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A special thanks to San Diego State University’s Faculty Advancement staff for allowing the use of materials from their department chair handbook.
LEGAL DISCLAIMER

The contents of this document are meant as a guide for department chairs. This handbook may contain information that is not current and may not be applicable to every situation encountered by a chair. It is meant to provide helpful resources and suggestions to chairs and does not replace existing CPP policies and/or CSU system wide policies and procedures.
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CHAPTER I
ROLE AND RESPONSIBILITY OF CHAIRS

The chair or head of a department… serves as the chief representative of the department within an institution…. Board, administration, and faculty should all bear in mind that the department chair or head has a special obligation to build a department strong in scholarship and teaching capacity.

American Association of University Professors (AAUP) Statement on Government of Colleges and Universities
http://www.aaup.org
April 19, 2004

The roles and functions of department chairs and directors are addressed only briefly in the Cal Poly Pomona (CPP) Academic Manual and in the Collective Bargaining Agreement (CBA) between the California State University (CSU) and the California Faculty Association (CFA). The statement above, strong and succinct, is found in a document that was jointly formulated by the AAUP, the American Council on Education (ACE), and the Association of Governing Boards of Universities and Colleges (AGB) and endorsed or adopted by each in 1966. CPP is a member of ACE and the AAUP was one of the Confederation of Faculty Associations—the original CFA. The entire paragraph from which the above quote was taken states:

The chair or head of a department, who serves as the chief representative of the department within an institution, should be selected either by departmental election or by appointment following consultation with members of the department and of related departments; appointments should normally be in conformity with department members’ judgment. The chair or department head should not have tenure in office; tenure as a faculty member is a matter of separate right. The chair or head should serve for a stated term but without prejudice to reelection or to reappointment by procedures which involve appropriate faculty consultation. **Board, administration, and faculty should all bear in mind that the department chair or head has a special obligation to build a department strong in scholarship and teaching capacity.** (Emphasis Added)

This statement is consistent with CPP and CSU policy (CPP Policy Nos. 1306 and 1326) documents and can, when interpreted in the context of CPP’s Mission, Values & Vision & Learning Outcomes, provide considerable direction to CPP department chairs.
Position Description

Department chairs are faculty members of a department and have all the rights and responsibilities of a faculty member. Department chairs serve as liaisons between the faculty and the administration, communicating the department’s needs to the administration, and keeping the faculty and staff informed of university policies, procedures, and initiatives. Of primary importance is their ability to provide effective leadership and direction for academic programs, foster productive communication within the department, and facilitate the department’s goals in all areas of responsibility. Ensuring student success is another key aspect of the department chair role. Managing the department’s resources – human, fiscal, and physical – are central to this endeavor. In addition, chairs represent the department to outside constituencies in an effort to build relationships that strengthen program offerings and benefit the community.

It is in the best interests of the department and the academic programs, that department chairs operate within the principles of shared governance. Maintaining positive working relationships with the faculty and staff is of utmost importance. Communication should be open, honest, principled, and operate on a two-way exchange where faculty and department chair input is sought and respected.

Duties of the Department Chair

The academic department chair in conjunction with the department faculty shall discharge the following duties in accordance with established policies and procedures of the department, college, university, and the CSU system. It is the responsibility of the department chair to keep the faculty informed of departmental business.

A. Planning, Curriculum and Instruction

1. Assure development and direction of quality academic programs.
2. Facilitate long-range academic planning.
3. Work with department faculty in academic program planning and review.
4. Work with department faculty in curriculum development, review, and revision. Initiate and/or recommend changes in departmental curriculum.
5. Implement periodic reviews of the department’s curricular offerings and its contribution to the General Education program.
6. Lead the department in carrying out required external reviews of curricula and assessment of student learning outcomes.
7. Work with faculty to create and maintain curricula that meet accrediting and licensing standards, where appropriate.
8. In consultation with the faculty and dean, develop course schedules that reflect the department’s range of course offerings and other related
activities, the needs of students, faculty professional development needs, and the mission of the department, college, and university.

9. Supervise the operation of department-related activities, such as clinics and laboratories.

10. Initiate and facilitate long-range curricular and strategic planning.

11. Work with the university articulation officer and others to review and maintain articulation agreements with community colleges and universities within the CSU system.

**B. Faculty Affairs and Professional Development**

1. Foster high-quality learning and teaching in the department.

2. Provide guidance to faculty, as needed, regarding the teaching, research, and service components of their workload.

3. Encourage and support faculty professional development including faculty applications for grants and sponsored research.

4. Assist probationary faculty in understanding the evaluation process and criteria for reappointment, tenure, and promotion and in presenting accurate and effective Working Personnel Action Files (WPAFs).

5. Be actively involved as a member of the Department Reappointment, Tenure and Promotion (RTP) committee in the review of faculty RTP files, or, if not a member of the Department RTP committee, provide a separate letter of recommendation for faculty members undergoing retention, tenure, or promotion cycles.

6. Exercise leadership in recruiting tenure-track faculty. Specifically, ensure that requests for positions are appropriately submitted, search and peer review committees elected, candidates interviewed, and appointments recommended, all in accordance with university policies and procedures (CPP Policy No. 1311; CPP Faculty Recruitment Handbook).

7. In conjunction with the faculty, review and maintain a current pool of potential candidates for temporary faculty positions.

8. Evaluate temporary faculty according to college and university policies and provide feedback to these individuals.

9. Keep faculty members informed of department, college, and institutional plans, activities, and expectations.

10. Mediate conflicts and attempt to resolve problems among faculty, students, and staff.

11. Foster collaborative and productive relationships with and between faculty and departments.
C. Department Governance

1. Be available throughout the work week to attend to daily business of the department and to meet student needs.
2. Schedule regular faculty meetings, and chair them.
3. Attend all meetings of college chairs, and share information from those meetings back to the department faculty and staff.
4. Ensure proper maintenance of departmental records, including the security of those documents deemed sensitive or confidential.
5. Promote open communication and encourage faculty involvement in the advancement of the department.
6. Work with faculty to develop and implement a strategic plan designed to meet the department’s mission and goals.
7. Coordinate faculty involvement in non-elective department responsibilities.
8. In consultation with the faculty, establish department committees.
9. Represent the department to the dean and campus community.

D. Budgeting and Resources

1. Manage department activities to meet Full Time Equivalent Student (FTES) targets.
2. Coordinate the development of department budgetary plans and other resource requests and ensure that proper records are maintained on these matters.
3. Administer the department budget.
4. Work with appropriate university administrators in planning for use of new facilities.
5. Oversee the ordering of department equipment and supplies.
6. Oversee the administration of grants within the department.
7. Develop and implement appropriate procedures for the use, maintenance, and repair of equipment.
8. As designated by the dean, allocate faculty and graduate student offices.

E. Promote Student Success

1. Promote department activities (competitions, awards, scholarships, speakers, professional organizations, clubs) to help recruit and retain potential majors and minors.
2. Encourage student participation in international experiences.
3. Encourage student participation in research activities.
4. Work with all parties who advise students. Facilitate resolution of administrative difficulties students may encounter.
5. Consider and respond to student comments and suggestions about courses, instructors, and programs.
6. Respond to student requests for waiver of department regulations, independent study proposals, internships, and related special student concerns.
7. Attempt to resolve complaints, differences, or grievances between students and faculty, and/or provide referrals or notify others of such complaints in accordance with university policies and procedures.
8. Ensure an effective and ongoing student advisement program for the department.
9. Oversee the maintenance of advising and curriculum materials.
10. Advise students at the undergraduate, graduate, and credentials levels concerning degree requirements and career objectives.
11. Ensure active involvement of the department in annual advising events such as transfer orientation.
12. Ensure effectiveness of faculty advising, by securing their training as needed.
13. Participate in and facilitate the participation of others in departmental and college recruitment, retention, and graduation efforts.
14. Communicate the department’s academic goals, offerings, and requirements to prospective and current students.
15. Design course schedules to offer classes that will facilitate the timely graduation of students.

