

CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA  
ACADEMIC SENATE

FACULTY AFFAIRS COMMITTEE

REPORT TO

THE ACADEMIC SENATE

FA-004-910

University Manual: Editorial Changes to Existing Faculty-Related Policies

Faculty Affairs Committee

Date:

Executive Committee  
Received and Forwarded

Date: 3/3/10

Academic Senate

Date: 4/14/10  
First Reading

## **Referral**

University Manual: Editorial Changes to Existing Faculty-Related Policies

## **Background**

The following policies (see recommended resources) were identified by Hassan Halati as needing editorial changes. These policies were identified as part of the University Manual project in Summer 2009. The Executive Committee would like the Faculty Affairs Committee to examine each of these policies to ensure they reflect current policy for inclusion into the online version of the University Manual.

## **Resources**

Faculty Affairs Committee, Claudia Pinter-Lucke,

## **Discussion**

None

## **Recommendation**

The Faculty Affairs Committee is currently reviewing the policy on student grievances. Any changes to the policy may potentially affect Policy No: 1351 entitled "Faculty Rights when Students grieve". The committee will review policy 1351 after completion of its review of the new policy on student grievance.

The current policy on Professional Leave request Procedure applies to both sabbatical and Difference in Pay (DIP) leaves, the committee recommends that a separate policy for DIP Leave be developed as the evaluation criteria outlined in the collective bargaining agreement is different than sabbatical leaves.

Policies:

Policy NO: 1316; Appointment of Acting Department Chair for Summer Quarter  
Policy NO: 1307; Appointment to Academic-Administrative Positions Covered by the MPP  
Policy NO: 1398; Compensation from Sources Other than University  
Policy NO: 1306; Academic Department Chair Appointment  
Policy NO: 1331; Evaluation of Academic Administrators  
Policy NO: 1313; Faculty Return Rights  
Policy NO: 1382; Off-cycle Difference-in-Pay Leave Request Procedure  
Policy NO: 1314; Probationary Appointments  
Policy NO: 1377; Professional Leave Request Procedure (Sabbatical and Difference-in-Pay)

Policy NO: 1391; Recognition of Retirement  
Policy NO: 1328; Reappointment, Tenure, and Promotion Policy and Procedures  
Policy NO: 1392; Separation for Lack of Funds or Lack of Work  
Policy NO: 1416; Taping of Lectures

be amended as follows.

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

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

When it is necessary to appoint an acting department chair for the summer quarter, 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 summer quarter. 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 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, 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 in question, may be formulated, initiated and/or modified by a summer quarter acting department chair without written consultation and approval of a majority of all the tenure-track full-time faculty of that department.

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**CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA**

**POLICY NO: 1307**

**APPOINTMENT TO ACADEMIC-ADMINISTRATIVE POSITIONS COVERED  
BY THE MPP**

**1.0** Appointment

The president shall make all appointments to academic-administrative positions subject to provisions of Management Personnel Plan (MPP) Appointments and Faculty Return Rights Policies.

Employees on management assignment may include, in addition to vice presidents and deans, those who have an administrative assignment which may be full or part-time and which is temporary or of indefinite term. Examples are acting deans, associate deans, associate vice presidents, some directors.

**2.0** Return to Teaching

The academic employee who accepts an academic-administrative assignment shall have the right to return to teaching under the provisions of the Faculty Return Rights Policy.

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**CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA  
POLICY NO: 1398**

**COMPENSATION FROM SOURCES OTHER THAN UNIVERSITY**

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When any outside activity on behalf of the university will result in income to the individual, that person must consult with his/her department chair or immediate superior and Associate Vice President for Faculty Affairs to eliminate possible conflict with state regulations. (

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Individuals performing officially assigned duties which benefit an outside agency may accept expense fees from that agency. Individuals filing expense claims against another agency shall submit such claim through their college dean or appropriate administrator. If such an expense claim is filed against another agency, no claim may be filed for the same expense against any university administered funds.

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**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. If possible, the Chair should be a tenured professor. The selection will take place according to the following procedures.

For the purposes of this appendix, the term “faculty” will refer to the tenured faculty, probationary faculty, faculty members participating in the Faculty Early Retirement Program (FERP) during the period of active employment, and fulltime lecturers with at least one year of fulltime service in the department. These are the faculty members eligible to participate in the selection of the Chair.

