

California State Polytechnic University, Pomona

Academic Senate Report

AS-2685-167-FA

Adjustment of Faculty Affairs Policies for Semester Conversion

Academic Senate Action:

Adopted: February 22, 2017

Final Disposition:

Transmitted to President: February 27, 2017

RECOMMENDATION:

The Academic Senate recommends amendment of all the policies as proposed on the draft documents attached to this report with to become effective on the first day of Fall Semester 2018. The policies affected by changes are: 1200, 1201, 1306, 1316, 1325, 1326, 1328, 1329, 1332, 1375, 1376, 1377, 1378, 1381, 1382 and 1384.

**CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA  
POLICY NO: 1200**

**UNIVERSITY COURSE SYLLABUS**

1.0 A syllabus should be prepared for each class section an instructor teaches. The syllabus should be distributed to students either on paper or electronically before the second week of the quarter/term. At a minimum, a syllabus should contain these items:

1. The instructor's name, office location, phone number, and e-mail address;
2. The instructor's Office Hour schedule;
3. A brief statement of course objectives (this might be limited to saying a  course covers chapters one through six of the text);
4. Title(s) of required and recommended text(s);
5. Course prerequisites and co-requisites;
6. A tentative schedule of assignments and exams;
7. An explanation of the class grading system;
8. Examination methods (objective, essay, Scantron, other);
9. A policy statement regarding the make-up of assignments and exams (this  could be that there will be no make-ups);
10. A policy statement concerning attendance, particularly as it affects the  grade (this could be that a student is responsible for all material and activities covered in a class period whether the student chooses to attend or not);
11. The instructor's information on academic dishonesty as it applies to the class.

Instructors are free to elaborate on or add to this list as they deem appropriate for their class.

2.0 The following policies are not required, but should be considered for inclusion in syllabi.

1. Statements about campus Disability Resource Center services, the campus address, the telephone number, the URL, and further statements that encourage students who qualify to register with the DRC.
2. Information about exam schedules.

3. Course-specific Student Learning Outcomes. □
4. A reference to campus resources that students can access if they are having difficulties. □

3.0 When enforcing policies related to absences and make-up work, instructors may take the following considerations into account:

1. Federal, State, and Municipal laws can place duties on citizens that may not be avoided. Students may be asked to serve in the National Guard, to perform on juries or grand juries, or to participate in emergency response obligations. □
2. Many students have family responsibilities □
3. Students' may have chronic or unexpected medical problems □
4. The university generally encourages co-curricular activities such as the □ Model United Nations, athletic activities, theatrical and musical performances, etc., in recognition of the educational value of these activities. □

4.0 The California State Education Code, as law, supersedes all campus policies. In particular, section 89320 states:

The Trustees of the California State University require each state university, in administering any test or examination, to permit any student who is eligible to undergo the test or examination to do so, without penalty, at a time when that activity would not violate the student's religious creed. This requirement shall not apply ~~in the event that if~~ administering the test or examination at an alternate time would impose an undue hardship which could not reasonably have been avoided. In any court proceeding in which the existence of an undue hardship ~~which-that~~ could not reasonably have been avoided is an issue, the burden of proof shall be upon the institution.

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**CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA  
POLICY NO: 1201**

**FINAL EXAM**

Every lecture and seminar course shall include a final evaluative activity appropriate to the course. An instructor shall not shorten the academic term by scheduling this final activity before the week scheduled for final examinations. Such activities may include (but are not limited to): written exams, presentations, portfolio sharing, performances, critiques, oral exams, and review of learning outcomes. Assessment exemptions may be granted for such reasons as uniqueness of course content or method of instruction, or a more appropriate procedure for establishing an evaluation of the students' performance in the course. Exemptions ordinarily will be established at the time the course is proposed by the department for inclusion in the University Catalog. If a separate final evaluation in other courses (activities, laboratories, independent study) is desired, it shall be given during the last week of class.

In-class final activities shall be administered only during final exam week and only at the time published by the University. In-class final activities for one-unit lecture courses shall be arranged by consultation of the instructor and students and approved by the department chair. The required submission date for out-of-class final activities (take-home finals, papers, etc.) must fall no earlier than the day designated for the final examination of the class. For online classes with no set meeting time, final examinations or projects shall be due no earlier than the end of the first day of the published exam period.

Requests by instructors for a change from the university-scheduled date and time of the course in-class final activity must be for compelling reasons and must be made no less than four weeks in advance of finals week. The rescheduled date and time must be confirmed by documented consent of every student registered in the course as obtained by the department chair. Such requests shall be made by the instructor to the department chair and shall require approval from the College Dean.

**CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA  
POLICY NO: 1306**

**ACADEMIC DEPARTMENT CHAIR APPOINTMENT**

Academic Department Chairs are appointed by the President upon the recommendation of the Dean of the college and the Provost after consultation with the faculty. The Department Chair should be a tenured professor. The selection of the Department Chair will take place according to the following procedures.

For the purposes of this [appendix-policy](#) the term “faculty” will refer to the tenured faculty\*, probationary faculty, and full-time lecturers with at least one year of full-time service in the department. These are the faculty members eligible to participate in the selection of the Department Chair.

Department Chairs shall be appointed by the President to a term of four years. There shall be no limit on the number of terms that any faculty member may serve as the Department Chair.

**I. DETERMINATION OF THE SELECTION PROCESS**

- A. For existing departments – No later than 11 months to the completion of the term of service as the Department Chair or as soon as it is clear that the position will become vacant due to any other reason, the Dean shall convene a department meeting to announce the vacancy of the Department Chair position and to discuss the process and criteria for Department Chair selection, including the question of whether an outside search is possible. At this meeting, the Dean will articulate the Department Chair’s responsibilities, expectations, benefits, delegation, resources such as administrative fraction and potential for Associate Chair(s), etc., and discuss these with the faculty. If an outside search is possible, the faculty will consider the options and inform the Dean of its choice.

If the decision is to search outside, the procedures outlined in [Appendix 38Policy 1311](#) must be followed. Current members of the department may be candidates for Chair, and must be treated as all other candidates.

- B. For new departments - A screening committee will be established by the Dean in consultation with the Department Chairs of the college. The committee will consist of two Department Chairs and three tenured faculty members, with departmental representation spread as broadly as possible. The Dean of the college will be an ex-officio, non-voting member of this committee and will meet with the two Chairs and three tenured faculty members in the screening process. The screening committee members will select their own committee chair.

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\* A participant in the Faculty Early Retirement Program is deemed a tenured faculty employee only during the period of active employment.

## **II. PROCESS FOR AN INTERNAL SEARCH**

- A. The faculty will determine the criteria and procedures, such as written statements or oral presentations to the department faculty by the candidates, for the selection of Department Chair and will then elect a nomination committee whose task shall be to identify candidates for the Chair position and to implement the procedures for the selection of the Department Chair. The selection criteria and procedures shall be approved by the majority of the faculty through confidential balloting. The nomination committee shall consist of at least three members (and preferably an odd number) representative of the department, and elected by the majority vote of the department faculty. The faculty may choose to operate as a committee of the whole. If the faculty operates as a committee of the whole, candidates may participate in the work of the nomination committee. If a nomination committee is elected, then the elected members should not seek nomination as the Department Chair. Determination of the selection criteria and procedures and the selection of the nomination committee shall be completed within one calendar month following the notification of the vacancy. The nomination committee members will select their own committee chair.

The committee will report at least once to the department and once to the Dean on its progress before submitting its list of nominee(s).

- B. The candidate(s) will be interviewed by the Dean as part of the selection process.
- C. After the candidate(s) have been interviewed and before the department makes its recommendation, the department faculty will meet with the Dean to discuss the candidate(s). Candidate(s) should not be present at this meeting. Following the meeting with the Dean, the department faculty will meet to decide on its recommendation. The recommendation will indicate the candidates (one or more) supported by the faculty for the position of Chair. The Dean will meet with the faculty to discuss the department recommendation. If the faculty and Dean agree on a Chair candidate, the faculty will submit its recommendation to the Dean who will forward it to the President via the Provost. Ordinarily, the Dean and the faculty should find it possible to reach agreement. If consensus is not achieved, the faculty and Dean will meet with the Provost to present their individual recommendations. The Provost will determine how to proceed.

If the selection process fails to result in the selection of a Chair, the Dean and Provost will recommend to the President the name of an Interim Department Chair, per provisions of section III below.

## **III. Interim Department Chair Appointment**

The Dean and Provost shall, in consultation with the department faculty recommend to the President the name of an interim Department Chair only if:

1. The Department Chair position is vacated unexpectedly.
2. The search process fails to result in the appointment of a Department Chair.
3. The nomination/department committee informs the Dean that the search process cannot be completed prior to the departure date of the current Department Chair.

The recommended Interim Department Chair shall be a tenured faculty member of the same department; but, the Dean and Provost, in consultation with the department faculty, may recommend a tenured faculty member from outside the department to serve as the Interim Department Chair.

During a regular academic ~~quarter~~term, the search process for the Department Chair shall be initiated simultaneously with the announcement of the appointment of the Interim Department Chair. If the Interim Department Chair appointment is made during the summer ~~quarter~~term or in a recess period, the search process for the Department Chair shall be initiated no later than the second week of the immediately following regular academic ~~quarter~~term.

The term of service for an Interim Department Chair shall be one year or until the new Department Chair is appointed. Only in exceptional cases may the Dean and the Provost, after consultation with the department faculty, recommend to the President that an Interim Department Chair continue to serve beyond one academic year.

#### **IV. SERVICE**

The Collective Bargaining Agreement (CBA article 20) provides that the appointment of a Department Chair is made by the President and the appointment may be terminated at any time.

#### **V. RESIGNATION PROCEDURE**

The Department Chair may resign at any time. The resignation should be directed to the President with copies to the Provost, Dean, and department faculty.

#### **VI. REVIEW PROCEDURE**

- A. By means of the procedure specified in ~~Appendix 15B~~Policy 1326, the Dean of the college and the faculty of the department will appraise the Department Chair's effectiveness.
- B. At any time during the term of the Department Chair, thirty percent or a minimum of three, whichever is greater, of the faculty of a department may petition the Academic Senate Executive Committee to conduct a vote of confidence in the department chair. Each department may only petition the



Executive Committee of the Academic Senate for a vote of confidence in the department chair once in each academic year.

## **VII. TENURE AND PROMOTION**

Tenure and promotion considerations shall adhere to the RTP principles and procedures of ~~sections 301.10 and 306.2 of the University Manual and Appendix 16~~ Policy 1328.

## **VIII. INTERPRETATION**

In case of differences of opinion concerning the interpretation of this document, 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.

**Commented [ARJ1]:** Sections 301.10 and 306.2 are from hard copy binder of policy documents which were revised to Policies 1312 and 1334, which were ultimately deleted as a result of 15/16 Referral FA-002-156

**CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA**  
**POLICY NO: 1316**

**APPOINTMENT OF ACTING DEPARTMENT CHAIR FOR**  
**SUMMER QUARTER TERM**

When it is necessary to appoint an acting department chair for the summer quarter term, all full-time faculty (including full time lecturers) present at the time recommendations are to be made shall meet and recommend one person to the college dean through the chair, if available, to serve as acting chair for the summer quarter term. These faculty should be provided with full knowledge of those department colleagues eligible, planning to teach and willing to serve in this capacity.