F. Faculty – Temporary

1. Keep temporary pools refreshed.
2. Ensure that temporary faculty are oriented to the goals of the department and the mission of the university.
3. Counsel faculty regarding the criteria upon which their performance will be evaluated.
4. Follow the Collective Bargaining Agreement (CBA) for the appointment of lecturers. Obtain training on the “order of work” to facilitate this process.
5. Conduct annual evaluation of temporary faculty in accordance with university-established schedules and CBA contract requirements.
G. Staff Personnel

1. Oversee the appointment of all staff personnel, including student assistants working for the department.
2. Supervise clerical and technical staff assigned to the department.
3. Model collegial, respectful, and productive relationships with staff.
4. Conduct staff performance reviews in conjunction with the Dean’s Office.
5. Encourage and support staff training and development.
6. Foster collaborative and productive relationships among faculty, staff, and students.

H. External Relations

1. Promote academic discipline-based contact with appropriate off-campus groups, including community college faculty, high school teachers, community organizations, professional organizations, private companies, etc.
2. Provide leadership in developing activities that link to the department’s alumni.
3. Improve and maintain the department’s image and reputation outside the university.
4. Work with the dean’s office and University Advancement to promote the department outside the university community.
5. Seek philanthropic support.

I. Professional Development of the Department Chair

1. Read materials and attend workshops, seminars, training sessions, etc. on topics pertinent to the roles and responsibilities of the department chair.
2. Identify ways to improve communication skills, such as conflict resolution, conflict management, and dealing with difficult situations.
3. Maintain, to the best of one’s ability, teaching and research activities.
Academic leadership is unique in many ways. The chair of the department has to work closely with highly competent individuals whose personal goals may not closely relate to the department goals. This reality, along with the notion of academic freedom enjoyed by the faculty, may create a major challenge for the chair. To succeed in his/her job, and move the department forward, the chair may find the following guidelines helpful:

1. A strong chair looks at the big picture and doesn’t get bogged down in details.
2. A strong chair conveys to the faculty the advantages of shared vision.
3. A strong chair is a consensus builder.
4. A strong chair builds trust by being honest and open-minded.
5. A strong chair persuades the faculty to focus, collaborate and contribute, sometimes at the risk of personal recognition.
6. A strong chair leads the faculty to articulate the long-term goals of the department.
7. A strong chair accentuates the positive.

In an era of reduced budgets, the leadership abilities of the chair become important in determining the success or failure of the department. To have maximum impact, a strong chair will work with the faculty to identify existing strengths and find ways to direct resources for the benefit of the whole department. When budgets are growing, a strong chair will guide the faculty in setting priorities and help them focus their energies and attention on achieving departmental goals.

Excellent books, papers, and monographs about department chairs are available. A book that is worth reading is The Department Chair As Academic Leader by Irene W. Hecht, Mary Lou Higgerson, Walter G. Gmelch, and Allan Tucker published by the American Council on Education, 1999. Ted Marchese, Vice President for American Association of Higher Education, writes in his foreword “this book covers just about every topic that will land on your desk, gives good advice on how to approach each one, and then provides a list of articles for further reading.” Other excellent resources include:

- Chu, Don, The Department Chair Primer: Leading and Managing Academic Departments (Bolton, MA: Anker Publishing, 2006)
• Higgerson, Mary Lou, Communication Skills for Department Chairs (Bolton, MA: Anker Publishing, 1996)
Policies and Procedures

All departments should have written policies and procedures. Although CPP has Academic Policies, and colleges have their own policies and procedures, departments should also have a written record documenting expectations for faculty, especially regarding personnel issues. At a minimum, the department should have policies on RTP criteria and procedures, and on procedures for periodic evaluations, appointment of lecturers, and lecturer range elevations and evaluations. The faculty may wish to identify other areas in which it would be helpful to have written departmental policies. All policies should be approved by a majority of the department tenured/tenure-track faculty.

As department chair, you will be considered the policy maven. Faculty may come to you with all kinds of needs: to schedule group exams (for classes with multiple sections), to seek approval for rescheduling classes or exams, to ask you about departmental policies on adding students during the schedule adjustment period, to question you about student evaluation procedures, or to find out about responsibilities regarding field trips, among other things. They will expect you to know the answers to their questions. Be as informed as possible about your departmental, college, and university policies. Familiarize yourself with university policies and procedures, and consult campus experts on any of your responsibilities with which you are not conversant. When in doubt, ask your dean’s office or Faculty Affairs. Adopt a phrase such as “Let me look into that, and get back to you.” Then take care that you do.

Class Scheduling

Class scheduling may be delegated, but the overall responsibility rests with the department chair. The Unit 3 collective bargaining agreement (CBA) authorizes the “appropriate administrator” (the dean of the college) to make instructional assignments after consultation with the department chair and/or the individual faculty member. Faculty members have the right to express their preferences, and the principle of consultation is taken very seriously in grievance arbitrations. Nonetheless, the final determination of what is best for the department and the students belongs to you and your dean.

Scheduling includes making individual faculty teaching assignments, selecting course offerings, and allocating classrooms. Class schedules are built to meet student demand, learning outcomes, departmental FTES goals, and available funding. The chair needs to assure that the schedule balances high-demand General Education courses, service courses required of majors outside the department, required courses for the department major and
graduate programs, and innovative curricula addressing changing dimensions of the discipline. In addition, the schedule should provide classes across the full workweek (e.g. MWF, TuTh, late afternoons and evenings, weekends if appropriate), and conform to University approved time modules. Most faculty members may prefer to concentrate their teaching in as few days as possible (Tu and Th classes are very popular with faculty members and students alike), but not all preferences can be met. Some chairs take seniority into account in designing schedules, while others rotate unpopular times among the entire faculty. You may also want to consider how well a course draws: less popular courses may do well if scheduled at 10am Tu and Th, while your bread-and-butter courses can be scheduled anytime and draw a full house.

Each college is assigned classrooms by Academic Research and Resources (ARAR). Colleges may make classroom assignments to departments. During the initial scheduling period, which varies between three and six weeks, departments and colleges have scheduling rights and responsibilities into classrooms assigned to them by ARAR. The department is expected to schedule its classes into the rooms assigned and arrange them for efficient use of time modules to the maximum extent possible. Once this initial phase is over, inter-college scheduling begins and allows colleges to request use of classroom spaces that are allocated to other colleges. Colleges work with Academic Programs when unable to find lecture rooms. To schedule a lecture room for anything other than regularly scheduled classes, departments must submit an online Room Request. Once a room request for a department event is received, Academic Programs will process requests based on event date(s), schedule the room(s) requested, and send an email confirmation. Events for student clubs/organizations are processed by the Office of Student Life and Cultural Centers.

Some chairs delegate the scheduling of classes to the administrative coordinator, but, if delegated, the chair must still provide oversight. The class schedule is the most significant resource commitment made by departments and colleges. It is also like a jigsaw puzzle: The overall pattern may not emerge until the last piece is put into place. Unfortunately, at times, much to the chair’s chagrin, it turns out to be a house of cards. If it collapses, have courage, and begin again. The chair also has responsibility for hiring the temporary faculty to teach the scheduled courses (see Chapter IV, Faculty).

Schedules are created in the department well in advance of the term to which they pertain. Academic Programs posts online and emails the Schedule Building Timelines to all colleges and departments as they become available, but planning for future terms can begin as early as immediately after Census of the same term in the current year. Schedules for the current and past terms can be obtained at http://www.cpp.edu/~broncodirect/; login with a valid BroncoID and Bronco Password is required. In addition, you and your department administrative support coordinator have access to generate a class schedule report in PeopleSoft.
Workload Reports

Academic Planning Data Base (APDB) Reports are used by the CSU Chancellor’s Office to measure faculty workload and justify the need for additional positions, and to measure the use of facilities and justify the need for additional facilities. APDB Reports are prepared from information gathered from the following sources: Academic Transaction Forms, Class Schedules, Faculty Verification/Assigned Time, Supervision Reconciliation, and Adjunct Forms. All the information gathered from these sources is used to produce a preliminary Faculty Assignments by Department (FAD) Report that department chairs receive after census and use to verify the accuracy of the workload for faculty members in their department. The FAD Report shows the courses taught and total workload units for each faculty member including lecturers.