The academic 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 permanent 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 Chair selection, including the question of whether an outside search is possible. At this meeting, the Dean will articulate the 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 38 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, nonvoting 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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¶  
The president is responsible for the appointment and supervision of department chairs and they serve at his/her pleasure. ¶  
301.41 Appointment of Department Chairs ¶  
The president appoints the department chairs upon the recommendation of the dean of the college and the provost and academic vice president. The recommendation of the dean and provost shall be made after consultation with the department as provided by university procedures. (See Appendix 15, the Academic Department Chair.) ¶

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## 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.
- D. 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.
- E. 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 Acting Chair for one year or until such time as the new Chair is appointed.

## III. SERVICE

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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.

#### IV. 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.

#### V. REVIEW PROCEDURE

- A. By means of the procedure specified in the policy entitled “Performance Review of the Department Chair”, 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, twenty five percent or a minimum of two, whichever is greater, of the faculty of that department may petition the Academic Senate Executive Committee to appoint a referee who will chair a meeting of the faculty of that department to review the performance of the Department Chair.
1. At some time during this meeting, and as one of his/her duties, the referee shall conduct a secret ballot of the eligible faculty of that department to answer the question: How many faculty members desire to forward to the President a recommendation for the immediate removal of the Department Chair?
  2. The results of the election and a summary report of the events of the meeting prepared by the referee shall be sent to the President with copies to the Provost, the Dean, the department faculty (including the Chair) and to the Academic Senate Executive Committee.

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#### VI. TENURE AND PROMOTION

Tenure and promotion considerations shall adhere to the provisions of “reappointment, Promotion, and Reappointment Policy and Procedures.”

#### VII. 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.

In each case, the question and the interpretation and the Provost's response shall be written, distributed to all concerned, and kept on file in the Academic Senate and Academic Affairs offices.

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**CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA**  
**POLICY NO: 1331**  
**EVALUATION OF ACADEMIC ADMINISTRATORS**

Evaluation policy and procedures for academic administrators is set forth in the University Management Personnel Plan (See policy on MPP Evaluations). Academic Administrators with return teaching rights, shall apply for tenure and promotion in their home departments as provided for in Retention, Tenure and Promotion Policy and Procedure, Section 1.103.

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**CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA**  
**POLICY NO: 1313**

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**FACULTY RETURN RIGHTS,**

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Faculty return rights (“teaching return rights”) refer to the right of an administrator or other university employee to assume full-time duties as a faculty (Unit 3) member. Faculty return rights are established by the President.

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I. Designation of Faculty Return Rights

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A. Appointees from Outside the University - The President may designate faculty return rights to appointees from outside the university provided that the tenured faculty members of the affected department or equivalent unit have been consulted. Consultation with the department shall include the opportunity for the tenured faculty to review the academic credentials of the potential appointee and to interview the candidate. The tenured faculty shall consider the acceptability of the candidate as a potential faculty member and shall submit its opinion in writing to the President.

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B. University Faculty – Cal Poly Pomona faculty members appointed to administrative or other non-faculty positions by the President shall retain return rights to home departments.

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II. Faculty Duties and Advancement

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Appointees with faculty return rights are not required to perform faculty duties unless such duties are specifically designated as part of the administrative or other assignment. They may, to the extent permitted by the President, engage in teaching or other activities not in conflict with appropriate agreements and policies. Appointees with return rights shall request consideration for RTP actions in accordance with applicable provisions of the university Reappointment, Tenure, and Promotion Policy and Procedures. Appointees who anticipate requesting tenure or promotion consideration should consult with the home academic department on the application of department criteria in their own cases.

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III. Exercise of Faculty Return Rights

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An appointee may announce at any time in writing to the President an intention to exercise faculty return rights. Moreover, the President may direct at any time that an appointee return to a full-time faculty position. The effective date of resuming faculty duties shall be determined by the President and shall be no later than one year from the date of expressed intention. Return to the faculty carries with it rank and tenure granted prior to or during service in the administrative or other designated position.

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**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, coaches, 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 University policy on Leaves of Absence Without Pay and Article 22 of the Unit 3 Collective Bargaining Agreement for information on 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.

