the elections shall be reported to the [Provost](#), who shall arrange for the URTPC to convene and elect its chair before the end of the spring term. The [Provost](#) will provide each URTPC member with a copy of this policy.
 - D. Members shall serve terms of two or three years, and terms shall be staggered for maximum continuity. A constituency representative may stand for reelection after their current term expires.
 - E. Members of the URTPC shall receive a minimum of three units of assigned time for each year of their term. The chair of the URTPC shall receive a minimum of six units of assigned time in the year of their term as chair.
 - F. Members are ineligible to serve on department or College RTP Committees.
 - G. If a URTPC member is unable to serve for any reason, a replacement member shall be elected by the Academic Senate through a special election.

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H. For the benefit of the candidate, the URTPC may invite the Provost or other individuals deemed appropriate to meet and consult with the URTPC on the application of department RTP criteria. Questions regarding interpretation of procedures and policies shall also be referred to the Executive Committee of the Academic Senate for additional consultation and resolution.

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I. The integrity, confidentiality, and independence of the URTPC and its procedures are of paramount importance to all parties and shall be zealously protected.

5.2 The URTPC may select ad hoc committees from among its own members to gather information, formulate recommendations, and perform other actions it deems necessary.

6.0 LIBRARY, THE COLLINS COLLEGE, AND COUNSELING AND PSYCHOLOGICAL SERVICES DEPARTMENT

6.1 The RTP committees of these units shall perform all functions of the DRTPC. The committee shall be elected using the procedures of Section 3.1.

6.2 The appeal function of CRTPCs for these units shall be performed by the URTPC.

6.3 For RTP matters for counselors in the Counseling and Psychological Services (CAPS) department, the director of CAPS shall perform the duties of the dean.

7.0 RTP AND PERIODIC EVALUATION PROCEDURES

7.1 Criteria for reappointment decisions shall be the department RTP criteria that were in effect during the candidate's first academic year of probationary service on this campus.

7.2 Each candidate for tenure (including early tenure) may use either the department RTP criteria in effect during the candidate's first academic year of probationary service on this campus or the department RTP criteria in effect in the year the candidate requests action.

Each candidate for promotion (including early promotion) may use either the department RTP criteria in effect during the candidate's first academic year of probationary service on this campus or the department RTP criteria in effect in the year the candidate requests action.

If a candidate requests simultaneous consideration for both promotion and tenure, the candidate must select a single set of criteria.

7.3 Performance Review is an actionable evaluation process by the DRTPC, Dean/or Director, an evaluation process by each level of review that results in a recommendation

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for a personnel action such as reappointment, tenure and/or promotion, using the Faculty Performance Review Form (RTP Form) consistent with CBA 15.38.

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A periodic evaluation is an intermittent evaluation process that includes review only by the DRTPC and Dean. Periodic Evaluation does not result in a formal personnel decision but may be used to support future personnel decisions. Reports from the DRTPC and Dean are issued to the probationary faculty member with feedback and guidance.

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Probationary faculty will receive an initial appointment of two years. In Year One they will undergo a unique form of periodic evaluation known as “Pre-RTP.” As a periodic evaluation, Pre-RTP is not actionable and will be reviewed only by the DRTPC and Dean. In subsequent years, probationary faculty will undergo a minimum of three full performance reviews (unless awarded early tenure or promotion). Through a full performance review faculty can apply for one- or two-year reappointment, tenure, and/or promotion.

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7.4 The “period of review” is the period of performance under review or evaluation.

If a candidate is applying for Reappointment for the first time, the period of review shall be the period since the candidate’s original appointment. For subsequent Reappointment applications and for Periodic Evaluations the period of review shall be the period since the last Performance Evaluation. The period of review for application for Promotion to Full Professor shall be the period since the previous application for promotion to Associate, or, if the candidate was hired at the Associate rank, the period since original appointment. The period of review for application for Promotion to Associate Professor shall be the period since original appointment. The period of review for tenure evaluations shall be the period since original appointment to the probationary position.

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The period covered by the self-evaluation for a performance review shall be the time period that has passed since the last application was made for the same or a similar action. Reappointment evaluations are based on the previous one or two year’s performance; promotion evaluations are based on the period since the previous application for promotion or since original appointment; and tenure evaluations are based on the period since original appointment to the probationary position. The probationary faculty member may discuss achievements outside of the period of review, but only for the purpose of demonstrating consistency of performance. Thus, this discussion should be brief. The DRTPC shall consider relevant work done off-campus while the probationary faculty member was on professional leave of absence from Cal Poly Pomona. The DRTPC has access to, and should consider, previous evaluations and other materials in the Personnel Action File.