Tenured and probationary faculty members are generally assigned up to 12 weighted teaching units (WTUs) per term of direct instruction. (Three additional WTUs are assumed for indirect instructional duties such as advising and routine committee responsibilities, but these are not listed on the FAD report). A full-time lecturer assignment is 15 WTUs. Faculty members also may receive credit as part of their total 12 WTUs (for tenured/tenure track faculty) or 15 WTUs (for lecturers) for such activities as instructionally-related research, major advising assignments, extraordinary committee work, curriculum development, or assessment responsibilities. This credit is known as assigned time, and specific codes are used for each kind of assignment. Requests for assigned time must be in accordance with college guidelines. The FAD report shows the assigned time, as well as assigned time supported by grants or contracts. Each term, the department chair or designee makes corrections and returns the FAD to the dean’s office, which then sends the form on to the Academic Programs office.

It is permissible for a tenure track faculty assignment to average 12 WTUs each term over an academic year. Full-time tenured and probationary faculty members are allowed to exceed 12 WTUs, e.g., due to supervision workload. However, faculty in the Faculty Early Retirement Program (FERP), tenure-track faculty members on a reduced schedule, and lecturers, cannot exceed their appointment limitations (e.g., CalPERS work restrictions). Lecturers may be offered work that takes them over 15 WTUs. This is sometimes referred to as the “16th unit” provision. Per university policy, the overage units (those exceeding 15 WTU) are now accounted for via separate temporary faculty appointments. Please consult your college administrative or budget analyst, and/or Faculty Affairs, if you have any questions regarding these overage appointments as the rules can be confusing.
Professional Travel and Absences from Campus

The university has established policies regarding professional travel and reimbursement. Professional activities that warrant travel during the academic year include trips made for recruitment, professional training, and (most commonly) trips to professional meetings, conferences, workshops and colloquia. Travelers do not need to submit 1A forms for personal vacations or other non-business activity, but faculty members must submit the forms when they travel on CPP-related business during winter, and summer breaks. Faculty members should be reminded from time to time that the chair must approve all absences during the term and all arrangements to cover classes or other assignments. This section of the Chair’s Handbook provides an overview of the travel matters that will be of most concern to you. You can find much more detailed information online at http://www.cpp.edu/~academic-affairs/policies-procedures.shtml.

Travel Authorization

All professional travel requires the submission of an Authorization to Travel on State “Business (1A) form prior to departure, at least 10 days in advance for in-state travel and out-of state travel, and 30 days for foreign travel (and 40 days in advance if the travel is to a country on the CSU Risk Management Authority High Hazardous Country List), even if reimbursement is not requested. A request for travel shall include a memo from the department chair and the college dean approving the faculty member’s travel. Additionally, the faculty member should include a memo addressed to the Provost that provides specific information as described in the Procedures for Faculty International Travel. High-hazard countries are listed on the State Department’s Travel Warning List and the CSU Warning List.

Reimbursement

Each college has its own reimbursement policies and funding allocations. Chairs should remind faculty and staff that the colleges do not necessarily guarantee total reimbursement and that travel funds may be considerably less than the total cost of the travel. Faculty and staff members seeking reimbursement must submit within 30 days after completing their travel, an itemized Travel Expense Claim using STD Form 262, along with supporting documents. After signing it, they must then forward the travel claim to the department or dean’s office to be signed and forwarded to Accounts Payable. Faculty/staff must verify their conference participation by providing a photocopy of those pages of the official program that list them as a presenter, panelist, discussant, or other type of participant. Original receipts are required for reimbursement for conference registration, lodging, and transportation (e.g., airfare, shuttles to and from airports); they are not required for meal expenses, although meal expenses are subject to set limits. Employees who use their own vehicles to attend meetings may receive a per-mile reimbursement at the current set rate. Employees requesting reimbursement for conference registration fees must provide the original fee payment confirmation.
Car Rental

Employees must make car reservations with off-campus contract rental agencies (contact numbers are available through the departmental travel coordinator). The employee must give the corporate account number and pin to receive a discount. Some basic insurance services are covered by the car rental contract companies and are included at no extra charge. Check with the individual carrier to see what insurance may be included in the contract. Employees will not be reimbursed for additional insurance charges, such as LDW, CDW, and PAI. No refueling fees are eligible for reimbursement. Employees will need to furnish the following items when picking up rental vehicles: University ID, driver’s license, and a copy of the 1A form. Visit the University Accounting Services travel web site at [http://www.cpp.edu/~fas/university-accounting-services/travel.shtml](http://www.cpp.edu/~fas/university-accounting-services/travel.shtml) for more information.

Budgeting

The state fiscal year runs from July 1 to June 30 and allocations are meant to be spent during the fiscal year in which they are made. State budget allocations for instruction, instructional support and administrative functions are made by the university to the Academic Affairs division as a lump sum. Within the division, budgets are sub-allocated to the colleges and by the the colleges to departments. The approach to departmental allocations varies from college to college. Information about the college processes should be obtained from the college Dean’s Office.

Working closely with college leadership to meet enrollment needs and manage operating allocations is essential. Class schedules and other fiscal commitments are often developed before the specific budget allocation is known. The university schedules the fall term between the time when the Governor’s initial budget submission is developed in January and the typical May revision of that budget. In a year when all goes well, college budget allocations might occur as early as October, but it is not unusual to receive final numbers in November or December when the fiscal year for expenditures is half over. Plan according to the fiscal year, spend wisely, and end the year with a balance close to (but above) $zero.

Budgeting also should be linked to the department’s strategic plan. New programs will cost money. If there is no new money, the chair must figure out what can be eliminated in order to re-allocate resources. Some departments establish budgets based on cost centers, so it is clear what activities in the department are using the resources. Budget decisions may then be made based on cost and outcomes for each cost center.
In addition to state funds, available funds to meet departmental needs might include funding generated by donations and external research funding both direct and indirect. Donations and other non-state funding are managed by the Cal Poly Pomona Foundation, Inc. Processes, allowable expenditures, and timelines are different than they are for state funding.

State Funding

- **Fiscal Year Beginning – Budgets**
  - CSU Support Budget – November
  - Governor’s Budget (January) & Governor’s May Revise
  - State Budget authorization – June (or later)
  - University/division/college allocations – early fall
  - Fiscal Year: July 1st – June 30th

- **Ending the Fiscal Year**
  - Operating Costs – Year-end-Deadlines

- **Requests requiring bidding – March**
- **Requests that require Purchase Order (P.O.) but not bidding – April/May**
- **Bronco Bookstore, State Funding – May**
- **Office Max, Direct Pay, Travel – EARLY June**
  - Items past deadline often delayed until mid-summer

- **Financial Tracking – State funds**
  - Chart-field-string (CFS)

- **A combination of data fields from the chart-of-accounts that we string together to identify funding sources and uses**

- **Typical format: Account-Fund-DeptID-Program-Class**
Space

Space assignments for instruction, instructional support and administrative functions are made by the university to the Academic Affairs division. Within the division, assignments are further delegated to the colleges and the colleges to departments.

Space management at the division level is handled by the office of Academic Research and Resources (ARAR). Lecture classrooms are maintained by the division and assigned for first priority scheduling only. Laboratory spaces and office spaces are assigned to colleges on a long-term basis.

An associate dean in each college is typically assigned to be the point of contact for space issues and works with ARAR to resolve issues and update space assignments. Approach this associate dean first on any issues that arise with maintenance or assignment of space and encourage the faculty in your department to contact you. It will take experience to know whom to contact next and many issues remain with the college leadership for appropriate resolution. It may be up to you to encourage the faculty in your department to be respectful of their colleagues by assuring that project materials used in the classroom are tidy before the class is dismissed. An on-going issue for the campus is the movement of chairs from one room to another. If one faculty member allows the movement of chairs, another will end up short.