**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.

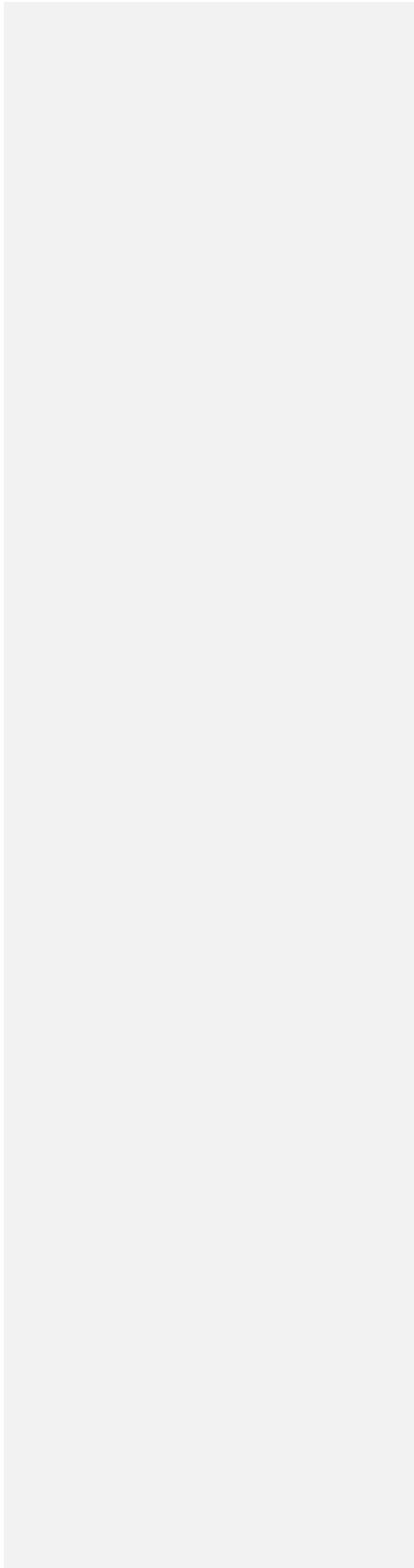
The University Professional Leave Committee will approve or disapprove reports from faculty returning after difference-in-pay leave.

**IV. ACCEPTANCE OF LEAVE**

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

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CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA  
POLICY NO: 1314

PROBATIONARY APPOINTMENTS

a. Initial probationary appointments and subsequent probationary appointments may be for a period of one or more years. Recommendations regarding probationary appointments shall originate at the department or equivalent unit. Probationary appointment procedures shall follow the provisions in Recruitment and Appointment of Tenure-line Faculty.

Probationary appointments are normally made at the assistant professor or equivalent librarian rank. The president may appoint an employee at a higher rank. (See Unit 3 CBA, Sections 12.21-12.23)

When a faculty member is appointed with certain specific stipulations which will prevail in later decisions on reappointment and/or tenure, these stipulations shall be made to the faculty member in writing prior to his/her formal acceptance of the appointment. However, no stipulations shall be made which will bind the recommendations of committees in ways that circumvent established rules and procedures.

The President, upon recommendation by the affected department or equivalent unit, may grant to a faculty member at the time of initial appointment to probationary status up to two years service credit for probation based on previous service at a postsecondary education institution, previous full-time CSU employment, or comparable experience. A year of service for a faculty member in an academic year position is any three quarters in a period of four consecutive quarters. A year of service for a faculty member in a twelve month position is any consecutive twelve months of full-time employment. A year of service for a faculty member in a ten month position is ten months of full-time employment within a twelve month period of time. The ten months of required service for each twelve month period shall be determined by the president upon appointment of the faculty member. (See Unit 3 CBA, Section 13.4 and 13.6)

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<#>each department or equivalent unit shall elect a committee of tenured faculty for the purpose of reviewing and recommending individuals for probationary appointments. ¶  
each departmental committee recommendation report shall be approved by a simple majority of the committee casting a vote. An abstention shall count as a negative vote

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

**PROFESSIONAL LEAVE REQUEST PROCEDURE (SABBATICAL)**

This procedure is based upon current applicable CSU policy and upon Articles 27 and 28 of the Unit 3 Collective Bargaining Agreement (CBA). It concerns only paid professional leaves for faculty, librarians and counselors: sabbatical and difference-in-pay. 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 University policy on Leaves of Absence without Pay and Article 22 of the Unit 3 Collective Bargaining Agreement for information on professional leaves of absence without pay.

**I. Requests for Leave**

Eligible persons desiring a leave of absence with pay shall submit a request in accordance with the schedule in Part III below. The request must be submitted on the official University Professional Leave Request Form during the Fall Quarter of the academic year preceding that in which the person wishes to take a leave. The original and 9 copies of the request shall be forwarded via the dean/director to Academic Affairs. The Provost will make available copies of successful proposals from the previous three years.