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When a faculty member undergoes a performance review, the faculty member shall submit an RTP package that is comprised of the following items:

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- 1. An updated curriculum vitae;
- 2. A self-assessment narrative (no page limit) discussing strengths and areas for growth in teaching, research, scholarly and creative activities and service from the current review period;
- 3. All peer evaluations since the previous performance review (in the case of reappointment) or all peer evaluations since appointment or last promotion (in the case of tenure and/or promotion);
- 4. Statistical summaries of student survey scores since the previous performance review (in the case of reappointment) or all student survey scores since appointment or last promotion (in the case of tenure and/or promotion); and
- 5. Performance reviews require the use of the Faculty Performance Review Form (RTP Form).

Based on the review of the RTP package and evaluation of progress towards tenure and promotion, evaluators at any level of review may recommend that a probationary faculty member undergo another performance review rather than a periodic evaluation in the following year. This recommendation is not subject to appeal although the probationary faculty member can submit a rebuttal. The Provost makes the final decision regarding reappointment, tenure, and/or promotion.

In interim years when a probationary faculty member is not applying for reappointment, a periodic evaluation will be conducted. The probationary faculty member shall submit a “periodic evaluation report” comprised of four items:

- 1. An updated curriculum vitae;
- 2. A self-assessment narrative, not to exceed four pages, discussing strengths and areas for growth in teaching, research, scholarly and creative activities and service and other professional activities as applicable from the current review period;
- 3. Two peer evaluations from the period of review (or more if required by the department); and
- 4. Statistical summaries of student survey scores and reviews from the current review period.

The DRTPC, the department chair (if not serving on the DRTPC), and the dean shall produce a report with constructive feedback and clear guidance for improvement in preparation of the next year’s performance review. No recommendation for RTP actions will be permitted during a periodic evaluation. A copy of the report shall be placed in the candidate’s PAF.

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- 1. An updated curriculum vitae;
- 2. A self-assessment narrative (no page limit) discussing strengths and areas for growth in teaching, research, scholarly and creative activities and service from the current review period;
- 3. All peer evaluations since the previous performance review (in the case of reappointment) or all peer evaluations since appointment or last promotion (in the case of tenure and/or promotion);
- 4. Statistical summaries of student survey scores since the previous performance review (in the case of reappointment) or all student survey scores since appointment or last promotion (in the case of tenure and/or promotion); and
- 5. Performance reviews require the use of the Faculty Performance Review Form (RTP Form).

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The Faculty Affairs Office establishes the calendar for the periodic evaluations and performance reviews.

7.5 When the Provost has made available the list of faculty members considered eligible for RTP consideration, the chair of the DRTPC shall verify the list with the dean. Initiation of recommendations for reappointment, tenure, and promotion shall come from the department level. Requests for action should start with a person desiring reappointment, tenure, or promotion. The DRTPC chair shall ask all candidates for reappointment, tenure, and promotion to state their case in writing to the DRTPC, using the standard university Faculty Performance Review Form (RTP Forms).

- A. Each faculty member eligible for an RTP action shall notify the DRTPC chair in writing of intent to request an RTP action(s) or that no action will be requested. This notification shall take place during the first week of the fall term. The notification will be non-binding.
- B. The Provost will notify all those eligible for regular RTP consideration no later than the first day of the fall term.
- C. Each candidate for consideration shall submit to the DRTPC a summary of their professional accomplishments and a self-evaluation of performance using the standard Faculty Performance Review Form (RTP Forms). The candidate will supplement it with other evidence to demonstrate that department RTP criteria have been met. In particular, candidates for reappointment must discuss their progress toward meeting department requirements for tenure. All candidates must discuss progress made on any recommendations for improvement given in the previous RTP cycle.
- D. The DRTPC, after thorough deliberation, shall make its recommendations for or against reappointment, tenure, or promotion. The DRTPC members shall commit their reasons to writing on the appropriate page of the Faculty Performance Review Form covering both strengths and deficiencies, citing specific sections of the department RTP criteria and a summary of the evidence on which the recommendation is based. The DRTPC must also include a discussion of progress made on any recommendations for improvement given in the previous RTP cycle.
- E. Before forwarding its recommendations, the DRTPC shall notify each candidate of its recommendation in their case. Such notification shall consist of a copy of the DRTPC’s written statements that the candidate shall be asked to sign. If the candidate refuses to sign, the DRTPC chair shall document the fact that the candidate was apprised of the DRTPC’s evaluation and recommendation and refused to sign. When the candidates are notified, they shall indicate their reaction to the DRTPC’s evaluation and recommendations by checking the appropriate box, and by signing on the appropriate page of the Faculty Performance Review Form.

The candidate has ten (10) calendar days following receipt of the DRTPC’s

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recommendation to appeal the DRTPC action to the CRTPC in accordance with the provisions of Section 8.1 of this policy. In addition to, or in lieu of a formal appeal to the CRTPC, the candidate may submit, within ten (10) calendar days, a response or rebuttal statement to the DRTPC’s recommendation to be included in their RTP package.