Acting department chairs for the summer quarter term shall normally be chosen in accordance with the following order of preference:

- a. Tenure-track faculty of that department who will be teaching the forthcoming summer quarter term, who are willing to serve, and whom the faculty believe are qualified to serve in this capacity.
- b. Chairs or acting chairs of closely related departments in the same college who meet the same standards as in the above. This must be done after consultation with the individual(s) involved.
- c. The dean, or an associate or assistant dean, of the college in which the department is located. All individuals involved must be consulted prior to any recommendation being made.

If the department faculty fail to reach agreement on recommending an individual, they will transmit this information to both the department chair and the college dean. The dean will then recommend a person to serve through normal channels to the president.

No department policy, other than that which is applicable only to the particular summer quarter term in question, may be formulated, initiated and/or modified by a summer quarter term acting department chair without written consultation and approval of a majority of all the tenure-track full-time faculty of that department.

**CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA**  
**POLICY NO: 1325**

**MPP PERIODIC REVIEW PROCESS**

It is the policy of California State Polytechnic University, Pomona (CPP) to review the employees included in the Management Personnel Plan (MPP) to (1) provide objective and specific information regarding individual and organizational performance; and to (2) provide information and suggestions for improving and optimizing organizational performance.

**GUIDING PRINCIPLES FOR MPP REVIEWS**

The review process of MPP administrators is intended as both a developmental and performance management tool. The guiding principles for the process are enumerated below:

1. The review process shall be fair, balanced, formative, rigorous, and related to the area of responsibility of the MPP being reviewed.
2. The review process shall include broad opportunity for input from all organization levels as defined by the Review Committee, including tenured and probationary faculty, administrators, temporary faculty, staff, students and members of the outside community.
3. Results shall be treated confidentially and in the same manner as any performance reviews at CPP.
4. A summary report of results will be prepared and provided to the university community and the Executive Committee of the Academic Senate by the President or his/her designee.
5. CPP policies, procedures, and practices do not permit anonymous input.

**1. APPLICABILITY OF THE MPP PERIODIC REVIEW**

1.1 This policy applies to periodic review of the following MPP administrators:

- a. All University level Vice Presidents
- b. All College Deans including the Dean of Extended University, Dean of Students, and Dean of library
- c. Associate Vice President, Research and Graduate Studies
- d. Associate Vice President, Undergraduate Studies Academic Programs
- e. Associate Vice President, Academic Planning, Policy, and Faculty Affairs

The President may at his discretion request periodic review of any MPP administrator that is not included in the above list.

1.2 The administrators, who have served a minimum of three years of full-time service in their current position, shall be subject to the Periodic Review. For

purposes of this guideline, years of service in a position is defined as the period the administrator has served in the position whether in an acting, interim, or permanent appointment. The MPP Periodic Review will be initiated during the fourth year after the initial appointment and every five years thereafter. The President can direct a special Periodic Review at other intervals.

- 1.3 The President or designee will maintain a list of administrators subject to Periodic Review and create a five-year review schedule. The President or designee shall notify the administrators to be reviewed. No later than three weeks from beginning of the fall quarter-term of each academic year, the President or designee shall provide a list of the administrators subject to review in that academic year to the Academic Senate and request selection of faculty members who serve on the review committee of the administrator. The review process shall begin in the fall and shall be concluded no later than May 15th of the same academic year.

## **2. MPP PERIODIC REVIEW COMMITTEES**

### **2.1 GENERAL PROVISIONS**

- a. All faculty members on MPP review committees shall be full-time tenured or tenure track faculty. Faculty participants in the Faculty Early Retirement Program and fulltime lecturers shall not be eligible for service.
- b. Faculty designated by the Executive Committee of the Academic Senate to serve on MPP review committees shall be selected as that body deems appropriate.
- c. Staff members who serve on review committees shall be full-time permanent employees of Cal Poly Pomona selected by the supervisor of the MPP employee being evaluated.
- d. Associated Students, Inc. (ASI) will be given the first opportunity to appoint students to review committees. If ASI is unable to provide a student representative in a timely manner, the position of the student representative shall remain vacant. Students serving on review committees shall be in good standing with sophomore, junior, senior, or graduate status.
- e. The Executive Committee of the Academic Senate will select the faculty members who serve on the review committee within three weeks of the receipt of the request to form the committee. If the faculty representatives are not selected within three weeks, the Executive Committee of the Academic Senate may at its discretion reduce the required number of faculty representative for serving on the review committee to no less than half (rounded down when needed) of that required under the policy.

### **2.2 COMPOSITION OF REVIEW COMMITTEE FOR PROVOST**

- a. Up to two persons selected by the President,

- b. Five full-time tenured or tenure-track faculty members selected as provided in (2.1a). No College shall have more than one representative
- c. One permanent staff member selected as provided in (2.1 c),
- d. One student selected as provided in (2.1 d).

### **2.3 COMPOSITION OF REVIEW COMMITTEES FOR OTHER VICE PRESIDENTS**

- a. Up to two persons selected by the President,
- b. Two full-time tenured or tenure-track faculty members selected as provided in (2.1 a). No College shall have more than one representative,
- c. One permanent staff member selected as provided in (2.1 c), d.
- d. One student selected as provided in (2.1 d).

### **2.4 COMPOSITION OF REVIEW COMMITTEES FOR ASSOCIATE VICE PRESIDENTS IN ACADEMIC AFFAIRS DIVISION**

- a. Up to two persons selected by the Provost,
- b. Five full-time tenured or tenure-track faculty members as selected as provided in (2.1a),
- c. One permanent staff member selected as provided in (2.1 c),
- d. One student selected as provided in (2.1 d).

### **2.5 COMPOSITION OF REVIEW COMMITTEES FOR DEANS**

- a. Up to two persons selected by the Provost,
- b. Five full-time tenured or tenure-track faculty members selected as provided in (2.1 a). At least four faculty members shall be from the college of the Dean. No department shall have more than one representative until all departments are represented,
- c. One permanent staff member from the college selected as provided in (2.1 c),
- d. One student selected as provided in (2.1 d).

## **3. MPP PERIODIC REVIEW PROCEDURE**

- 3.1 Each committee will elect a chair at the first meeting by majority vote of the committee members. The President or designee is responsible for providing support staff for each of the MPP periodic review committees. In addition to attending all meetings of the committees, the support staff person is expected to provide logistical support, clerical support, etc.
- 3.2 The committee shall handle, process, and maintain all MPP periodic review related documentation with the understanding that this MPP periodic review is a personnel action and that such documentation must be maintained with a high degree of confidentiality and will form a part of the administrator's personnel file. Any breach of confidentiality is a serious violation and is subject to disciplinary action. Committee members will sign an oath of confidentiality.

- 3.3 The review committee shall identify the constituencies that should be surveyed or contacted as the committee deems appropriate.
- 3.4 The Office of Academic Planning, Policy and Faculty Affairs shall maintain a file of sample evaluation instruments (survey, questionnaire, etc.) that may be used by the review committee. To promote consistency in evaluations, the review committee is encouraged to utilize this resource.
- 3.5 The President or designee shall provide to the review committee a copy of the administrator's job description as well as the administrator's listing of work plan, administrator's self-assessment, any prior periodic and annual evaluation reports, and a list of goals and objectives for the current and next review cycle. The committee shall invite the administrator under review, if appropriate, to discuss the review process and calendar.
- 3.6 The review committee shall prepare all evaluation tools including the survey instruments, questionnaires, interview questions, etc., as appropriate and is responsible for distributing, collecting, organizing, and analyzing data concerning the administrator's performance.
- 3.7 The committee shall arrange a meeting with the administrator to review all evaluation instruments prepared by the committee prior to distribution. The committee and the administrator being reviewed shall ensure that the evaluation instruments only include questions that are relevant to the administrator's primary areas of responsibility.
- 3.8 The committee may invite individuals to meet with the committee to discuss the performance of the administrator under review. Relevant comments of such meetings shall be reduced to writing by the committee with authorship attributed to the originator of said comments. The originator of the comments shall be provided the opportunity to review and approve any attributed comments prior to inclusion in the committee's final report.
- 3.9 The committee cannot compel individuals to meet with the committee.
- 3.10 Any person may submit a written statement to the committee, but such statements must be signed by the maker of the statement.
- 3.11 The review committee shall prepare a draft report which shall include a description of the review process, data collected, all solicited materials including the results of the interviews, and an analysis of all information obtained from all sources. The draft report shall include commendations as well as specific recommendations for improvement. A simple majority vote of the review committee shall be sufficient to approve the report. A minority

report shall be appended if requested by any member of the committee. Minority reports shall be seen by all members of the review committee.

- 3.12 A copy of the draft report shall be forwarded to the reviewed administrator. The administrator shall be given 10 working days to respond to the report and/or request a meeting with the review committee. Any additional documentation and response provided by the administrator shall be appended to the report.
- 3.13 Following any response, if any, by the administrator, the draft report will be finalized. The administrator under review shall be given 5 working days to review the final report and append any additional comments and response deemed necessary prior to its distribution. Copies of the report shall only be provided to the President, the administrator under review, and the administrator's supervisor. The final report shall become a part of the permanent personnel record maintained by the Human Resources Department Services.
- 3.14 No later than 60 days after the receipt of the final report from the review committee, the President or designee shall prepare and distribute a summary report that includes the disposition of the recommendations in the report. The President or his/her designee shall distribute the summary report to the University community. A written copy of the summary report shall be forwarded to the Executive Committee of the Academic Senate.
- 3.15 The committee shall, on completion of its duties, turn over all data and records to the Human Resources Department Services.

#### **4. AREAS OF EVALUATION**

The following evaluation areas are suggested for consideration. The review committee shall remain free to add to and/or eliminate from this list of suggestions as appropriate.

- Leadership Support of university mission and goals
- Creating an environment conducive to teaching excellence and scholarship
- Managerial skills
- Communication and consultation in decision making
- Management of resources
- Fiscal skills and budgeting transparency
- Diversity/Equal Opportunity
- Effectiveness in defining and achieving outcomes
- On-going professional development, maintenance of currency in the field, and professional improvement
- Development activities and results achieved

**CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA  
POLICY NO: 1326**

**PROCEDURES FOR REVIEW OF DEPARTMENT CHAIRS**

**I. REVIEW PROCEDURES**

University policy calls for the regular evaluation of Department Chairs to ensure effective administration of Cal Poly's academic program. This formal review shall occur during ~~winter and the~~ -spring ~~quarters-term~~ of the third year of each ~~term-period of service~~ of an academic Department Chair.

The department faculty or an elected department committee, in consultation with the Dean and Department Chair, will develop procedures, criteria, and necessary instruments such as survey questionnaires and/or feedback forms for evaluating the Chair's performance. While the procedures and criteria are defined by tenured faculty, probationary faculty, and full-time lecturers, the process must provide the opportunity for input from all faculty members (including both full-time and part-time lecturers), staff, administrators, and students. A college may elect to use a standard procedure for the review of all its Chairs; however, each department must have the opportunity to supplement the standard procedure. The Dean will report the results of the review of performance to the Provost, who will forward his/her recommendation to the President. A summary of the Dean's report will be provided to the department faculty.