Class scheduling is typically handled in the academic departments. Each college has a class scheduling coordinator in the Dean’s Office and scheduling timelines and assistance is provided by the Academic Programs office. After the priority periods for departments and colleges have passed, Academic Programs may assign vacant classrooms for use by any lecture course.

Maintenance costs for laboratories and offices are the responsibility of the college. The approach to these expenses varies from college to college and should be verified with the Dean’s Office.

Equipment

Funding for equipment replacement or upgrade costs is available from a variety of sources annually. The university Student Success Fee supplies funding through a competitive grant program “Special Projects to Improve the Classroom Experience (SPICE)” and through on-going allocations to the Instructional Technology division for
faculty laptops and computer laboratory maintenance. Lottery funds are allocated to colleges by the division for specific, typically more expensive, projects. Available funds might also include a portion of the college’s operating budget, funding generated by donations, or external research funding both direct and indirect. The approach to these expenses varies from college to college and should be verified with the Dean’s Office.

Departmental requests for all types of funds generally are viewed more favorably if tied to department goals and program development. It is a good idea to keep future needs in mind and to have a well-formulated plan in the file should an unexpected source of funds become available. Chairs often receive short notice to come up with equipment or space requests. Of course, if the needs for space involve a building or significant renovation, they will have to be approved well above the dean’s level. In that case, both the dean and the chair may work together to present the case and seek university support.

**Academic Research and Resources**

**Academic Research and Resources**, located in Room 113 in Building 1, provides official university information to the CPP community, the California State University Chancellor’s Office and external agencies. Check its website to access reports on applications, enrollment, student profiles, continuation and graduation rates, student-faculty ratios, faculty counts and distribution of teaching between tenure-line and temporary faculty, fiscal management documents for Academic Affairs, and so on.

Specific or customized information requests, particularly those associated with accreditation, may be directed to this office. It is important to look ahead at these requirements and make requests well in advance of the need (measured in weeks, not days). Many of these reports are more complex than they appear at first glance and further clarification of the specific requirements is often needed. In addition, there may be other priority work underway. As with any partnership, it is best to try to avoid putting stress on the people who are committed to helping you meet your objectives.

**Curriculum (Undergraduate and Graduate)**

The faculty is responsible for designing, implementing, and evaluating the curriculum, and the department chair is responsible for overseeing these activities. The chair’s role is to support faculty as they carry out these responsibilities and provide the resources needed to implement faculty plans. At times however, curriculum
decisions may negatively impact the budget. In that event the chair and the faculty must jointly find a way to create needed change in a cost-effective way. If presented with the financial facts of the matter, faculty members often help find a creative solution. As in other situations, the faculty is a great source of wisdom and experience that can be counted on to pitch in and make things happen.

The University Curriculum Committee coordinates the university-wide review of all curricular proposals to include new courses, changes to existing courses, new programs, and revisions to existing programs. General Education course proposals are referred to and evaluated by the General Education Committee, and a recommendation is given by the Academic Senate. The CPP Curriculum Guide is available online, to assist faculty in preparing proposals for inclusion in the Academic Master Plan and the University Catalog. Also included in the Curriculum Guide are instructions on how to submit proposals for new certificate programs, for a degree to be placed on the Academic Master Plan, and for topics courses to be included in the CPP Class Schedule and the College of Extended University Course Listings. Department chairs may contact the Office of Academic Programs for assistance in preparing curricular proposals. You also may direct questions about actions taken by the University Curriculum Committee, the General Education Committee, the Graduate Council Committee, and Undergraduate and Graduate Curriculum topics to the Office of Academic Programs.

New faculty may not have had much curriculum training or teaching experience in their doctoral programs. If so, the chair needs to provide an orientation that not only lays out the role of a faculty member in the department, but also assesses how well they understand curriculum design, teaching pedagogy, and constructing reliable measurement tools. Once identified, you can refer new faculty to resources on campus that will help fill in the gaps in their preparation. Classroom technology such as Blackboard and i>Clicker may be included in their orientation. Much of this training will be provided in New Faculty Orientation provided by the Faculty Center for Professional Development. But it is also useful to assign new faculty members a mentor in the department who can meet with them periodically to answer questions and provide further orientation.

**Academic Program Reviews**

Academic program review engages faculty, students, and other stakeholders in the periodic study of how and how well a program fulfills the ambitions that the faculty has established. Program reviews examine curricular and co-curricular operations. These include: curriculum, instruction, student learning, advising, faculty professional development, student engagement and satisfaction, fiscal resources, and physical resources.
To maintain and strengthen the quality of academic programs, university policy mandates that academic reviews be conducted every five years. The academic review describes the progress the department has made toward meeting the goals articulated in its academic plans over the preceding five years and projects future directions. The Office of Academic Programs conducts reviews of departments with baccalaureate-only programs as well as graduate programs. The review office sends a letter to the department chair informing him or her that the department is scheduled to undergo its review and includes specific instructions to guide the chair through the process. The review team comprises at least two members from outside the university and one member from the campus. The review office requests that the chair forward, through the college dean, a list of seven or eight distinguished individuals in the appropriate fields who are well-qualified to participate in the review; the list should include single-paragraph vitae as well as current phone numbers for each nominee. The chair should not notify the recommended individuals; that is the responsibility of the review office. The review office also requests that the chair forward a list of on-campus nominees from outside the college but in related departments. The review takes place over a two- or three-day period, and sample schedules are available.

The department submits a self-study report prior to the site visits of the review panel.

Assessment

As a department chair, one of your roles will be to help your department focus on student learning and to follow through with processes of assessment. Departments have assessment procedures for their programs that measure how and how well their programs fulfill the outcomes that the faculty has established. This process produces evidence of achievement and effectiveness that informs the cyclical review process. Assessments and reviews connect departments to the accreditation process that helps align campus operations with regional and national standards of quality, breadth, and scope.

At Cal Poly Pomona, every department is responsible for submitting an annual report. Part of the annual report requires that the department chair provides highlights of direct evidence of student learning including the Meaning Quality Integrity of Degree Statement (MQID). In addition, the Inventory of Educational Effectiveness Indicators (IEEI) is part of the annual report. The annual report is submitted by department chairs through the college dean by the end of the spring term. Check with the Office of Academic Programs, if you have specific questions regarding your annual report and department assessment plan.
Information about what needs to be included in an Annual Report, MQID and IEEI may be found [https://www.cpp.edu/~academic-programs/index.shtml](https://www.cpp.edu/~academic-programs/index.shtml). Information on student learning outcomes can be found at [https://www.cpp.edu/~academic-programs/program-review/department-learning-outcomes.shtml](https://www.cpp.edu/~academic-programs/program-review/department-learning-outcomes.shtml). Additional information is also available at [Program Accreditation, Assessment and Review](https://www.cpp.edu/~academic-programs/program-review/department-learning-outcomes.shtml).

**Working with the Dean**

The dean is the designated leader of the college and is the appropriate administrator. Deans interact with the central university administration on all matters pertaining to the business of the college. In that role, they represent the departments under their jurisdiction. They need to be well informed about a department’s activities and plans. They need to be able to negotiate for the resources that enable a department to carry out its mission. Whether an issue concerns faculty, staff, equipment, travel or space, the dean is a key gatekeeper as well as stakeholder in supporting and maintaining quality departments. It goes without saying that the relationship between the dean and a department chair needs to be cordial and professional in order to maximize department and college achievements. From time to time, each will need the support of the other in times of crises or conflict. Open communication between the two parties will go a long way toward creating a strong academic environment. Information needs to pass between the dean and the department chair on a consistent and timely basis. When negative information about the department comes to the attention of the dean, he or she must feel comfortable dealing directly with the department chair, who may, in turn, investigate the matter within the department. In general, your dean’s office, including the associate deans and the administrative staff, can be your most valuable ally in running the department.