**II. Professional Leave Committee**

The Provost/designee will direct the administrative activities connected with sabbatical and difference-in-pay leaves. The Professional Leave Committee is composed of one representative from each of the academic colleges, and the library. Election to the Professional Leave Committee will be for two years with approximately half of the committee elected each year. In addition, the Provost will designate a representative from Academic Affairs to participate as a non-voting member. Those eligible for election to the committee are tenured faculty unit employees who have taken professional leaves in the last three years. Eligible faculty unit employees may nominate themselves or may be nominated by any other faculty unit employee. If an area were not to have candidates who are eligible, candidates from the affected area who are tenured faculty unit employees may be nominated. If there are no nominations from an area, the Executive Committee of the Academic Senate will nominate three eligible candidates.

The election will be conducted during Spring Quarter with the newly elected members assuming their responsibilities in the Fall. The candidate with the second highest vote will become the alternate and will replace the committee member from that constituency should resignation occur. Those persons eligible to vote are probationary and tenured faculty and librarians of the respective constituency.

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The Professional Leave Committee is responsible for judging the merits of all applications for sabbatical and 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.

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The Committee's review will be based upon an evaluation of the written request and an interview of the candidate.

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The Professional Leave Committee forwards to the Provost a ranked list of faculty and librarians whom it recommends be granted paid leaves.

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The Professional Leave Committee will reconvene when final reports are due, to approve or disapprove the reports from faculty returning after leave.

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### III. Request Schedule

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A. Applicants will submit their requests to the Dean/Director by the first campus business day in November. Each request must be accompanied by a letter from the applicant's department chair regarding possible effect on the department curriculum and operations should the sabbatical be granted. Department chairs should work to coordinate requests for professional leaves so that the number of leaves subsequently awarded will minimize adverse consequences on curriculum and resources.

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B. The Dean/Director will forward the request to the Provost within one week after the first business day in November. Each request must be accompanied by a letter of evaluation from the applicant's Dean/Director.

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C. The Professional Leave Committee will interview candidates according to a schedule set by the Committee. (Applicants will be notified of their interview date.)

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D. The Professional Leave Committee will send its recommendations to the Provost by December 15.

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E. The Provost will notify the candidates of the decisions by February 1.

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F. Candidates whose requests are denied may submit a written request for reconsideration to the Provost by March 1. The Provost shall respond to the request for reconsideration by April 1.

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Note: An official schedule consistent with A-F will be established by the Office of Academic Affairs early Fall Quarter of each year.

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#### IV. Acceptance of Leave

Faculty granted a professional leave with pay must submit a formal acceptance on the official University [Professional Leave with Pay Acceptance form](#). Acceptance of a leave with pay is subject to the conditions and agreements specified in [the form](#).

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**CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA**  
**POLICY NO: 1391**

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**RECOGNITION OF RETIREMENT**

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When a faculty member, librarian, coach, or counselor retires, the Academic Senate institutes procedures for the recognition of the retiree.

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**1.0** Faculty Emeritus and Librarian Emeritus

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Upon the recommendation of the faculty affairs committee, the president in the name of the university confers the title of professor emeritus, associate professor emeritus, assistant professor emeritus or lecturer emeritus on retiring faculty members, and librarian emeritus or associate librarian emeritus on retiring librarians.

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Twelve years of university service at the time of retirement is considered the normal measure of eligibility for emeritus status. A lesser period of service may be considered in instances of exceptional contribution to the university.