**II. INITIATION OF REVIEW**

**H.**

In January, the Associate Vice President for Faculty Affairs shall send each Dean a list of Department Chairs who are scheduled for reviews. In February, the Associate Vice President shall send a memo directly to the Department Chairs with copies to the faculty, informing them that they are scheduled for a review. The review process occurs primarily in spring ~~quarter~~semester, and the Deans' reviews are submitted to the Associate Vice President by ~~May 30~~the end of the 14<sup>th</sup> week.

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**III. CONTENT OF THE REVIEW**

The evaluation of Department Chairs includes, but is not limited to, 4 major categories of responsibility:

- A. Personnel responsibilities (including the Chair's role as an advisor to faculty, staff, and students, judgment in personnel decisions, and effective management of human resources).
- B. Curriculum and scheduling (including leadership in developing strong curricula for disciplines in the department, fair assignment of faculty teaching



responsibilities, long-range academic planning, and effective scheduling of class hours, rooms, and faculty).

- C. Department administration (including planning and management of department budgets, supervision of departmental support staff, technicians, and student assistants, efficient use of equipment and supplies, and fostering acquisition of non-state funds and equipment).
- D. Collegiality and cooperation (including leadership in cooperation with other departments, the Colleges/Schools, the University, and alumni to further the academic and scholarly goals of the institution).

Reviews by the Deans and department faculties should emphasize strengths as well as areas for future improvement by the Department Chairs. Every effort should be made to ensure an objective evaluation.

#### **IV. PROCEDURES FOR THE REVIEW PROCESS**

Although the departments and colleges can tailor the review process for their special needs, the general format below must be followed.

1. Development of procedure, criteria, and instruments by the department faculty or an elected committee.
2. The procedure must provide for input from faculty, staff, administrators, and students. Student input can be solicited in the form of signed letters to a designated faculty member, or in the form of an anonymous survey administered to an appropriate sample.
3. Written self-assessment of the Chair, including “state of the department report” summarizing important activities and achievements.
4. The faculty or committee provides the input received to the Dean along with a report that summarizes and analyzes the input received. The department may use [the form in the attached Department Chair Evaluation form Appendix 15e](#) as a guide. The Chair receives these materials when the Dean does. The Chair may respond to the department with a copy to the Dean.
5. The Dean writes a report based on the Chair’s self-assessment, the report of the faculty committee (with any response provided by the Chair), and the Dean’s observations on the Chair’s performance. The report may be done using the form provided here.
6. The Dean and Chair meet to review the report and self-assessment.

7. A summary of the Dean's report is made available for review by department faculty and staff. The department report, the Dean's report, and the summary are provided to the Provost.
8. The Chair and members of the department may express disagreement with the report by writing to the Provost.
9. The Provost provides the report and any disagreement expressed to the President.

**V. RESULTS OF THE REVIEW**

Department Chairs receive acknowledgement letters from the President that recognize their achievements and outline any areas in which change may be desirable.

**APPENDIX 15C**

**DEPARTMENT CHAIR PERFORMANCE EVALUATION**

Chair \_\_\_\_\_ Dean

Department \_\_\_\_\_ College

Administrative Fraction \_\_\_\_\_ Review Period

This review considers the department chair's performance in four major areas of responsibility. The dean should include an evaluation of the chair's effectiveness during the time since the last evaluation. Areas of successful accomplishment and innovation should be mentioned, as well as any suggestions for more effective direction of the department.

1. **Personnel management** (This evaluation should include comments about the chair's role as an advisor to faculty, staff, and students, judgment in personnel decisions, and effective management of human resources.)
  
2. **Curriculum and scheduling** (This consideration should include leadership in developing strong curricula for disciplines in the department, fair assignment of faculty teaching responsibilities, and effective scheduling of class hours, rooms, and faculty.)

3. **Department administration** (This evaluation should include planning and management of department: budgets, supervision of departmental support staff, technicians, and student assistants, efficient use of equipment and supplies, and fostering acquisition of non-state funds and equipment.)

4. **Collegiality and cooperation** (These considerations include leadership in cooperation within the department and with other departments, the Colleges/Schools, the University, and alumni to further the academic and scholarly goals of the institution.)

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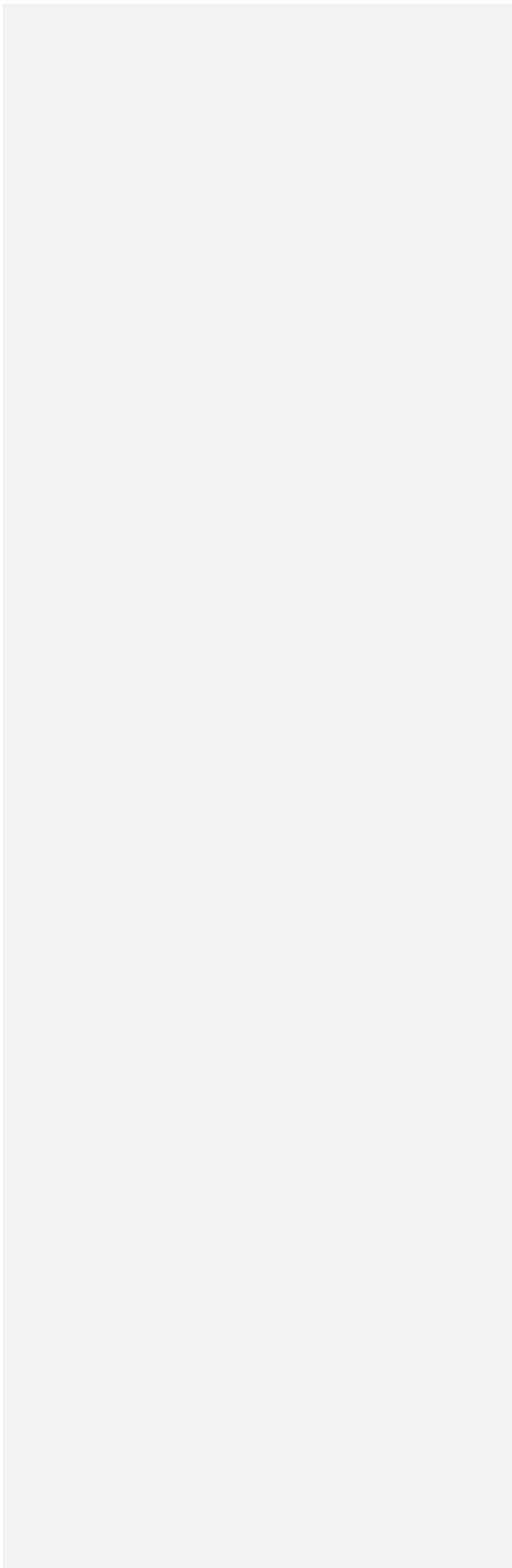
**Department Chair's Response:**

I have read this evaluation.

Signature: \_\_\_\_\_ Date

Comments:

| Dean's Signature: \_\_\_\_\_ - \_\_\_\_\_ Date  
\_\_\_\_\_



**CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA POLICY  
NO: 1328  
(FORMERLY APPENDIX 16)**

**REAPPOINTMENT, TENURE, AND PROMOTION POLICY AND  
PROCEDURES**

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 ~~2012-2014~~2014 - 2018 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).

Faculty Evaluation policy of the University Manual provides official university policy on performance evaluations. 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. 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. The Rose Garden Memorandum is an unofficial guide to all RTP-related policies and procedures. The Rose Garden Memorandum should not be cited as policy; the original sources should be cited.

**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. When the President notifies RTP candidates of final decisions, he/she does so 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.
- 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.**
- 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, the faculty member subject to review (“the candidate”) shall be responsible for the identification of supplementary materials he/she wishes to be considered for review, such as a teaching portfolio and publications, and for the submission of such materials as may be accessible to him/her, as well as materials required by campus policy. (CBA 15.12a) An index of all supplementary materials shall be provided by the candidate in his/her RTP package. All such material shall be made available to evaluators upon request. 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 may be compiled and reviewed in electronic format, pursuant to campus policy. (CBA 15.8)
- Evaluating committees and administrators shall be responsible for identifying and providing materials relating to evaluation required by campus policy but not accessible to the candidate ~~that are not provided by the candidate~~. Any such materials shall be placed in the candidate’s RTP package. (CBA 15.12a) 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.
- Evaluating committees and administrators shall be responsible for identifying and providing materials relating to evaluation required by campus policy but not accessible to the employee.
- 1.6 A specific deadline shall be established by campus policy at which time the RTP package is declared complete with respect to documentation of performance for the purpose of evaluation. 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)
- 1.7 The candidate shall sign and date each page of the RTP package. (This includes all completed pages of the Faculty Performance Review Form and all accompanying materials.) The candidate will sign pages of the Faculty Performance Review Form as they are completed by the candidate or evaluating bodies. The purpose of this provision is to ensure that the candidate is completely aware of the content of the RTP package at all times.
- 1.8 All student evaluations for the period of review shall be included in the RTP package according to the current Unit 3 Collective Bargaining Agreement (CBA 15.15 ~~and 15.12e~~), 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 evaluations according to the guidelines in Section 3.3 below.
- 1.10 Deliberations on reappointment, tenure, and promotion shall be confidential. Access to materials and recommendations pertaining to the candidate shall be limited to the RTP candidate, DRTPC and URTPC members, the department chair (in the case where the chair makes a separate evaluation), appropriate administrators, 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 candidate shall be given a copy of the recommendation, which shall state in writing the reasons for the recommendation. The candidate 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 and also be sent to any previous levels of review. The candidate 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 RTP timelines, as specified in the current University Calendar for RTP Actions, be extended. (CBA 15.5)
- Each RTP committee evaluation report and recommendation shall be approved by a simple majority of that committee. (CBA 15.454)
- 1.13 In the case of a difference of opinion concerning the interpretation of this document, the Executive Committee of the Academic Senate shall recommend an interpretation to the Vice President for Academic Affairs. Such recommendations shall relate to policy of a general nature and not to individual cases, which should be taken through the appeal procedure.
- In each case the question, the interpretation, and subsequent response of the Vice President for Academic Affairs shall be written, distributed to all concerned, and kept on file in the Academic Senate and Academic Affairs offices.
- 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 process has not been completed within the specified period of time, the candidate's RTP package shall be automatically transferred to the next level of review for evaluation and recommendation. In such cases, the candidate shall be so notified. (CBA 15.476)

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 candidate,



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.

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 15.4039b) (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 15.424)
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 15.432)
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 ~~quarter-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 15.443)

## **2.0 DEPARTMENT RTP CRITERIA AND PROCEDURES**

- 2.1 Department RTP criteria must be consistent with university-wide RTP criteria—~~(see section Faculty Evaluation policy of the University Manual)~~; specifically, 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 circumstances: 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 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 his/her peer evaluations.