**Working with Colleagues**

Faculty and students are the heart of any department. Without a quality faculty, a department chair’s chances for success are diminished. Good working relationships with faculty develop over time and take into account the hopes and goals of each member. A strong department chair takes stock of the status of the department as a whole along with the strengths and weaknesses of individual faculty members. The dynamics of interpersonal relationships within the department, including those among tenured/tenure-track faculty, lecturers, administrators, and staff, significantly influence the success of a department. A strong department chair will have a vision for the department and interpret that vision for the faculty. At the same time, a strong chair will encourage faculty members to articulate their vision and then coordinate both for the benefit of the department.
If these perspectives are discordant or contradictory, the chair should negotiate with faculty to find common ground. As noted below, communication in a department is critical to the morale and vitality of the organization. So long as all points of view are heard and respected, it should be possible to articulate a mission that the faculty can support. When conflict is not resolvable, however, the chair needs to know where to seek advice (see Dealing with Problems).

**Working with the Administrative Support Coordinator**

Department staff can provide significant support for the smooth operation of the department and the programs offered by the faculty. A key member of the staff is the administrative support coordinator, who typically handles the department’s fiscal and physical resources, communicates with other university offices, provides general support to the faculty, and acts as the initial point of contact for the public. For the chair, the support of the administrative support coordinator is an invaluable asset. It requires a shared trust and an open, dependable working relationship. While the chair sets the overall operational direction for the department and provides supervisory oversight, the coordinator should be able to work toward those outcomes with minimum direction. She or he also may be responsible for overseeing other staff members, including student assistants, and maintaining a harmonious working relationship and atmosphere in the department office. The chair sets the tone and is responsible for evaluating the coordinator and other staff members in conjunction with the dean’s office. The chair and the coordinator should clearly establish an understanding of what work is to be delegated to the coordinator. Where there are associate directors or chairs, the distribution of authority in relation to the staff needs to be made clear so the coordinator and staff are not getting mixed messages or conflicting directions on job duties and responsibilities.

**Effective Meetings and Communication**

Chairs should have a clear idea of what they want to accomplish in the meeting before it begins. Circulate agendas before meetings so those attending can anticipate what materials might be relevant to the discussion or even have some time to think about their own ideas on the subject. All faculty members, but especially committee chairs, should notify the chair in advance as to what should be placed on the agenda. The chair can consult with the committee chairs to review previous minutes for carryover items before the agenda is distributed. Some chairs prefer to limit discussion and list a time factor for each agenda item. In any case, times should be monitored and the discussion moved along toward action or resolution. Roberts Rules of Order can be useful in dealing with motions and other actions during the meeting, although
many departments prefer to operate in a more informal manner. Since so much time is spent in committee meetings, they should be organized to produce maximum outcomes. Otherwise, faculty members feel that nothing gets accomplished and become frustrated. It is also useful to summarize at the close of the meeting what has been agreed upon, and what next steps will ensue. People can then leave the meeting feeling things are moving forward even if not everything is resolved. Circulate minutes so that carryover items can be tracked and so those who cannot attend can keep up with the discussion and the actions taken in the meeting.

Communication is critical to the morale and vitality of the department. While e-mail has its problems, it can facilitate communications that need to go out to all faculty members. People like to feel informed about those issues that affect them personally or their work. The better the information they receive, the better the chance they can act on it appropriately. It has been said that 10% of any population doesn’t get a message, so don’t be surprised if someone claims that he or she was never informed about an issue. Therefore, important information should be sent in multiple formats and possibly multiple times. Internal department memos regarding smaller matters need also to be written if communication is to be clear, particularly between two or three people. Like a child’s game of “Telephone”, there is likely to be distortion if word is passed by mouth from one to another. The written message may also be misinterpreted, but it is likely to be better understood and can be reviewed if necessary. From time to time, issues involving conflict arise and faculty members are likely to send angry messages back and forth. The department chair should avoid getting into the e-mail free-for-all on contentious issues. If such messages have been exchanged twice, it is time to call a halt and schedule a face-to-face meeting to work out a compromise. Keep in mind that all written messages, including those on email, are public documents and must be provided if subject to an information request or subpoena. Do not put anything in writing, including an email, that you wouldn’t want the world to read.

**Conflict Management**

Conflict management is a necessary skill for department chairs. Those without prior experience or training may need to seek help from others who have these skills. Simply being in the position will set you up for some conflict and avoiding the issues will only make them worse. It is better to meet them head-on and seek resolution. One of the basic requirements in handling conflict situations is to know where you stand and where your boundaries are. When you are responsible for the good of the whole department, it’s not about you. It’s about your institutional role, the mission you seek to carry out, and the constituencies you serve. Experts suggest that
that conflict management requires practical skills of negotiation and complaint management, and also awareness skills such as self-knowledge and self-control. In any interaction, the only behavior you can control is your own, so you need to know what triggers your emotions. Emotions can get in the way of successful resolutions, and they are contagious. Aggression is the most contagious, so in responding to it, keep your own emotions in check. Voices should be lowered. Physical motion should be restrained. Understanding that you represent the institution and reminding yourself that you are acting in role may create distance and help keep your personal responses to a minimum. How you act powerfully influences the outcome of any conflict-laden interaction.

There are special challenges to leadership in the academic environment for which the department chair is often unprepared. The nature of the institution calls for shared governance, academic freedom, and job tenure. There is a decentralized authority structure. Norms of behavior are somewhat fluid and loosely defined. Add to that a “star” system with expectations of entitlement, and you have a milieu ripe for conflict. However, no faculty member should be permitted to wave the flag of “academic freedom” over misconduct or unwarranted license. Familiarize yourself with the terms of the AAUP Statement of Principles, written in 1940 and subsequently updated to deal with contemporary issues. That document and the AAUP Statement on Professional Ethics (1987) serve as the cornerstone for academic behavior. CPP Policy No. 1210 Faculty Statement on Academic Freedom is also applicable.

The practical skills of dealing with conflict may involve negotiation or complaint handling. Each calls for a different set of skills. First, be clear about the role you are playing as people approach you with problems. When dealing with complaints, there are certain guidelines to keep in mind.

- Don’t take it personally.
- Never act on one side of the story.
- Nobody knows what EVERYBODY knows.
- When in doubt, leave it out of the report.
- Never attribute to malice that which incompetence will explain.
- Say what you will do; do what you say, and set time frames.
- In the absence of facts people make them up, so plan accordingly.
- Keep notes but stick to the facts. Don’t include your opinion. The notes can be subpoenaed.
- Trust your instincts; don’t let your fear guide you.
- Some problems require that formal processes be invoked. So be it.
- Be hard on the problem but soft on the people.

(Conflict Management material by C.K. Gunsalus, J.D., University of Illinois, 2004)
Here are some key sentences that help manage the complaint.

- What seems to be the problem?
- What action do you seek from me?
- I need to find out how others view this situation. I will do that and get back to you.
- You need to do what you need to do! (If given an ultimatum).

Negotiation is a more complex set of skills aimed at managing conflict. These learned skills require knowing what you want to get out of an interaction and what you have to bargain with. It involves preparation, searching for common interests, and depersonalizing the problem. Negotiation is voluntary. If one exercises the power of the office in the exchange, it is not negotiation. There is an extensive body of research on negotiation that may prove useful to the new chair. For example, negotiators who ask more questions and listen more effectively get better outcomes. Listening more and talking less can go a long way in achieving a successful outcome. People process information differently when in a good mood than when in a neutral or bad mood. Good moods promote creative thinking and openness to ideas. Focus first on establishing rapport and setting a positive tone for the negotiation. It is not necessary to assume that gains must come at the expense of the other party. If you do, then you may miss the opportunity for tradeoffs. Practice saying yes, without conceding. Find areas of agreement, acknowledge the feelings, and seek clarification as to why someone holds the position they do. Look for common areas of interest upon which you can agree. Demonstrate understanding of the other’s position. Know the boundaries of your role and stay within it.