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- F. The DRTPC shall forward to the CRTPC the files of only those candidates who have requested an appeal to the CRTPC. All other recommendations for action are to be forwarded to the dean, along with the written reasons for these actions in accordance with Section 7.4.D. above.
- G. Any member of the DRTPC may file a supplementary report. Supplementary reports, if submitted, must accompany the recommendation in question and must have been made available to all members of the DRTPC and to the candidate.
- H. If the department chair makes a separate recommendation, the candidate has ten (10) calendar days from the date of notification by the department chair to submit a response or rebuttal statement to the department chair for inclusion in their RTP package.

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7.6 The CRTPC has three functions in RTP matters: (1) to monitor the operation of the RTP process in its college, (2) to hear appeals of department RTP actions, and (3) to serve, augmented by the dean as chair and voting member, as the body to rank candidates, if required.

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- A. If a candidate appeals to the CRTPC, the candidate's RTP package, supplemental reports, responses, rebuttals, appeal documentation, and the relevant department RTP criteria shall be forwarded to the CRTPC.
- B. The CRTPC shall notify, in writing, the candidate and the candidate's DRTPC of its action within ten (10) calendar days of receipt of the appeal. After notifying the candidate, the CRTPC shall return the RTP package to the DRTPC.
- C. The CRTPC chair shall be responsible for ensuring that the provisions of this policy and the policy on Student Evaluation of Teaching of the University Manual and Article 15 of the CBA are carried out. The chair of the CRPTC remains the only person who may add any items to the package following approval by the URTPC.

7.7 All documentation from the DRTPC and all documentation of those candidates who have appealed to the CRTPC shall be advanced to the dean. The dean's evaluation of all candidates shall be consistent with and shall not extend beyond the department's approved RTP criteria. The dean's recommendation should make appropriate references to department RTP criteria. Except when the URTPC has approved an extension, the dean shall provide the recommendation to the candidate by the deadline established in the current University Calendar for RTP Actions. If the recommendation is not completed by the deadline and an extension has not been approved, then the package shall automatically be transferred to the next level. Any

late recommendation that has not been approved shall be removed from the package at the request of the candidate to the ~~v~~.

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Before forwarding ~~the~~ recommendations to the URTPC, the dean shall notify each candidate, the appropriate DRTPC and the CRTPC, including ~~the candidate's~~ written statements. When the candidate is notified ~~the candidate~~, shall indicate ~~a~~ reaction to the dean's evaluation and recommendation by acknowledging via the electronic platform.

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The candidate has ten (10) calendar days following receipt of the dean's recommendation to appeal the action to the URTPC in accordance with Section 8.2 of this policy. In addition to, or in lieu of, a formal appeal to the URTPC, the candidate may submit a response or rebuttal statement to the dean's recommendation to be included in ~~the candidate's~~ RTP package.

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7.8 This section constitutes the charge of the URTPC with respect to its role in the review of candidates in the RTP process.

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The URTPC has five (5) functions in RTP processes: (1) Monitor the general operation of the RTP process, ensure compliance with the spirit and intent of this policy, the policy on Student Evaluation of Teaching, and the CBA and take appropriate remedial actions to protect the rights of the candidate. (2) Hear appeals of actions taken by the Library RTPC, by The Collins College of Hospitality Management RTPC, by the CAPS RTPC, and by any dean (consistent with 8.2). (3) Provide advice and assistance on RTP matters to candidates, chairs, deans, DRTPCs, and CRTPCs.

(4) Request and/or respond to requests to add new supporting material to an RTP package after the closing date. (5) Make its own recommendation on RTP requests made by candidates.

The URTPC shall receive all personnel RTP recommendations for action including: recommendations of the dean, recommendations from the department and CRTPCs, supplementary reports, and records of requests and meetings for reconsideration.

The URTPC shall consider all relevant documents, including those listed above, and make its own recommendations for or against the RTP action requested by the candidate. The URTPC recommendations shall be based solely on the approved department RTP criteria. Recommendations not in concurrence with the RTP action requested by the candidate or not in concurrence with recommendations by the DRTPC, the department chair, the CRTPC, and/or the dean shall include explicit references to the approved department RTP criteria.

Before forwarding its written recommendation, the URTPC shall provide it to the DRTPC, the department chair, the dean, and the candidate of its recommendation. Within ten (10) calendar days from the date of the notification by the URTPC, the candidate may submit a written response or rebuttal statement to the URTPC. The candidate's response shall include a detailed written statement clarifying all alleged misapplication, misinterpretation, and/or procedural violations that are believed to have

resulted in denial of the requested RTP action. The candidate’s written response shall be included in [the candidate’s](#) RTP package.