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 April 1, preceding the academic year that the criteria will be in effect, for review, comment, and forwarding, with recommendations, to the President via the Vice President for Academic Affairs. The CRTPC and the dean each will forward the document to the Vice President for Academic Affairs within sixty days (June 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 Vice President for Academic Affairs. 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 (August 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.

- 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 ~~quarter-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 Vice President for Academic Affairs 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. ~~However, a faculty unit employee in the rank of instructor or librarian-equivalent may be considered for promotion after completing one (1) year of service in rank.~~ 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 he/she is considered for tenure. (CBA 14.2)

The promotion of a tenured faculty unit employee shall normally be effective the beginning of the sixth (6<sup>th</sup>) year after appointment to his/her 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 he/she not be considered. (CBA 14.3)

- 2.6 A candidate may, upon application and with a positive recommendation from his/her 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.

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 ~~before the end of the winter quarter 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 15.432) 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 Vice President for Academic Affairs.
- 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 his/her 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. The DRTPC chair will be the official custodian of the RTP package for the period between the submission of the package to the DRTPC by the candidate and the forwarding of the package to the dean's office. During this period, the DRTPC chair and only the DRTPC chair shall be responsible for additions to the package or any changes in the content of the package and notification of the appropriate committees and/or parties of any additions or changes.

### 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. RTP procedures provide that RTP committees should consider information from students. Guidelines for student involvement in faculty personnel actions are stated in the policy on Student Evaluation of Teaching.
  - 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 is to be submitted at any time during the academic year, with respect to RTP 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.

### 3.3 Peer Evaluation of Teaching

- 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 classroom 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 his/her 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 candidate 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 candidate's response (if any), to the dean/director for placement in the candidate's PAF.
- C. A minimum of ~~one-two~~ peer evaluations ~~per quarter~~ shall be conducted ~~in at least two different quarters in~~ 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 ~~May-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 ~~quarter~~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 CRTPC 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 15.432)
- 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 Vice President for Academic Affairs.
- 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.

## **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 ~~May-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 Vice President for Academic Affairs, who shall arrange for the URTPC to convene and elect its chair before the end of the spring ~~quarter~~term. The Vice President for Academic Affairs will provide each URTPC member with a copy of the Faculty Evaluation policy of the University Manual and 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 four units of assigned time for each year of their term. The chair of the URTPC shall receive a minimum of eight 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.
- H. For the benefit of the candidate, the URTPC may invite the Vice President for Academic Affairs 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.
- 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 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 The period covered by the self-evaluation (“period of review”) should be the time period that has passed since the last application was made for the same or a similar action. Reappointment evaluations are normally based on the previous 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 candidate 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 candidate 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.

- 7.4 When the Vice President for Academic Affairs 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 ~~quarter~~term. The notification will be non-binding.
- B. The Associate Vice President for Faculty Affairs will notify all those eligible for regular RTP consideration no later than the first day of the fall ~~quarter~~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). He/she 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 his/her 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 is off campus, notification must be made by registered mail, return receipt requested. 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 candidate is notified, he/she shall indicate his/her 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 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 his/her RTP package.

- 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.
- J. If the department chair makes a separate recommendation, he/she shall notify each candidate by providing a copy of his/her written statements. If the candidate is off campus, he/she must be notified by registered mail, return receipt requested. When the candidate is notified, he/she shall acknowledge the department chair evaluation and recommendation by signing on the appropriate page of the Faculty Performance Review Form. If the candidate elects to respond to the department chair's recommendation, he/she 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 his/her RTP package. The department chair shall forward his/her recommendation, signed pages of the Faculty Performance Review Form, and the candidate's response directly to the Dean for inclusion in the candidate's RTP package.

7.5 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.

- A. If a candidate appeals to the CRTPC, the department shall forward to the CRTPC

the candidate's RTP package, supplemental reports, responses, rebuttals, appeal documentation, and the relevant department RTP criteria.

- B. Before forwarding its recommendation concerning a candidate's appeal, 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. If the candidate is off campus, he/she must be notified by registered mail, return receipt requested.
- 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 CRTPC chair will be the official custodian of the RTP package for the period between the forwarding of the package to the college RTPC by the department RTPC and the forwarding of the package to the dean's office. If the chair of the CRTPC determines that the package should be held in a department or college office for security reasons the other CRTPC members must have access to the package and the chair remains the only person who may add any items to the package following approval by the URTPC.

- 7.6 The dean shall receive all documentation from the DRTPC and all documentation of those candidates who have appealed to the CRTPC. 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 Vice President for Academic Affairs.

Before forwarding his/her recommendations to the URTPC, the dean shall notify each candidate, the appropriate DRTPC and the CRTPC. Such notification shall consist of a copy of his/her written statements. If the candidate is off campus, he/she must be notified by registered mail, return receipt requested. When the candidate is notified he/she shall indicate his/her reaction to the dean's evaluation and recommendation 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 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 his/her RTP package.

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

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 recommendation, the URTPC shall notify the DRTPC, the department chair, the dean, and the candidate of its recommendation. Such notification shall consist of a copy of the URTPC's written recommendations. 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 his/her RTP package.

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 Vice President for Academic Affairs and shall notify each candidate and the appropriate dean, CRTPC, and DRTPC. Notification shall consist of a copy of the URTPC's written final recommendations.

7.8 The Vice President for Academic Affairs shall review all documentation and prepare his/her recommendations of promotions. The Vice President for Academic Affairs shall forward his/her recommendations to the President.

7.9 Before decisions on promotion and tenure are announced, the President and the Vice President for Academic Affairs 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

- A. 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 he/she appeal as indicated in 8.1.B. below.
- B. Within ten (10) calendar days after receiving notification of the DRTPC's recommendation, the candidate may submit his/her 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.
- C. 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.

### 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 he/she 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 his/her 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 Vice President for Academic Affairs, 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 persons who had been notified of the error.
  - b. If the appropriate party alleges that no error exists, the URTPC will forward to the Vice President for Academic Affairs 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.

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 Vice President for Academic Affairs or his/her designee with the concurrence of the URTPC.

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

## CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA POLICY NO: 1329

### STUDENT EVALUATION OF TEACHING

The purpose of this document is to set forth the University policy and procedures on student evaluation of teaching performance. This policy is consistent with those of the Trustees of the CSU and with the provisions of the current Unit 3 (Faculty) Collective Bargaining Agreement. The guiding principles in establishing these policies and procedures are as follows:

- a. Evaluations by students are only one element to be considered by faculty evaluation committees in assessing the quality of teaching performance of colleagues. Other indexes of the quality of teaching performance include i) direct observations by peers in classroom; ii) judgments about the quality of instructional materials; iii) judgment about the appropriateness of examinations and examination procedures, iv) maintenance of academic standards, etc.
- b. If student evaluation programs for librarian faculty unit employees, counselor faculty unit employees, and coaching faculty unit employees are established, the evaluation process shall be developed by a committee comprised of faculty unit employees and appropriate administrators. (CBA 15.18)
- c. The department faculty is best prepared to judge the quality of teaching by peers;
- d. The department should be given the maximum possible latitude in collecting, assessing and reporting available information on teaching performance consistent with this policy.
- e. Administration of student evaluations shall ensure anonymity of the students participating in the evaluation process. The results of an evaluation shall not be made available to the faculty member being evaluated until after grades for the class have been submitted.
- f. Departmental procedures shall include safeguards which preclude tampering or other activities which may invalidate the results of the evaluation.
- g. Evaluation results should be delivered no later than the end of the second week of the following academic ~~quarter-term~~ subject to the provision under (e) above.
- h. All student evaluations shall be administered between the start of the ~~8<sup>th</sup>-13<sup>th</sup>~~ week and the end of the ~~10<sup>th</sup>-15<sup>th</sup>~~ week of the academic ~~quarter~~semester.

- i. There are two avenues by which students may submit their opinions of teaching performance: official student evaluations and out-of-class evaluation comments. Each of these avenues is addressed separately below (2.0 and 3.0).

### **1.0 Solicitation of Student Evaluations/Comments**

- 1.1 The only professional manner to solicit student opinion on teaching performance for the purpose of peer review is by posting a public announcement, or by publication of such, or by some other means designed to reach students collectively, not individually.
- 1.2 Any solicitation by a faculty member on his/her own behalf, or by a faculty member or administrator on behalf of or against another faculty member is considered unprofessional and is prohibited.
- 1.3 The person assigned the responsibility of administering an in-class course evaluation may stress the importance of participating in the process. To attempt to influence responses to the evaluation instrument is unethical and is prohibited.
- 1.4 A department chair or dean/director may, in response to an unsolicited oral comment from a student, advise the student that any formal consideration of the comment requires that it be reduced to a written, signed statement.

### **2.0 Out-of-Class Evaluation Comments**

At any time a student may submit a letter/petition expressing his/her opinion of the teaching performance of a faculty member. Such a letter/petition must be signed and addressed either to the chair of the appropriate department or to the chair of the appropriate departmental evaluation committee. The letter/petition must include the Bronco Identification Number of all student signators. The department chair/chair of the appropriate department evaluation committee must provide the faculty member with copies of such letters/petitions. The faculty member shall be allowed at least 10 calendar days to provide a rebuttal. Any rebuttal provided by the faculty members shall be attached to the original letter/petition and placed in the faculty member's Personnel Action File (PAF). Letters/petitions received as the result of appropriate solicitations by the evaluation committee (Section 3.2 of Policy 1328 of the University Manual) may be collected and presented as a group to the faculty member.

### **3.0 Official Student Evaluation of Teaching**

All student evaluation summary sheets shall become part of the faculty member's Personnel Action File.

### **3.1 Frequency of Official Student Evaluation**



3.1.1 Student questionnaire evaluations are required for all faculty unit employees who teach (CBA 15.15).

3.1.2 All classes taught by each faculty unit employee shall be evaluated (CBA 15.15). Courses that were not subject to student evaluation by a department prior to Winter Quarter 2013 shall continue to be exempt. Low enrollment class sections (5 or less students) shall also be exempt from this requirement, unless the department by a majority vote of its probationary and tenured faculty members establishes a department policy to evaluate such classes or any other department courses. The department policy may be reviewed and changed by the department on an annual basis by spring ~~quarter term~~ and revisions would apply the following Academic Year. Course evaluation requirements apply equally to probationary, tenured and temporary faculty.

Departments by a majority vote of the probationary and tenured faculty members may submit to the President or her/his designee (CBA 15.15) a request to have fewer classes evaluated and shall include the reasons for the request. If the request is granted fewer classes would be evaluated. Approvals for such requests will be effective for a maximum of five years, subject to renewal.

3.1.3 In special circumstances, a faculty member may request an exemption from having his/her classes evaluated in a certain ~~quarter term~~. This exemption is restricted to conditions interfering with teaching such as prolonged illness, jury duty, maternity/paternity leave, or other events that could significantly affect the faculty member's attendance to his/her assigned classes. The faculty member may make this request to the department chair who, in consultation with the tenured faculty of the department, shall make a recommendation to the President or her/his designee who shall make the final decision regarding the exemption request.