Dealing with Problems

But what do you do when conflict resolution fails? Not all situations can be ameliorated through rational conversation and compromise. Some faculty members consistently create tension and trauma, some personalities inevitably clash, and even the best colleagues may go through a difficult period. On rare occasion, you may need to handle an especially serious matter such as sexual harassment, substance abuse, oral or written threats, or claims of retaliation. What do you do when faculty members act badly? The most important word of advice any chair can receive is do not act alone. You are a teacher and scholar, not a therapist, lawyer, or social worker. You cannot and are not expected to intervene in all faculty disciplinary situations. What you can do, first, is evaluate the situation and determine if you have the knowledge and skills to address it. Will conflict resolution techniques work in this case? What information do you need to assess the situation, and who has it? Is this a unique situation, or the continuation of an ongoing problem? What attempts have
previous chairs made to resolve the problem? If you can identify some reasonable steps that might help, take them. Talk to the offending faculty member, and try to impress upon him or her that his or her behavior is affecting other members of the department. Find out if there is a simple precipitating cause for the behavior. Perhaps your colleague is undergoing a personal crisis and simply needs a shoulder to cry on. Perhaps a probationary faculty member doesn’t understand the culture of this campus, or is having some difficulty making the transition from graduate student to professor. In some cases, a little extra mentoring might do the trick.

If a problem persists—if the problem turns into a problem faculty member—seek advice and help. You most likely will first turn to your dean or associate dean. In some cases, it might be to a special office on campus. For example, if you are concerned that a medical condition is interfering with the faculty member’s performance, you might decide to contact the Office of Academic Planning and Faculty Affairs. Be aware, however, that faculty rarely are required to submit to fitness for work examinations. The Associate Vice President for Academic Planning and Faculty Affairs is always available for consultation, before or after you talk to your dean. Before the problem becomes too big for you to handle, get out there and consult.

On rare occasion, it may be necessary to discipline a faculty member. The CBA specifies that a faculty member may receive from an appropriate administrator (not the department chair) an oral and/or written reprimand. When necessary, the President may also initiate disciplinary action. Discipline may involve dismissal, demotion, or suspension without pay. It is assumed that attempts will be made to resolve problems short of formal reprimands or discipline. In most cases, this will be successful. But on those rare occasions that a faculty member consistently behaves badly or the action is so extreme as to warrant immediate response, it is appropriate to use the tools provided by the contract. Note that a chair or director is a member of the faculty bargaining unit, and is not considered to be an “appropriate administrator.” Therefore, while you might inform a faculty member of problem areas and provide him or her with resources to assist with change, you would not issue a reprimand or initiate disciplinary action. Please consult your dean and or Faculty Affairs before you act to be in line with the CBA.

The philosophy of discipline for both faculty and staff is that it should be swift, appropriate, and progressive. Discipline is most effective when it responds quickly to a transgression. It should also be of a scale or type appropriate to the behavior. A faculty or staff member would typically not be suspended without pay for forgetting to turn in an assigned time report nor will they be demoted for bursting out in anger once in a faculty meeting. For a first offense of a minor nature it is most reasonable that person will be given a verbal warning. The dean’s office
would then determine next steps, if the problem repeats itself, or it is of a more serious nature, which may include a written warning to be placed in the Personnel Action File (PAF). This type of activity establishes a “paper trail” in case this faculty member persists in engaging in unprofessional behavior. Always consult your dean or associate dean, or the AVP for Academic Planning and Faculty Affairs, before you take action. The next step would be a formal reprimand, usually given in writing by the dean. Letters of reprimand are removed from the PAF after three years upon request of the faculty member. If a reprimand does not correct the problem, it might be necessary to take the next step and initiate disciplinary action. That would be coordinated by the AVP for Academic Planning and Faculty Affairs in consultation with the dean and the Provost. The purpose of all these actions is to make it clear that there is a standard of conduct to which faculty are expected to adhere and that there are consequences should a faculty member refuse to abide by these standards. The ultimate goal is to produce a collegial and respectful atmosphere that enables faculty and students to carry out the mission of the university.
CHAPTER IV
FACULTY

Recruitment of Tenure Track Faculty

The faculty is the lifeblood of your department and you should be targeting the best talent available for your searches. Despite our semi-competitive salaries and the high cost of living in Southern California, many people are drawn to the local area, and Cal Poly Pomona has proven time and again that top candidates can be successfully recruited.

Be proactive in this area. As department chair, you are responsible for working with your faculty colleagues to identify areas where there may be a need for additional faculty. It may be useful to develop a 5-year hiring plan with faculty input and consensus or compromise, especially in departments where different disciplinary needs may cause strife due to limited resources. When tenure-track searches are allocated, this provides a useful document and avoids potential conflict.

The allocation of tenure track lines to departments is somewhat limited. Please carefully review CPP Policy No. 1311 (formerly Appendix 38 of the University Manual): Recruitment and Appointment Procedures for Tenure-Line Faculty and the Faculty Recruitment Handbook. Each college may submit a limited number of tenure-track requests to the Provost, after submission and approval by the department chair and the dean. The Provost, after consultation with the dean, will decide upon the positions allocated to the colleges.

Once your request for a search has been approved, you need to do more than merely put out job ads and wait for the applications to come in. You and your colleagues should make phone calls to friends and acquaintances in your discipline who might know of promising candidates. If you expect that you will be hiring in the following year, start notifying people that there might be a position opening up. You should even try to meet at national meetings with promising doctoral students who are projected to finish their dissertation a year down the road. Letting potential candidates know that you are interested in them could be the factor that leads to a successful search.

When you receive approval, you can proceed with the search and begin to prepare the faculty recruitment package as referenced in CPP Policy No. 1311, including your job announcement. As specified in CPP Policy No. 1311 and the Faculty Recruitment Handbook and to comply with Equal Employment Opportunity principles, your search committee should be in contact with the Office of Equity, Inclusion and Compliance at different phases of the search process. Refer to the documents for a step-by-step description of what you will need to do, and follow all instructions faithfully. Failure to do so could delay or jeopardize your search. The Office
CPP is located in one of the most diverse states with respect to race and ethnicity. Thus, it is both legally permissible and academically appropriate that we would seek to build a faculty reflective of and sensitive to the community we serve. There are ways of assuring that you have a diverse pool of applicants, without violating California’s laws. As a result of Proposition 209, campuses are prohibited from granting a preference based upon race or sex. A preference is to be broadly construed as any advantage or privilege in areas such as outreach, hiring goals and timetables, scholarships, or recruitment. For example, you may not say in a job ad that you are looking for female candidates, or give preference to members of underrepresented groups in selection procedures. You should advertise broadly, including in publications specifically directed to women or specific ethnic groups. While you may not give preference to any gender or race in ads, you may use phrases such as “sensitivity to and knowledge of diverse communities” and “value diversity.” Some departments have found that the way you conceptualize and describe a position affects the diversity of the applicant pool. The more narrowly construed the field, the less likely it is that your pool will be diverse. For example, including a sentence such as “we are interested in candidates who can present a gendered or ethnic perspective on X” may signal your interest in a diverse faculty with diverse perspectives. Of course, this approach works better in some disciplines than others. The following are some suggested “best practices” that can be effective for successfully recruiting members of all underrepresented groups:

1. The job description should, when possible, consider:
   - a broad range of skills and interdisciplinary perspectives
   - a focus on subject areas that attract large numbers of diverse scholars such as urban issues and multicultural issues;

2. Draft the job announcement to include experience in and/or commitment to working in a multicultural environment with large numbers of students of diverse backgrounds and learning styles as a desired qualification;

3. Advertise the announcement in diversity publications such as Black Issues in Higher Education, including specialized list serves specified in the Faculty Recruitment Handbook.