**2.0** Professional Areas (Coaching and Counseling Services) Emeritus

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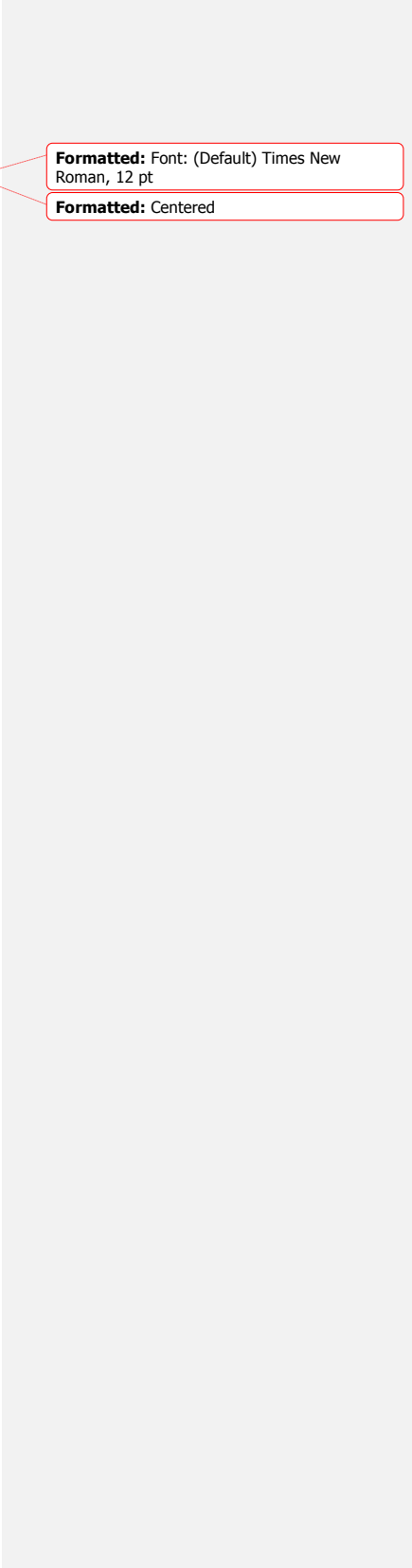
Upon the recommendation of the faculty affairs committee, the president in the name of the university confers the title of (THE APPROPRIATE SPECIFIC TITLE WILL BE INSERTED) on retiring professionals of the related areas constituency of the academic senate.

Twelve years of university service at the time of retirement is considered the normal of eligibility for emeritus status. A lesser period of service may be considered in instances of exceptional contribution to the university.



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**CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA**  
**POLICY NO: 1392**

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**SEPARATION FOR LACK OF FUNDS OR LACK OF WORK**

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It is university policy to provide stability of employment by foreseeing and avoiding unnecessary reductions in faculty. However, when this not possible, due to lack of funds or lack of work, the faculty shall be reduced in accordance with policies and procedures contained in Article 38 of the Collective Bargaining Agreement (CBA).

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**CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA**  
**POLICY NO: 1328**

**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 2007-2010 CBA in this appendix 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.

**11.0 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

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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. 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, 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.

Evaluating committees and administrators shall be responsible for identifying and providing materials relating to evaluation 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.

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. (CBA 15.12b)

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.

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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 15.12c), 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 11,800). 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 15.42)

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.

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

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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 evaluations and recommendation. In such cases, the candidate shall be so notified. (CBA 15.44)

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In the unusual circumstance where an extension of a deadline is required due to circumstances beyond the individual's control (the individual may be the 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 11.112.

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

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1.17 Eligibility for RTP Activities

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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."

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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 15.37b) (See Section 11.301)

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B. Eligibility Constraints

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1. No tenured faculty member may serve on more than one RTP committee level during any given RTP cycle. (CBA 15.39)

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 15.40)
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 or more, be unavailable or ineligible should not be nominees for CRTPCs or the URTPC.

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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 15.41)

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## 2.0 DEPARTMENT RTP CRITERIA AND PROCEDURES

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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.

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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).

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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.

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Explicit criteria must be elaborated for the following actions: reappointment, tenure, early tenure, promotion (by academic rank), and early promotion (by academic rank). Reappointment criteria should clearly address the necessity of progress toward satisfying the criteria for tenure; that is, they should establish a progressively more rigorous set of expectations during the probationary

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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.

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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.

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

C. The Department RTP Document will be reviewed at least once every five years by the department. The document may be reviewed more frequently on the request of the department or dean. If revisions are deemed necessary, they shall be presented to the department for ratification no later than March 1. Revisions to the Department RTP Document shall go through the same process as in Section 2.1A, above, for review and approval.

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D. The department chair shall make available, no later than 14 days after the first day of fall quarter 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. (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.

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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.

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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.

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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)

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The promotion of a tenured faculty unit employee shall normally be effective the beginning of the sixth (6th) 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 In some circumstances, a candidate may, upon application and with a positive recommendation from his/her department or equivalent unit, be considered for early promotion and/or early tenure. Such requests must be initiated by the candidate in accordance with and follow the regular RTP procedures.