### **3.2 The Evaluation Instruments**

3.2.1 The probationary and tenured faculty of each department or equivalent unit shall design the instruments for official student evaluation. Instruments appropriate to the content, method of instruction, and learning objectives of the course shall be designed by the department. Therefore, there can be more than one instrument used for official student evaluation in a department. Departments are encouraged to ensure that evaluation instruments are reliable and valid for the purpose of collecting data for summative evaluation of faculty. The Faculty Center for Professional Development can provide resources and consultation to this end and faculty are urged to contact the center when developing evaluation instruments.

3.2.2 The instruments shall be in the form of a questionnaire, responses to which are quantifiable such that a numerical summary can be interpreted in relative terms ("excellent", "good", etc.).

- 3.2.3 The instruments shall *not* provide for written student comments. However, outside the official student evaluation process, student opinion may be a source of information for faculty members in making regular assessments of their own teaching performance.

The instruments may be designed for in-class evaluation and administered to an assembled class or for online distant evaluation of the class through the Internet.

### **3.3 Conduct of the Student Evaluations**

Online student evaluations shall be used only for classes that are designated asynchronous local, synchronous local, fully asynchronous, or fully synchronous. Procedures for conducting in-class and online student evaluations should be developed consistent with the following policies.

- a) A brief procedure statement shall be written and approved by each department. For in-class evaluation, the statement shall be distributed or read in class when the student evaluations are conducted. For online evaluation, the statement shall be displayed on the course homepage for a sufficient duration of time prior to the conduct of the survey questionnaire.
- b) The process shall ensure that the evaluation form designated by the department for the class is used for evaluation of the class.
- c) Each in-class evaluation shall be conducted by a person other than the faculty member being evaluated. To ensure the confidentiality of the process, the completed in-class evaluation instruments shall be delivered in a closed and sealed envelope to a location and/or person designated by the department chair.
- d) All evaluations shall ensure that each student can only complete one survey and that students are not allowed to alter their responses after submission.
- e) The process shall produce a numerical summary of the evaluation results showing frequency distribution of responses by category. Printed copies of the summary results shall be produced. One copy of the summary results shall be delivered to the department chair. One copy of the summary results together with the student response to each question in print or electronic form shall be delivered to the faculty member.
- f) For online evaluation, a secured electronic file containing the responses by each student participating in the survey shall be prepared and delivered to the faculty member.

- g) The process shall collect aggregate data on response rate to the survey and report the percentage of the students enrolled in the class who completed the survey on the summary sheet described in (e) above.

### **3.4 Analysis of the Results of Official Student Evaluations**

- 3.4.1 The analysis of the official student evaluations shall consist of a *summary* of the results of the evaluation(s) and an *interpretation* of the results prepared by the department evaluation committee.
- 3.4.2 The summary of the official student evaluations shall be numerical. A computer printout showing frequency distribution of responses to questions by category ("excellent", "good", etc.) shall suffice as the numerical summary.
- 3.4.3 The evaluation committee's interpretation of the results of the student evaluation for evaluation of faculty performance shall be a written statement, prepared by the department evaluation committee based on the summaries, which identifies the level of performance in terms of departmental standards of expectation. The interpretation shall be an explicit statement which conveys the committee's opinion of the meaning of the summaries upon which it is based. Departmental committees are urged to strive to use best practices in interpreting student evaluation data to create their statements. The Faculty Center for Professional Development can provide resources and consultation to this end.
- 3.4.4 Interpretation of the results of student evaluations for evaluation of the faculty performance is the responsibility of the appropriate department evaluation committee. Evaluation committee members must not participate in the interpretation of their own evaluations.
- 3.4.5 The department evaluation committee may develop a composite interpretation of the summaries prepared over the period of time since the last peer evaluation, or it may prepare an interpretation for each class evaluated. In the case of a composite interpretation, the statement must include a list by course/section/~~quarter-term~~ taught of those evaluations being considered.

### **3.5 Disposition of Analysis**

- 3.5.1 No analysis or other evaluation material shall be given to a faculty member before grades for the class evaluated have been submitted.
- 3.5.2 The analyses of results of all official student evaluations shall be placed in the PAF of the affected faculty member. A faculty member shall not have the option to choose those analyses to be placed in his/her PAF.

- 3.5.3 The faculty member shall be provided a copy of the analyses before they are placed in the PAF; he/she may rebut any summary or interpretation, or make any comment upon the results of the evaluation within seven days after receiving a copy of the results. Any rebuttal or comment submitted must also be placed in the PAF.
- 3.5.4 Normally only the analysis of the results of evaluations shall be physically placed in the PAF.
- 3.5.5 Original copies of questionnaires for in-class evaluations and the electronic file of student responses for online evaluations become the property of the faculty member evaluated.

### **3.6 Use of the Analyses**

The analyses of the results of student evaluation of teaching serve as one of the elements by which peer review committees evaluate the quality of teaching performance. They are a source of information contained in the PAF available to RTP committees, post-tenure review committees, temporary faculty review committees, and other committees of tenured faculty charged with recommending actions based in part or wholly upon teaching performance.

**CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA  
POLICY NO: 1332**

**TEMPORARY FACULTY RANGE ELEVATION**

**1. Eligibility**

Temporary faculty who (a) are not eligible for more SSI's in their current range and (b) will have been employed in their current range for at least five years by the end of the academic year are eligible for Range Elevation. The Associate Vice President for Faculty Affairs shall notify eligible lecturers and explain the application process by December 1 of each year.

Commented [HS1]: I think this is OK!

**2. Application**

Applications shall be accepted between December 15 and January 31+5 of each year. Any lecturer who by the end of the academic year will have met the eligibility criteria should apply during this period. The application shall consist of a written letter or memorandum clearly stating the applicant's request. This shall be accompanied by a vita and a description of professional development in support of lecturer work assignments, both updated from the initial appointment or last range elevation, whichever is more recent.

**3. Procedures and Evaluation Process**

Eligible individuals must apply by January 31+5 or wait until a later year. Applications are submitted by the individual candidate to the department chair. The department shall form a committee of at least three faculty members to review the application. All selected committee members must be tenured faculty. The committee shall be formed and the application shall be given to the committee by the chair by February 15. The committee shall evaluate the lecturer's application for range elevation, and supporting documentation. The committee shall have 14 days (all time frames refer to calendar days rather than working days, but may be extended for holidays) to review the application after receiving it from the chair. The committee shall write an evaluation and make a recommendation in memo format to the dean of the department's college. The chair may perform a separate review if he or she did not serve on the committee. The recommendations shall be reviewed by the candidate within a ten (10) calendar day period, during which the candidate may submit a written response if desired. After review by the candidate, the recommendations (and candidate response, if any) shall be forwarded to the dean. The dean shall review the recommendations of the department and also make a recommendation within 14 days. A copy of the dean's recommendation shall be sent to the candidate who shall have ten (10) calendar days to respond in writing. The recommendations and candidate responses (if any) shall then be forwarded to the Associate Vice President for Faculty Affairs for recommendation to the President who shall make the final decision with respect to the request for range elevation.

Commented [HS2]: This roughly 11 days after the beginning of the winter quarter and should be moved about the same timeline as the beginning of Spring semester.

If there are too few department members eligible to form a committee, the College RTP

Committee or equivalent will appoint faculty members from outside the department until there are three committee members.

#### 4. Criteria for Range Elevation

Whereas (a) good teaching is of fundamental importance in the evaluation of all faculty members, and (b) in order to ensure good teaching, it is essential that faculty remain competent in the fields in which they teach, it is necessary that continued competence be demonstrated in evaluations for range elevations. At advanced levels of academia, competence is assessed via scholarship in the field. It is recognized that scholarship is broadly defined at Cal Poly Pomona, and includes the scholarship of teaching.

In addition to teaching and demonstration of continued competence, lecturers shall be evaluated on other assigned duties that are contained either in their contract or letter of appointment. No lecturer shall be required to perform service if service is not an assigned duty.

Departments shall establish their own guidelines for range elevation decisions, subject to approval by the Associate Vice President for Faculty Affairs. The committee that deals with range elevation requests may make use of existing annual evaluations to the extent that they feel they are adequate.

#### 5. Appeals

Range elevation applications that are denied may be appealed pursuant to **Article 12** of the contract. Appeals shall be submitted to the Associate Vice President for Faculty Affairs within 14 days of candidate notification. A peer panel selected by the President by April 10 shall review appeals. The peer panel shall notify the applicant of its decision within 14 days of receiving the appeal from the Associate Vice President for Faculty Affairs, and the appeal panel's decision is final as per **section 12.20** of the contract.

**Commented [HS3]:** Same delay from the beginning of the term should be added here.

## CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA POLICY NO: 1375

### SABBATICAL LEAVE POLICY

Every effort has been made to ensure compliance between this policy and the current Unit 3 (Faculty) Collective Bargaining Agreement. However, this policy should not be considered as a substitute for Article 27 or any other part of the agreement that affects Faculty Sabbatical Leave.

#### 1.0 General Provisions

- a. Sabbatical leaves shall be for the purposes that provide a benefit to Cal Poly Pomona, such as research, scholarly and creative activity, instructional improvement, faculty retraining, and professional development of faculty members as teachers and scholars.
- b. Sabbatical Leaves may be granted for one ~~quarter-semester~~ in length with full pay, ~~or two quarters at 75% pay or three quarters~~ semesters at 50% pay.
- c. Subject to provisions 3.0e through 3.0g of this policy, all applications for sabbatical leave for ~~three-quarter~~ two semesters in length shall be approved.
- d. In each academic year, the minimum number of sabbatical leaves granted for leaves of one ~~or two-quarter~~ semester in length shall be 12% of the number of faculty eligible to apply, except as noted in 3.0j. of this policy.
- e. Sabbatical leaves of two ~~or three-quarter~~ semesters in length may be implemented within two consecutive academic years subject to the recommendations by the Department Chair in consultation with the Faculty, the Professional Leave Committee, the Provost, and the approval of the President.
- f. Recipient of a sabbatical leave shall not accept additional and/or outside employment during the leave period without prior approval by the Provost.
- g. Faculty on a sabbatical leave shall be excused from all other responsibilities during the period of the leave.
- h. Faculty on a sabbatical leave shall not be eligible to serve on any peer review committee during the period of the leave without prior approval by the Provost.
- i. A recipient of a sabbatical leave may alter the leave proposal before the leave has begun or during the leave, subject to submission of an amended written

proposal and positive recommendations from the Department Chair in consultation with the Faculty, the Professional Leave Committee, and approval of the Provost.

- j. If a faculty member declines to accept an approved sabbatical leave, the Provost shall consider any leave applications which were not approved and ensure that provision 1.d of this policy is met.
- k. Recipients of sabbatical leaves shall be considered in work status and shall receive health, dental and appropriate fringe benefits by the CSU. These individuals shall also be entitled to accrue sick leave, vacation, and service credit toward service salary increase eligibility, eligibility toward promotion, if applicable, and seniority.
- l. A faculty member shall render service to the California State University upon return from a sabbatical leave at the rate of one ~~quarter-term~~ of service for each ~~quarter-term~~ of leave.
- m. If a faculty unit employee occupies a split position with both academic year and 12-month components, the higher appointment time base will normally be used to establish whether the faculty unit employee is placed into an academic year position or a 12-month position for the duration of the sabbatical. Upon request of the faculty unit employee and approval of the appropriate administrator, a faculty unit employee whose majority appointment is on a 12-month basis may be assigned to an academic year position for the duration of the sabbatical. (CBA 27.14).
- n. The start date of the sabbatical for a 12-month faculty employee with instructional responsibilities shall coincide with the start date of the appropriate academic term (CBA 27.12).