4. Contact academic institutions which serve diverse populations to request names of possible applicants;

5. Ask colleagues for specific referrals of possible candidates and follow up;

6. Provide sub-committees, as well as the traditional “employment boards” at conferences with recruitment announcements;
7. Recruit potential candidates through the Chancellor’s Doctoral Incentive Program;

8. Ensure a quick and early job search process (e.g., start early fall and end early winter);

9. Search committees should meet with the AVP of Academic Planning and Faculty Affairs and the Chief Diversity Officer at the beginning of the search process to learn about proactive practices;

10. Establish relationships with African American communities and organizations as well as Historically Black and Hispanic Colleges and Universities;

11. Provide a strong commitment to diversity from College leadership;

12. Elect a search committee that is diverse in terms of rank, ethnicity, and gender (including someone from outside the department if needed);

13. Elect a search committee chair who is committed to diversity and knowledgeable on the issues;

14. Have a retention plan for new faculty hires and share it with applicants during the campus visit;

15. Apprise candidates that diversity is one of the core values of CPP’s shared Mission, Vision & Values statement;

16. Ensure that the candidate’s visit to campus results in meeting, sharing meals, and exchanging information with a diversity of persons reflective of the diversity on the CPP campus and the Pomona community;

17. Follow up with the new hire and assign a mentor, as well as perform a “checking in” with the employee to determine if indeed, all is well;

Once your department has selected a short list of candidates that it will bring in for campus interviews, you will need to have your colleagues work as a team because this is an intensive and critical part of the recruitment process. Candidates will be unimpressed by signs of internal conflict. Your faculty must refrain from belittling each other during one-on-one interviews. Some departments encourage all faculty members—and sometimes students—to join the candidates for at least one dinner, while other departments restrict
those dinners to members of the hiring or search committee. These dinners should be an opportunity for the department to show its best face. They also help you get a better idea of what the candidate would be like as a future colleague. These more informal interactions provide the committee members an opportunity to get to know the candidate and to look for behavior red flags that could be a tip-off of things to come. It is also important to remind all faculty and students involved in this process to make efforts to refrain from personal and/or unlawful questions during these interactions. For more guidance on questions to avoid, please refer to the Faculty Recruitment Handbook.

Your college might already have arrangements with certain hotels that will allow you to charge candidates’ stays to a given account, often at a reduced price. The Kellogg Conference Center on campus offers good accommodations, especially if candidates are visiting without a car. Sometimes candidates will stay in town for an extra day (perhaps to get a reduced airfare). If this happens you should try to give the candidate a tour of the community’s highlights. Be prepared to include sites that resonate with a candidate’s research area or personal background. Do be careful once again about making assumptions about a candidate’s personal interests or background.

Another way to “sell” CPP is to help candidates connect with faculty and programs outside your department. A candidate who has an interest in feminist research would appreciate meeting with members of the Ethnic and Women’s Studies Department. Candidates who have indicated an interest in a specific group and/or ethnic community may want to know something about campus clubs/organizations related to those areas. Arranging for meetings with such clubs/organizations shows prospective new faculty that you are sensitive to their desire to feel a measure of “inclusion,” knowing there are like-minded persons in the community to welcome them should they choose to so identify or affiliate. At the same time, it is important to be attentive to cues from the candidates and to not automatically assume that they would be interested in meeting with such groups.

**New Tenure Track Faculty Appointment Procedures**

When you have ranked your candidates, the dean will review the information provided and request the Provost for approval to make an offer to the candidate. The dean will sign the Authorization to Hire form and forward it to the Provost for approval. Once the Provost signs the form and returns it to the dean, negotiations with the selected candidate can proceed. You and your dean will need to confer prior to negotiations on matters including course load, start-up, and moving allocations, as well as who will conduct the negotiations.

There are two packets prepared as the search is finalized. The tenure track appointment packet and the **Affirmative Action Compliance Report**. The tenure track packet consists of documents listed on the **tenure track checklist** prepared by Academic Planning and Faculty Affairs. The Affirmative Action Compliance Report (AACR) summarizes the search and the efforts of the search committee in recruiting for diversity. Both packets are sent to the
the Office of Equity, Inclusion and Compliance for review of the AACR and the Chief Diversity Officer’s signature. The packets are then forwarded to the Provost.

When negotiations have been completed, the dean’s office will submit an Academic Appointment Form and send the candidate a letter of offer. When this is signed and returned, you have completed your part of the hiring process.

Please note that your position may have been posted on the APFA website and also sent to the CSU Careers website. Once it has been filled, send an email to Mary Ferrel at luceroferrel@cpp.edu to remove it from the Academic Planning and Faculty Affairs and CSU sites.

**Immigration**

*The Recruitment Process*

The university does not discriminate on the basis of immigration status and search committees should not ask applicants about their immigration status. If an applicant brings up the subject, the search committee can say “We don’t handle this issue. If you have questions about this, please contact Faculty Affairs.” Faculty Affairs can answer these kinds of questions since staff is not a part of the hiring committee.

Statements by search committees such as “Everyone can apply, but at the time of hire you must demonstrate work authorization…” or “On the date of your appointment, you must have proof of eligibility to work in the United States …” can be made early in the process, but must be communicated to all candidates, or all finalists, not just the persons whom the committee may believe need work authorization.

*The Hiring Process*

It is extremely important to note that tenure-track faculty appointment procedures become more complicated if the selected candidate is not a citizen or permanent resident of the United States. Employment is contingent upon proof of the candidates’ legal right to work in the United States. This must be provided prior to their employment at the University. They must be either be a citizen of the United States, a permanent resident (immigrant alien), or a nonimmigrant alien. Inform your candidate that CPP does not have an immigration attorney on the payroll to help new hires get their official papers in order. The expectation at Cal Poly Pomona is that faculty members retain an attorney of their choice to prepare the H-1B application and permanent resident application. The university is happy to help facilitate the process by working with the individual or her/his attorney. The university facilitates the application process but does not provide an attorney who handles immigration matters and does not give legal advice. Please refer them to the Office of Academic Planning and Faculty Affairs if they have further questions.
To clarify why an immigration attorney needs to come into play, foreign nationals appointed to tenure-track positions may require extensive paperwork to place them in proper working status in the U.S. Generally, they need to petition for H-1B status, through CPP, before they may work at CPP. The H-1B status is good for an initial three years, with the possibility of extension for another three years. To enable the foreign national to continue U.S. employment beyond the six years, it is recommended that he or she also proceed with the Labor Certification process. Labor Certification is the next step towards permanent residency and needs to be completed within 18 months of the letter of offer. To petition for Labor Certification, the U.S. Citizenship and Immigration Services (USCIS), formerly INS, requires an advertisement in a national professional journal. Online ads may be acceptable. Please contact Mary Ferrel at luceroferrel@cpp.edu for specific requirements. It is extremely important to meet the 18-month deadline and to comply with the USCIS regulations. The expertise of an immigration attorney is crucial during this important process. Faculty Affairs can recommend an attorney who has handled other cases for CPP faculty, but candidates should understand that they are responsible for making sure their immigration paperwork is handled properly and for covering the attorney’s fees.

Filing Fees

As of March 2016, the Provost’s Office is responsible for the $500 Fraud Prevention and Detection fee and also the $460 I-129 application filing fee.

Recruitment and Appointment of Temporary Faculty/Lecturers

Most, if not all, departments rely on full-time and/or part-time temporary faculty members, or lecturers, to cover some of their classes, particularly lower-division introductory courses. Maintaining a pool of competent lecturers will help you weather shifting course needs that arise for a variety of reasons (unexpected retirements or resignations, course buyouts, curriculum changes, etc.). Temporary job postings may be listed on the Faculty Affairs website, or in the case of lecturer pool listings, on department or college websites. When advertising for temporary faculty pool positions, you should post an open-ended ad describing in very general terms the types of positions that could open in the future. Even if you have no plans of hiring in the near future, this ad will meet all requirements for a legal and fair search. Depending on how easily your department has found lecturers in the past, you may need to publish ads in venues normally used in your particular discipline.