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

Criteria for early actions shall place emphasis on teaching and shall require exceptional performance or extraordinary qualifications with regard to scholarly and creative activities, and service to the university and profession.

DRTPC recommendations shall include material relating specifically to the approved department RTP criteria.

### **3.0 DEPARTMENT RTP COMMITTEE**

#### **3.1 Committee Structure and Function**

- A. The department RTP committee (DRTPC) shall consist of full-time, tenured and FERP faculty members elected by probationary and tenured faculty. (See Section 1.17) The minimum size for a DRTPC shall be: three (3) for departments with seven (7) or fewer full-time faculty eligible to serve, five (5) for departments with eight (8) to seventeen (17) full-time faculty eligible to serve, seven (7) for departments with eighteen (18) or more full-time faculty eligible to serve. A DRTPC may be larger than these minima at the discretion of the faculty, as provided in Section 3.1 C below.
- 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 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 15.40) 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.

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- 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 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 3.1G 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.

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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.

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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 class room visit is to take place. There shall be consultation between the faculty member being evaluated and the individual who visits his/her class(es). 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 peer evaluation 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.

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## 4.0 COLLEGE RTP COMMITTEE

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4.1

The college RTP committee (CRTPC) shall consist of either three or five 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 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.

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. No CRTPC member may serve more than four consecutive years.

D. A member of the DRTPC is ineligible to serve simultaneously on the CRTPC.

E. Candidates being considered for promotion are ineligible for service on promotion or tenure RTP committees. (CBA 15.40)

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. If there is an insufficient number of faculty available to serve on the CRTPC for all or some aspects of its work, the URTPC, after consultation with the DRTPC chairs and the dean, will recommend to the Vice President for Academic Affairs faculty members from related departments to supplement the CRTPC.

I. 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.

J. If a CRTPC member is unable to serve for any reason, the URTPC shall name a replacement to serve until such time as the elected member returns or until the next regular election of CRTPC members.

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**5.0 UNIVERSITY RTP COMMITTEE**

5.1 The university RTP committee (URTPC) shall consist of one faculty member from each college. Library and Counseling and Psychological Services (CAPS) shall have joint representation by one faculty member until there are four tenured faculty members in CAPS.

- A. The URTPC shall assume the responsibilities 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 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. The Vice President for Academic Affairs will provide each URTPC member with a copy of [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. No member may serve more than four consecutive years.
- E. Members are ineligible to serve on department or [College RTP Committee](#).
- F. If a URTPC member is unable to serve for any reason, the Executive Committee of the Academic Senate shall recommend to the Vice President for Academic Affairs a replacement to serve until such time as the elected member can return or the next regular election of URTPC members.
- G. 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.

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

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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.

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

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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.

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

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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.

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**7.0 RTP PROCEDURES**

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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.

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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.

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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.

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

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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

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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).

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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. The notification will be non-binding.

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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.

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.

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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.

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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 7.4D above.

G. Any member of the DRTPC may file a supplementary report. Supplementary reports, if submitted, must accompany the recommendation in question and must have been made available to all members of the DRTPC and to the candidate.

H. If the department chair makes a separate recommendation, 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.

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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.

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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 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.

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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.

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

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

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The URTPC has five (5) functions in RTP processes: (1) Monitor the general operation of the RTP process, ensure compliance with the spirit and intent of this policy, the policy on Student Evaluation of Teaching, and the CBA and

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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.

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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 recommendation. 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.

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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,

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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.

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~~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.

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## ~~8.0~~ **APPEALS**

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### ~~8.1~~ Appeal of Department Recommendations

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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.

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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.

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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.

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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 8.2B 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.

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

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~~8.4~~ The Appeals Section ~~8.0~~ applies to all RTP recommendations.

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~~9.0~~ **AMENDMENTS TO THIS POLICY**

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~~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.

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

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**CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA  
POLICY NO: 1416**

**TAPING OF FACULTY LECTURES**

Disabled students may tape faculty lectures of any classroom presentation. If students identify themselves as disabled and ask permission to tape lectures or classroom presentations, the instructor may ask them to sign a "limited release statement" that the tapes of lectures would be used only by the student and only for class purposes.

For all other students, instructors may, but are not required to, permit taping, either audio or video, of their lectures or any classroom presentation. In the case of visiting or guest lecturers, the discretion rests with the person actually making the presentation.

If instructors grant permission they should do so in writing, specifying the limitations they may wish to place upon the use and further distribution of the taped material.