## 2.0 Eligibility

- a. A full time faculty member shall be eligible for a sabbatical leave if he/she has served full-time for six (6) years at Cal Poly Pomona in the preceding seven (7) years prior to the leave and at least six (6) years after any previous sabbatical or difference in pay leaves. Credits granted toward the completion of the probationary period for service elsewhere shall also apply towards fulfilling the eligibility requirements for a sabbatical.
- b. Tenure is not a requirement for sabbatical leave and therefore full-time lecturers and probationary faculty meeting the eligibility requirements may also apply.



- c. Participants in Pre-Retirement Reduction in Time Base (PRTB) Program and in Faculty Early Retirement Program (FERP) are not eligible for sabbatical leave.

### 3.0 Application and Review Process

- a. No later than beginning of the ~~fifth-third~~ week of the spring ~~quartersemester~~, the Associate Vice President of Academic Planning, Policy and Faculty Affairs shall:
  - 1. Identify and inform in writing all faculty members eligible to apply for a sabbatical leave in the next academic year.
  - 2. Establish the official University schedule for the sabbatical leave application and review process. Inform all faculty members eligible to apply for a sabbatical leave through campus e-mail.
  - 3. Provide a copy of this policy to all faculty members eligible to apply for a sabbatical leave through campus e-mail.
  - 4. Make available copies of successful applications from the previous three years and inform faculty members eligible to apply for sabbatical leave of the availability and process for accessing these applications.
- b. Eligible persons desiring a sabbatical leave shall submit an application in accordance with the established schedule.
- c. All applications shall be submitted on the official University form (~~Appendix 26A~~Policy 1376) through campus e-mail.
- d. The completed application shall be e-mailed to the faculty member's Department Chair/Unit Director in accordance with the established University schedule.
- e. The Department Chair/Unit Director in consultation with the Faculty shall complete the Department Chair/Unit Director's Statement form in ~~Appendix 26A~~University Policy 1376 regarding the possible effect on the curriculum and/or the operation of the department/unit should the employee be granted a sabbatical. The Department Chair/Unit Director shall forward the application packages to the Dean/Director's Office through campus email in accordance with the established university schedule.
- f. The Dean/Director shall evaluate all college applications using the Dean/Director evaluation form in ~~Appendix 26A~~Policy 1376. Dean/Director evaluations and recommendations shall be forwarded to the University

Professional Leave Committee via the Associate Vice President (AVP) for Academic Planning, Policy and Faculty Affairs.

- g. The University Professional Leave Committee shall review all sabbatical applications under provisions of section 4.0 of this policy and submit a recommendation to the Provost in writing. The written recommendation shall include reasons for approval or denial.
- h. The Provost shall make a recommendation to the President regarding the sabbatical leave application, after considering the recommendations pursuant to 3.0f and 3.0g of this policy and consideration of other campus program needs and campus budget implications.
- i. The President shall make a final determination regarding the sabbatical leave and conditions of such an approved leave pursuant to provisions 3.0-f, 3.0g, and 3.0h of this policy. The President shall respond in writing to the applicants and such response shall include the reasons for approval or denial. The reasons for denial shall address the merits of the application under the evaluation criteria in section 4.0 of this policy. If a sabbatical leave is granted the response shall include any conditions of such a leave. A copy of the President's response shall be forwarded to the faculty member's Department and the University Professional Leave Committee.
- j. If a sabbatical leave is denied based on factors other than the merit of the proposal, and such denial results in fewer sabbaticals being awarded than the 12% of eligible faculty, upon request of the faculty member, the sabbatical leave shall be deferred until the following academic year. If the underlying conditions supporting the proposal remain in effect, these applications shall be granted in the following year. Sabbaticals deferred shall be counted in the year they are taken. If a sabbatical leave was denied in the immediate year prior due to the factors identified as having a possible effect on the curriculum and/or the operation of the department/unit, should the employee be granted a sabbatical (3.0(e) above), an application for a sabbatical submitted for the following academic year shall not be denied based on these factors. (CBA 27.8)

#### **4.0 Evaluation of Applications**

- a. The AVP for Academic Planning, Policy, and Faculty Affairs will provide the Professional Leave Committee with the evaluation materials used by the committee in previous years. The Professional Leave Committee shall develop appropriate evaluation standards and methodology for assessing the quality applications. The standards shall as a minimum include the dimensions of appropriateness, benefits, and feasibility of each proposal. The committee shall rank the applications based on the evaluation criteria.

- b. The Professional Leave Committee shall develop an appropriate timeline for evaluating all applications consistent with the official university schedule.
- c. Evaluation Criteria
  1. Appropriateness. Appropriate sabbatical leave may include the following projects. The list implies no order of importance.
    - I. Studies leading to increased mastery of the applicant's own field.
    - II. Studies leading to the development of new areas of specialization.
    - III. Studies leading to significant improvements in curricula.
    - IV. Studies leading to a command of advanced methods of teaching.
    - V. The pursuit of a scholarly research or creative project of a scope or nature not feasible through a normal workload assignment.
    - VI. The pursuit of a professional goal that requires extensive travel.
  2. Benefits. Sabbatical leave activities shall demonstrate clear promise of producing results beneficial to one or more of the following: the University, the faculty member's professional development as a teacher and scholar, the faculty discipline, and students.
  3. Feasibility. The sabbatical leave proposals shall:
    - I. Clearly define and articulate the project objectives.
    - II. Include a well-defined project plan that describes the project activities illustrating, when needed, preliminary arrangements, contacts, prior research, etc.
    - III. Include an appropriate timeline indicating that the proposed project cannot be accomplished in less than the leave time and can be completed in the time requested.

## **5.0 Professional Leave Committee**

- a. The University Professional Leave Committee shall be composed of one representative from each of the academic colleges, library, and Counseling and Psychological Services. Election to the committee shall be for a term of two years with approximately half of the committee elected each year.
- b. The Provost shall designate a representative from Academic Affairs to participate as an ex-officio non-voting member.
- c. Those eligible for election to the University Professional Leave Committee are tenured faculty unit employees who have taken sabbatical leaves in the last three years. Eligible faculty unit employees may nominate themselves or may be nominated by any other faculty unit employee. If a constituency area were not to have candidates who are eligible for election, other candidates

from the same constituency area who are tenured faculty unit employees may be nominated. However, a faculty member applying for the sabbatical leave shall not be eligible to serve on the University Professional Leave Committee.

- d. The election of the University Professional Leave Committee shall be conducted during spring ~~quarter~~ semester of each academic year with the newly elected members assuming their responsibilities in the fall ~~quarter~~ semester of the next academic year. The nominees with the second highest vote shall become the alternate and will replace the committee member from that constituency should resignation occur. Those eligible to vote are probationary and tenured faculty, librarians, and counselors of the respective constituency.
- e. The chair of the University Professional Leave Committee shall be elected by the majority vote of the members of the committee.

## 6.0 Acceptance of Sabbatical Leave and Indemnification of the State

- a. Faculty granted a professional leave with pay shall submit a formal acceptance on the official University form (~~Appendix 26B~~ Policy 1384).
- b. Final approval of a sabbatical leave shall not be granted until the applicant has filled a suitable bond or an accepted statement of assets (not including PERS holdings) and/or a promissory note that is individually or collectively equal to the amount of salary paid during the leave. The guarantee posted shall indemnify the State of California against loss in the event the employee fails to render the required service in the CSU following the return of the employee from sabbatical leave. The guarantee posted shall immediately be cancelled in full upon completion of required service or upon waiver of that service by mutual agreement of the faculty member and the CSU.

## 7.0 Post Sabbatical Report

- a. Each recipient of a sabbatical leave, within ~~ten~~ fifteen (~~10~~ 15) weeks of the completion of a sabbatical leave shall submit to the Provost and the University Professional Leave Committee a written report of the leave. The report shall be placed in the Personnel Action File (PAF) of the recipient.
- b. The report shall as a minimum include:
  1. The accomplishments of the leave in relation to the original proposed goals.
  2. Original proposed goals that were not accomplished and the reason why.
  3. Any ~~Deviations~~ deviations from the original goals and the circumstances that necessitated it.

4. Anticipated outcomes of the leave activities in near future, if appropriate.

**CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA  
POLICY NO: 1376**

**FACULTY PROFESSIONAL LEAVE WITH PAY REQUEST  
SABBATICAL LEAVE APPLICATION FORM**

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INSTRUCTIONS

1. Complete the information below. Page 26A1376-1 shall serve as the cover sheet to your request.
2. Prepare a summary of your leave proposal on Page 26A1376-2. This summary should serve as a quick reference to the principal features of your leave proposal.
3. Prepare a statement explaining the nature of the proposed program including the items listed on Page 26A1376-3.
4. Attach a résumé or c.v.

SEE APPENDIX 26POLICY 1375-, UNIVERSITY MANUAL, FOR LEAVE REQUEST PROCEDURE AND ARTICLES 27 AND 28 OF THE UNIT 3 (FACULTY) COLLECTIVE BARGAINING AGREEMENT.

COMPLETED APPLICATION MUST BE SUBMITTED THROUGH CAMPUS E-MAIL TO THE DEPARTMENT CHAIR IN ACCORDANCE WITH THE ESTABLISHED UNIVERSITY SCHEDULE. FACULTY OF COUNSELING AND PSYCHOLOGICAL SERVICES (CAPS) SHOULD E-MAIL THEIR APPLICATION TO THEIR DIRECTOR. THE DEPARTMENT CHAIR SHALL SUBMIT THROUGH CAMPUS E-MAIL THE APPLICATION ALONG WITH THE COMPLETED DEPARTMENT CHAIR STATEMENT FORM TO THE DEAN IN ACCORDANCE WITH THE ESTABLISHED UNIVERSITY SCHEDULE.

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**Candidate Information**

Name \_\_\_\_\_

Academic Rank \_\_\_\_\_

Department \_\_\_\_\_ College/Library/CAPS \_\_\_\_\_

Date Appointed to Full-Time Position \_\_\_\_\_

List ~~quarters~~ semesters requested for Sabbatical Leave

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## **SUMMARY OF LEAVE PROPOSAL**

PLEASE LIMIT YOUR RESPONSES TO THE SPACES PROVIDED.

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### **GOALS AND OBJECTIVES**

### **PLAN OR SCHEDULE FOR ACHIEVING GOALS**

(e.g., study plan, highlights of travel and meeting itinerary, writing schedule, course work, etc.)

### **ANTICIPATED RESULTS OF LEAVE**

(e.g., titles or topics of expected books, journal articles, manuals, art work, lectures, etc.)

### **ADDITIONAL COMMENTS**

(e.g., special institutional arrangements, invitations, graduate admissions or progress)

## **SABBATICAL LEAVE PROPOSAL**

Attach a statement explaining the nature of the proposed program, showing how the candidate and University will benefit as a result of the experience to be gained by the candidate during the leave. The statement shall address all items shown below as applicable. Attach copies of any documents that would clearly support your proposal.