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All candidates who have received a negative recommendation from the URTPC are entitled to a hearing with the URTPC. The request for a hearing must be submitted in writing to the URTPC within ten (10) calendar days after the receipt of the recommendations. The hearing shall be arranged before the URTPC with the concerned candidate. The candidate may invite the department chair or a member of the DRTPC to participate in the hearing and provide further evidence on behalf of the candidate.

The URTPC shall weigh the evidence and determine whether there has been a violation of procedure or misapplication of the department RTP criteria and notify the candidate accordingly. If the URTPC decides that there has been a violation of procedure or misapplication of criteria, it shall change its recommendation.

The URTPC shall forward its final recommendations to the [Provost](#) and shall notify each candidate and the appropriate dean, CRTPC, and DRTPC. Notification shall consist of the URTPC’s written final recommendations.

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7.9 The [Provost](#) shall review all documentation and prepare recommendations of promotions. The [Provost](#) shall forward [the](#) recommendations to the President.

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7.10 Before decisions on promotion and tenure are announced, the President and the [Provost](#) will meet with the URTPC to discuss those cases where there have been conflicting recommendations during the process, or where the proposed action is in conflict with the unanimous recommendations of the RTP committees involved.

8.0 **APPEALS**

8.1 Appeal of Department Recommendations

1. Only when a candidate believes the recommendation of the DRTPC to have been based upon a violation of department RTP procedures and/or upon a misapplication of department RTP criteria may [the candidate](#) appeal as indicated below.
2. Within ten (10) calendar days after receiving notification of the DRTPC’s recommendation, the candidate may submit [an](#) appeal to the CRTPC. The appeal shall consist of a written statement, with supporting evidence that addresses violation(s) of department procedures and/or misapplication(s) of department RTP criteria by the DRTPC.
3. The CRTPC, after receipt of all documentation on the candidate and from the DRTPC, shall weigh the evidence and shall arrange, upon request of the candidate, for a meeting with the CRTPC and the candidate.

1. If the CRTPC determines that there has not been a violation or misapplication, the candidate and the DRTPC concerned shall be so informed.
2. If the CRTPC determines that there has been a violation or misapplication, ~~the CRTPC will notify the DRTPC of the nature of the violation.~~
 - a. If the DRTPC acknowledges the alleged error, it shall take the necessary steps to correct the violation or misapplication and shall forward to the CRTPC all pertinent data, including corrections in procedures involving criteria or changes in recommendations.
 - b. If the DRTPC alleges that no error exists, the CRTPC will forward its recommendation along with the DRTPC's recommendation to the URTPC via the dean.

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8.2 Appeal of Dean's Recommendations

- A. Only when a candidate believes the recommendation of the dean to have been based on a violation of RTP procedures, or a misapplication of department RTP criteria, may the candidate, appeal as indicated in 8.2.B. below.
- B. Within ten (10) calendar days after receiving notification of the dean's recommendation, the candidate may submit an, appeal to the URTPC. The appeal shall consist of a written statement that addresses violation(s) of RTP procedures and/or misapplication(s) of department RTP criteria by the dean.
- C. The URTPC, after receipt of all documentation on the candidate from the dean, shall weigh the evidence, and shall arrange, upon request of the candidate, for a hearing before the URTPC with the candidate, the dean, the chair of the CRTPC, and the chair of the DRTPC.
- D. The URTPC shall determine if there has been a violation of procedure or misapplication of department RTP criteria.
 1. If the URTPC determines that there has not been a violation of procedure or a misapplication of department RTP criteria, then the candidate, the dean, the CRTPC, and the DRTPC shall be so informed.
 2. If the URTPC determines that there has been a violation of procedure or misapplication of department RTP criteria, then the URTPC will notify the candidate, the Provost, the dean, the CRTPC, and the DRTPC.
 - a. If an alleged error is acknowledged, the appropriate party shall take the necessary steps to correct it and shall forward all pertinent data, including corrections in procedure, criteria, or changes in recommendations to all

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persons who had been notified of the error.

- b. If the appropriate party alleges that no error exists, the URTPC will forward to the Provost its recommendations (with copies to all persons who had been notified of the error) and all material relevant to the appeal, along with all other material originally received.

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8.3 Appeals of grievance character shall follow the appropriate sections in Article 10 of the Collective Bargaining Agreement.

8.4 The Appeals Section 8.0 applies to all RTP recommendations.

9.0 AMENDMENTS TO THIS POLICY

9.1 Changes mandated by the Collective Bargaining Agreement shall be implemented by the Provost or designee with the concurrence of the URTPC.

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9.2 Amendments other than those mandated by the collective bargaining agreement shall be made by the normal academic senate referral process.