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1. Purpose of leave and anticipated results.
2. Explain the benefits of the leave to the University, the faculty's professional development as a teacher and scholar, the faculty discipline, and students.
3. Extent of travel — dates and itinerary, if applicable.
4. Schools, agencies, industries, etc., where study or travel is planned, status of preparation required prior to leave, if applicable.
5. Auspices under which study is to be done. Provide available documentation. Attach copies of appropriate letters of invitation, correspondence with cooperators or institutes, graduate student agreements, if applicable.
6. Nature, amount, and sources of anticipated supplementary support (such as travel funding, research fellowship, research grants), if applicable.
7. Why are you asking for a leave at this time?
8. Your academic preparation and professional experience applicable to proposed program.
9. Indicate any previous work or preparation in direct support of your proposed leave program (include pertinent dates, arrangements or agreements, indications of progress, etc.). (if applicable)
10. Project plan describing the project activities and timeline.



**SABBATICAL LEAVE  
DEPARTMENT CHAIR EVALUATION FORM**

Applicant Name: \_\_\_\_\_ Proposal Title: \_\_\_\_\_

Please check the following as appropriate:

\_\_\_\_\_ I have consulted with the Department faculty regarding the impact of the sabbatical leave request on the department course offerings and operation.

\_\_\_\_\_ Academic ~~quartersemester~~(s) requested for the sabbatical leave does not have a significant impact on the department course offerings and operation

\_\_\_\_\_ Academic ~~quartersemester~~(s) requested for the sabbatical leave has an unmanageable impact on the department course offerings and operation. The Department recommends that the applicant change the requested leave ~~quartersemester~~(s) to \_\_\_\_\_

PLEASE PLACE AN "X" IN THE BOX THAT BEST REPRESENTS YOUR RATING OF THIS PROPOSAL

EVALUATIVE CRITERIA	Unacceptable	Poor	Fair	Good	Excellent	No Basis	Comments
Appropriateness of the activity for a sabbatical leave							
Feasibility of proposed activities (including clarity of objective and project timeline)							
Benefits to faculty development, university, and students							
Qualifications of proposer to execute proposed plan							
Reasonableness of resources requested (justifies budget and/or time requests)							

Additional Comments: Please restrict your comments to no more than five sentences.

Department Chair Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**SABBATICAL LEAVE  
DEAN/DIRECTOR EVALUATION FORM**

Applicant Name: \_\_\_\_\_ Proposal Title: \_\_\_\_\_

PLEASE PLACE AN "X" IN THE BOX THAT BEST REPRESENTS YOUR RATING OF THIS PROPOSAL

EVALUATIVE CRITERIA	Unacceptable	Poor	Fair	Good	Excellent	No Basis	Comments
Appropriateness of the activity for a sabbatical leave							
Feasibility of proposed activities (including clarity of objective and project timeline)							
Benefits to faculty development, university, and students							
Qualifications of proposer to execute proposed plan							
Reasonableness of resources requested (justifies budget and/or time requests)							

Additional Comments: Please restrict your comments to no more than five sentences.

**Signature of Dean/Director:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA**  
**POLICY NO: 1377**

**DIFFERENCE IN PAY LEAVE POLICY**

Every effort has been made to ensure compliance between this policy and the current Unit 3 (Faculty) Collective Bargaining Agreement (CBA). However, this policy should not be considered as a substitute for Article 28 or any other part of the CBA that affects faculty difference in pay leave.

**1.0 General Provisions**

- a. Difference in pay leaves shall be for the purposes that provide a benefit to Cal Poly Pomona, such as research, scholarly and creative activity, instructional improvement, faculty retraining, and professional development of faculty members as teachers and scholars.
- b. A difference in pay leave may be approved for one or more ~~quarters~~ semesters or months as appropriate to the appointment.
- c. The salary for a difference in pay leave for a faculty unit employee shall be the difference between the faculty employee's salary and the minimum salary of the instructor rank. The salary for a difference in pay leave for a librarian employee shall be the difference between the librarian employee's salary and the minimum salary of the lowest comparable time base librarian rank. The salary for a difference in pay leave for a counselor employee shall be the difference between the counselor employee's salary and the minimum salary of the instructor rank at the comparable time base.
- d. Recipients of a difference in pay leave shall not accept additional and/or outside employment during the leave period without prior approval by the Provost.
- e. Faculty on a difference in pay leave shall be excused from all other responsibilities during the period of the leave.
- f. Faculty on a difference in pay leave shall not be eligible to serve on any peer review committee during the period of the leave without prior approval by the Provost.
- g. A recipient of a difference in pay leave may alter the leave proposal before the leave has begun or during the leave, subject to submission of an amended written proposal and positive recommendations from the Department Chair/Unit Director, the Department Leave Committee, and approval of the Provost.
- h. Recipients of a difference in pay leave shall be considered in work status and shall receive health, dental and appropriate fringe benefits by the CSU. These individuals shall also be entitled to accrue sick leave, vacation, and service credit toward merit salary adjustment eligibility, eligibility toward promotion, if applicable, and seniority credit.

- i. A faculty member shall render service to the California State University upon return from a difference in pay leave at the rate of one ~~quarter-term~~ of service for each ~~quarter-term~~ of leave.

## **2.0 Eligibility**

- a. A full-time faculty unit employee shall be eligible for a difference in pay leave if s/he has served full-time for six (6) years at Cal Poly Pomona in the preceding seven (7) year period prior to the leave. Credit granted towards the completion of the probationary period for service elsewhere shall also apply towards fulfilling the eligibility requirements for a difference in pay leave. The faculty member will be eligible for a subsequent difference in pay leave after s/he has served full-time for three (3) years after the last sabbatical leave or difference in pay leave and has satisfied the obligation in 5.0(b) (CBA 28.4, 28.16).
- b. Tenure is not a requirement for a difference in pay leave and therefore full-time lecturers and probationary faculty meeting the eligibility requirements may also apply.
- c. Participants in Pre-Retirement Reduction in Time Base (PRTB) Program and in Faculty Early Retirement Program (FERP) are not eligible for a difference in pay leave.

## **3.0 Application and Review Process**

- a. No later than beginning of the ~~fifth-third~~ week of the spring ~~quartersemester~~, the Associate Vice President of Academic Planning, Policy and Faculty Affairs shall:
  1. Identify and inform in writing all faculty members eligible to apply for a difference in pay leave in the next academic year.
  2. Establish the official University schedule for the difference in pay leave application and review process. Inform all faculty members eligible to apply for a difference in pay leave through campus e-mail.
  3. Provide a copy of this policy to all faculty members eligible to apply for a difference in pay leave through campus e-mail.
  4. Make available copies of successful applications from the previous three years and inform faculty members eligible to apply for a difference in pay leave of the availability and process for accessing these applications.
- b. Each department will elect a Department Leave Committee consisting of a minimum of three tenured faculty elected by the probationary and tenured

faculty of the department. Faculty applying for a difference in pay leave shall not be eligible to serve on this committee.

- c. Eligible faculty desiring a difference in pay leave shall submit an application in accordance with the established schedule.
- d. All applications shall be submitted on the official University form (~~Appendix 25A~~Policy 1378) through campus e-mail to the Department Chair/Unit Director
- e. The Department Chair/Unit Director shall forward the -completed application to the Department Leave Committee that shall complete the evaluation in ~~Appendix 25A~~Policy 1378 and forward its recommendation to the Dean/Director.
- f. The Department Chair/Unit Director in consultation with the Faculty shall complete the Department Chair/Unit Director's Statement form in ~~Appendix 25A~~Policy 1378 regarding the possible effect on the curriculum and/or the operation of the department/unit should the employee be granted a difference in pay leave. The Department Chair/Unit Director shall forward the statement to the Dean/Director.
- g. The Dean/Director shall evaluate all college difference in pay applications using the Dean/Director evaluation form in ~~Appendix 25A~~Policy 1378. Dean/Director evaluations and recommendations shall be forwarded to the President -or designee via the Associate Vice President (AVP) for Academic Planning, Policy, and Faculty Affairs.
- h. The President or designee shall make a final determination regarding the difference in pay leave and conditions of such an approved leave pursuant to provision 5.0 of this policy. The President shall respond in writing to the applicants and such response shall include the reasons for approval or denial. The reasons for denial shall address the merits of the application under the evaluation criteria in section 4.b. of this policy. If a leave is granted the response shall include any conditions of such a leave. A copy of the President's response shall be forwarded to the faculty member's Department Leave Committee, -the Department Chair/Unit Director, and the Dean/Director.

#### **4.0 Evaluation of Applications for Difference in Pay Leave**

- a. The Department Leave Committee shall develop appropriate evaluation standards and methodology for assessing the quality of applications submitted via form in ~~Appendix 25A~~Policy 1378. The standards shall as a

minimum include the dimensions of appropriateness, benefits, and feasibility of each proposal.

b. Evaluation Criteria

1. Appropriateness. An appropriate difference in pay leave may include the following projects - the list implies no order of importance:
  - I. Studies leading to further development in the applicant's own field.
  - II. Studies leading to the exploration of new areas of specialization.
  - III. Studies leading to improvements in curricula.
  - IV. Studies leading to an improvement in the applicant's methods of teaching.
  - V. The pursuit of a scholarly research or creative project.
  - VI. The pursuit of a professional goal that requires extensive travel.
2. Benefits. Difference in pay leave activities shall demonstrate clear promise of producing results beneficial to one or more of the following: the University, the faculty member's professional development as a teacher and scholar, the faculty discipline, and students.
3. Feasibility. The difference in pay leave proposals shall:
  - I. Clearly define and articulate the project objectives.
  - II. Include a well-defined project plan that describes the project activities illustrating, when needed, preliminary arrangements, contacts, prior research, etc.
  - III. Include an appropriate timeline indicating that the proposed project cannot be accomplished in less than the leave time and can be completed in the time requested.

**5.0 Acceptance of Difference in Pay Leave and Indemnification of the State**

- a. Faculty granted a difference in pay leave with pay shall submit a formal acceptance on the official University form ([Appendix 26B Policy 1384](#)).
- b. Final approval of a difference in pay leave shall not be granted until the applicant has filed a suitable bond or an accepted statement of assets and/or a promissory note that is individually or collectively equal to the amount of salary paid during the leave. The guarantee posted shall indemnify the State of California against loss in the event the employee fails to render the required service in the CSU following the return of the employee from difference in pay leave. The faculty member shall render service to the CSU at the rate of one term of service for each term of leave upon return from the difference in pay leave (CBA 28.16). The guarantee posted shall immediately be cancelled in full upon completion of required service or upon waiver of that service by mutual agreement of the faculty member and the CSU.

## 7.0 Post Difference in Pay Leave Report

- a. Within ~~fifteen~~ (15) weeks of the completion of a difference in pay leave, each recipient of a difference in pay leave shall submit to the Provost and the Department Leave Committee a written report of the leave. The report shall be placed in the Personnel Action File (PAF) of the recipient.
- b. The report shall as a minimum include:
  1. The accomplishments of the leave in relation to the original proposed goals.
  2. Original proposed goals that were not accomplished and the reason why.
  3. Any deviations from the original goals and the circumstances that necessitated it.
  4. Anticipated outcomes of the leave activities in the near future, if appropriate.

**CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA  
POLICY NO: 1378**

**FACULTY PROFESSIONAL LEAVE WITH PAY REQUEST  
DIFFERENCE IN PAY LEAVE APPLICATION FORM**

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INSTRUCTIONS

1. Complete the information below. Page 25A1378-1 shall serve as the cover sheet to your request.
2. Prepare a summary of your leave proposal on Page 25A1378-2. This summary should serve as a quick reference to the principal features of your leave proposal.
3. Prepare a statement explaining the nature of the proposed activities or project including the items listed on Page 25A1378-3.
4. Attach a résumé or c.v.

SEE APPENDIX 25POLICY 1377, UNIVERSITY MANUAL, FOR LEAVE REQUEST PROCEDURE AND ARTICLE 28 OF THE UNIT 3 (FACULTY) COLLECTIVE BARGAINING AGREEMENT.

COMPLETED APPLICATIONS FOR BOTH ON-CYCLE AND OFF-CYCLE (CBA 28.6) DIFFERENCE IN PAY LEAVE REQUESTS MUST BE SUBMITTED THROUGH CAMPUS E-MAIL TO THE DEPARTMENT CHAIR/DIRECTOR. THE DEPARTMENT CHAIR/DIRECTOR SHALL SUBMIT THROUGH CAMPUS E-MAIL THE APPLICATIONS TO THE DEPARTMENT LEAVE COMMITTEE. ON-CYCLE DIFFERENCE IN PAY LEAVE REQUESTS SHALL FOLLOW THE ESTABLISHED UNIVERSITY SCHEDULE.

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**Candidate Information**

Name \_\_\_\_\_

Academic Rank \_\_\_\_\_

Department \_\_\_\_\_ College/Library/CAPS \_\_\_\_\_

Date Appointed to Full-Time Position \_\_\_\_\_

List quarters-semesters requested for Difference in Pay Leave

\_\_\_\_\_



## **SUMMARY OF LEAVE PROPOSAL**

PLEASE LIMIT YOUR RESPONSES TO THE SPACES PROVIDED.

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### **GOALS AND OBJECTIVES**

### **PLAN OR SCHEDULE FOR ACHIEVING GOALS**

(e.g., study plan, highlights of travel and meeting itinerary, writing schedule, course work, etc.)

### **ANTICIPATED RESULTS OF LEAVE**

(e.g., titles or topics of expected books, journal articles, manuals, art work, lectures, etc.)

### **ADDITIONAL COMMENTS**

(e.g., special institutional arrangements, invitations, graduate admissions or progress)

|

## **DIFFERENCE IN PAY LEAVE PROPOSAL**

Attach a statement explaining the nature of the proposed program, showing how the candidate and University will benefit as a result of the experience to be gained by the candidate during the leave. The statement shall address all items shown below as applicable. Attach copies of any documents that would clearly support your proposal.

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1. Purpose of leave and anticipated results.
2. Explain the benefits of the leave to the University, the faculty's professional development as a teacher and scholar, the faculty discipline, and students.
3. Extent of travel — dates and itinerary, if applicable.
4. Schools, agencies, industries, etc., where study or travel is planned, status of preparation required prior to leave, if applicable.
5. Auspices under which study is to be done. Provide available documentation. Attach copies of appropriate letters of invitation, correspondence with cooperators or institutes, graduate student agreements, if applicable.
6. Nature, amount, and sources of anticipated supplementary support (such as travel funding, research fellowship, research grants), if applicable.
7. If the timing of the leave is critical, please provide an explanation. The explanation is optional for on-cycle difference in pay leave requests.
8. Your academic preparation and professional experience applicable to proposed program.
9. Indicate any previous work or preparation in direct support of your proposed leave program (include pertinent dates, arrangements or agreements, indications of progress, etc.). (if applicable)
10. Project plan describing the project activities and timeline.

**DIFFERENCE IN PAY LEAVE  
DEPARTMENT CHAIR STATEMENT**

Applicant Name: \_\_\_\_\_ Proposal Title: \_\_\_\_\_

Please check the following as appropriate:

- | \_\_\_\_\_ Academic quartersemester(s) requested for the difference in pay leave does not have a significant impact on the department course offerings and departmental operations.
- | \_\_\_\_\_ Academic quartersemester(s) requested for the difference in pay leave has an unmanageable impact on the department course offerings and departmental operations. The Department recommends that the applicant change the requested leave quartersemester(s) to \_\_\_\_\_

Additional Comments:

**Department Chair Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**DIFFERENCE IN PAY LEAVE  
DEPARTMENT LEAVE COMMITTEE EVALUATION FORM**

Applicant Name: \_\_\_\_\_ Proposal Title: \_\_\_\_\_

Please provide your comments below (attach additional sheets as necessary):

**Evaluative Criteria**

1. Appropriateness of the activity for a difference in pay leave
  
2. Benefits to faculty development, university, and students
  
3. Feasibility of proposed activities (including qualification of proposer, clarity of objective, project timeline, and budgetary resources)

Additional Comments:

**Recommend Difference in Pay Leave:**      Yes \_\_\_\_\_                      No \_\_\_\_\_

**Signatures of Department Leave Committee Members**

Chair, Department Leave Committee	Date	Member	Date
Member	Date	Member	Date
Member	Date	Member	Date

**DIFFERENCE IN PAY LEAVE  
DEAN/DIRECTOR EVALUATION FORM**

Applicant Name: \_\_\_\_\_ Proposal Title: \_\_\_\_\_

Please provide your comments below (attach additional sheets as necessary):

**Evaluative Criteria**

1. Appropriateness of the activity for a difference in pay leave
  
2. Benefits to faculty development, university, and students
  
3. Feasibility of proposed activities (including qualification of proposer, clarity of objective, project timeline, and budgetary resources)

Additional Comments:

**Recommend Difference in Pay Leave:**      Yes \_\_\_\_\_      No \_\_\_\_\_

**Signature of Dean/Director:** \_\_\_\_\_      **Date:** \_\_\_\_\_

**CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA  
POLICY NO: 1382**

**OFF-CYCLE DIFFERENCE-IN-PAY LEAVE REQUEST  
PROCEDURE**

This policy is based upon current applicable CSU policy and upon Article 28 of the Unit 3 Collective Bargaining Agreement. It concerns only difference-in-pay leaves for faculty, counselors, coaching employees, and librarians that satisfy the criterion *an unexpected opportunity, such as external funding, a scholarship or fellowship*. Eligibility for such leaves is defined in the University policy on Professional Leaves-with-Pay and Sections 27.2 and 28.4 of the CBA. Please see the appropriate sections of the University Manual and Articles 22 and 27 of the Unit 3 Collective Bargaining Agreement for information on sabbatical leaves and professional leaves of absence without pay.

**I. REQUESTS FOR DIFFERENCE-IN-PAY LEAVE**

Eligible persons desiring a DIP leave shall submit a request to the Department Chair. The request must be submitted on the official University Professional Leave Request Form in Policy 1383.

**II. OFF-CYCLE DIFFERENCE-IN-PAY LEAVE PROCEDURES**

Upon receipt of a request for an "off-cycle DIP leave" the department chair will convene a Departmental Committee of at least three members. Those eligible for election to the committee are tenured faculty unit employees who are not applying for a difference-in-pay leave. The Committee is elected by the probationary and tenured faculty unit employees in the department. The Committee will review the proposal of the DIP applicant in an expeditious manner and forward a recommendation to the Department Chair. The Department Chair recommends to the Dean or appropriate administrator, the Dean or administrative administrator to the Provost, and the Provost to the President. All recommendations will proceed in an expedited manner so as to respond in a timely fashion to the unexpected opportunity.

The Committee is responsible for judging the merits of all applications for difference-in-pay leaves on the basis of the following criteria: professional benefits to the applicant and University; merits of the proposal; qualifications of the applicant; and quality of expected outcomes. In addition, the Committee or Department Chair shall provide a statement to the Dean regarding the potential effect on the curriculum and the operation of the department should the employee be granted a difference-in-pay leave.

The University Professional Leave Committee will approve or disapprove reports from faculty returning after difference-in-pay leave as specified in

Policy 1377 of the University Manual. □

### **III. ACCEPTANCE OF LEAVE**

Faculty granted a professional leave with pay must submit a formal acceptance on the official University Difference-in-Pay Acceptance form in Policy 1384.

**CALIFORNIA STATE POLYTECHNIC UNIVERSITY POMONA  
POLICY NUMBER: 1384**

**ACCEPTANCE OF PAID PROFESSIONAL LEAVE**

1. Name: \_\_\_\_\_

2. Department: \_\_\_\_\_

3. Type of Leave     Sabbatical         Difference-in-Pay

4. Period of Leave:    (check appropriate semester quarter[s])

Fall     ~~Winter~~     Spring    --    ~~2016~~2018-17-19 Academic Year

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I understand that this leave is granted pursuant to Articles 25, 27 and 28 of the Unit 3 Collective Bargaining Agreement. In accordance with the appropriate sections of the CBA and with University policy, I accept this leave and agree to the following conditions:

A. \_\_\_\_\_ I will furnish the University a bond to indemnify the State of California against loss in the event that I do not return to render one ~~quarter~~ semester of service in the California State University for each semester~~quarter~~ of leave. (CBA 27.9 and 28.11)

OR

B. \_\_\_\_\_ I request that the University waive said bond. I agree to return to the service of the CSU and to render one term of service for each term of leave after I have returned from the leave granted me. In support of this request, I submit the following list of assets (the value of which is in excess of that salary I will receive during the leave) as evidence of my capacity to indemnify the State of California against loss in the event that I fail, through fault of my own, to fulfill this agreement. (CBA 27.9 and 28.11)

**Description of Attachable Assets:**

(For sabbatical leaves - do not include balance in PERS account as an attachable asset.)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



- C. Before the last day of instruction of the academic ~~semester~~quarter I resume normal duties, I will submit to the Vice President for Academic Affairs via my department chair and the college dean, a report of the results of my activities during the leave. The purpose of the report is: a) to demonstrate that I have worked toward completion of the goals of my leave proposal and, therefore, that my activities were consistent with appropriate use of state funds, and b) to share the knowledge of my activities with the University community.
- D. During the leave period, I will not continue activities or assignments with any committee, task force, consortium, etc., at any level unless approved by the Professional Leave Committee and the Vice President for Academic Affairs.
- E. During the leave period, I will not accept additional and/or outside employment without prior approval of the Vice President for Academic Affairs. (CBA 27.18 and 28.14)
- F. During the leave period, I will file travel authorization paperwork for any travel related to my professional leave activities.

**NOTARIZATION REQUIRED**

State of California

County of \_\_\_\_\_

Subscribed and sworn to (or affirmed) before me on this \_\_\_\_\_ day of

\_\_\_\_\_, 20\_\_\_\_, by \_\_\_\_\_,

*Signature of Recipient*

proved to me on the basis of satisfactory evidence to be the person(s) who appeared before me.

(SEAL)

Signature \_\_\_\_\_