Persons interested in obtaining lecturer positions will likely contact you on their own. It is a good idea to maintain a file of potential lecturers with copies of their curriculum vitae. In addition, the CBA requires you to maintain a list of all lecturers
who have been evaluated by the department including the courses they have taught. You should consult that list when offering work during the academic year or for the next year and give those individuals “careful consideration” (see below for more on the topic of careful consideration).

When you select a lecturer, the hiring process is rather simple. Your administrative support coordinator will work with the appropriate college staff member to process the appointment through PeopleSoft (or Academic Appointment form (717)), and to produce an appointment letter. An initial appointment can be for one term or more but should comply with the Order of Assignment in CBA Article 12.29. After that, see the first bullet point below. About a week before classes begin, your new lecturer will have to report to Human Resources to sign in and get the necessary keys and an identification card.

The university offers a New Lecturers Orientation in electronic and face-to-face formats, including presentations on university regulations, student services, and teaching and learning strategies. Please encourage your lecturers to contact the Faculty Center for Professional Development.

The rules regarding the appointment and evaluation of lecturers are among the most complicated in the CBA. If there is one section of the CBA that chairs should study, it is Article 12, especially, 12.3, 12.5, 12.6, 12.7, 12.12, 12.13, and 12.29. Here are the key points every chair must know:

1. Once a part-time lecturer has taught three consecutive terms within one academic year, he or she is entitled to a similar assignment if reappointed the next year. That means that if the lecturer taught 12 units during year one, and you hire him or her back for year two, the faculty member should be given a one-year appointment and must be assigned 12 units (if she or he has performed satisfactorily and is qualified to teach the available courses) before you can hire someone new. These units can be distributed in any manner across the academic year. Keep in mind, however, that lecturers lose their benefits if they fall below .40 (6 WTU) in any term, so, whenever possible, distribute their work equitably and compassionately.

2. If a lecturer has taught at least two terms in each of six consecutive years, he or she is entitled to a three-year appointment in the seventh year, if the appropriate administrator has determined that the temporary faculty member has performed satisfactorily in the individual’s cumulative review, as defined in department
criteria, for the six-year review period. The time base of the initial three-year appointment is determined by the lecturer’s assignment in the prior sixth year.

3. Temporary faculty members holding three-year appointments have the expectation of receiving subsequent appointments except in cases of serious conduct problems, and/or if the appropriate administrator has determined that the faculty member has not performed satisfactorily in the individual’s cumulative review. The time base of the subsequent appointment is determined by the lecturer’s assignment in the third year of the appointment. If you do not have sufficient work to meet the similar assignment, you may offer whatever work is available, which establishes the new entitlement.

4. If a lecturer’s time base is reduced to zero in the third year of the three-year appointment or there is insufficient work to offer her or him in the first year of a subsequent appointment, that lecturer shall be placed on a department re-employment list for three years. If work becomes available for which he or she is qualified, it must be offered to her or him after you have met the entitlements in the CBA Article 12.29 order of assignment of available work. Please contact Faculty Affairs for further information concerning Article 12.29, including, Article 38.48 requirements.

5. All part-time temporary appointments are conditioned upon budget and enrollment. Full-time temporary appointments are not conditional.

6. All temporary faculty members should receive a yearly periodic evaluation (see below). When one-year lecturers apply for reappointment, they have the contractual right to careful consideration. There is a body of arbitration decisions commenting upon the meaning of careful consideration (see Appendix III). You should be able to provide evidence that you looked carefully at previous periodic evaluations, and based your hiring decisions on a reasoned assessment of the candidate’s performance. Evidence that you have reviewed the personnel file is, first and foremost, provided by a signed access log. So make sure that every PAF has a log, and anytime you or anyone else involved in hiring decisions looks at the PAF, sign the log!

7. Article 12.29 sets guidelines for assigning “new or additional” work, that is, work left over after you have made assignments in accordance with sections 12.29(a)(1) through (a)(7) or 12.29(b)(1) through (b)(7). Before you can hire new temporary employees, you must offer the work to your incumbent lecturers whom you have determined to be qualified to teach the available
courses and have performed satisfactorily. Any work that is left may be offered to any other qualified candidate. “Qualified” generally means that a lecturer has taught the course before at CPP or another CSU campus, or that her or his academic background is clearly relevant to the course. You never need to hire someone who is not qualified or has not performed satisfactorily just to fill an entitlement.

Lecturers have many rights in the CSU system. Assuming they have received satisfactory performance evaluations, they have considerable workplace security. For this reason, it is essential that you write honest evaluations of your lecturers. If you sugar-coat the evaluations of lecturers who do not perform their jobs well, you risk not being able to replace them with more effective instructors.

Although the similar assignment and three-year appointment provisions give part-time lecturers considerable security, they cannot protect them entirely from budget reductions or curricular changes. At times, it may be necessary to reduce their time base, even to zero. This is not a layoff (see Chapter V). Continuing part-time lecturers whose original time base must be reduced must be sent a letter and/or a revised appointment for each change. A revised appointment must be made in PeopleSoft to the original appointment for such changes. They may also need to be placed on a re-employment list as explained above.

Classes may be cancelled any time prior to the third class meeting. If a class is cancelled, the part-time faculty unit employee shall be paid for class hours taught. If it is cancelled after the third class meeting, the employee must be paid for the remaining portion of the class assignment or provided with an alternate work assignment. Full-time lecturer appointments are not conditional and may not be reduced due to budget or enrollment.

**Mentoring**

Since it is likely that a few years have passed since you were an entering assistant professor, you may have forgotten that new faculty might not be as savvy about the rules of academic engagement as we think, nor will they necessarily know the ins and outs of CPP. For this reason, a number of departments assign faculty mentors to new assistant professors. Ideally, this mentor will be someone who has established a strong record in teaching and research, and at the same time can “relate” well to the new colleague. The mentor should be proactive in advising the junior colleague, and should regularly meet with her or him to render advice on matters such as:

1. Balancing teaching with professional growth activities
2. Establishing a research agenda that meshes with department, college, and CPP expectations
3. Selecting appropriate journals or other venues for the advisee’s research manuscripts

4. Advising on intramural and external sources of funding

5. Dealing with difficult students

6. Being productive yet avoiding burnout

7. Understanding the importance of becoming a visible player within one’s professional societies (e.g., presentations at professional conferences, and serving as officers and board members) and a part of the university’s governance (e.g., running for Senate and participating in college and university committees)

Check periodically to make sure that the mentor is in fact meeting with the mentee. Your department has a huge investment in the success of your young faculty and it is your responsibility to do what you can to help those people succeed. The Faculty Center for Professional Development is another resource for mentors and mentees in creating a successful experience.

Mentoring does not apply only to junior faculty. It is not uncommon for senior professors to find themselves in a slump, either in teaching or professional growth. As department chair, you have access to teaching evaluations and student complaints, take part in post-tenure reviews, and may be privy to information about personal problems and low morale. One of the hardest tasks that department chairs face is revivifying the career of a tired and disaffected long-term associate professor or a senior colleague who has not kept up with curricular or pedagogical advances. If you face such a situation, seek advice from your fellow chairs or from sympathetic administrators. In addition, you may be expected by your colleagues to be all-knowing on all matters, not only by your junior faculty but by older colleagues as well. They will come to you for advice on matters about which a chair has no special insight, and you will be expected to come up with answers. Get used to it. This is one reason why we have prepared this handbook.

**Personnel Files**

The Personnel Action File (PAF) is the one official file for employment information and information relevant to personnel recommendations and actions. The individual college offices maintain PAFs for all tenured, probationary, and temporary faculty members. (See Appendix IV for an explanation of the responsibilities of the custodian of the file.) Copies of material contained in the official file may be maintained in other offices for
convenience. Keep in mind that only the official PAF may be used as the basis for personnel actions. Administrators, including department chairs, and faculty members of peer review committees must always sign the access log when reviewing the PAF for any purpose other than routine maintenance.

A department chair may have occasion to place material in a faculty member’s PAF. This material may include student evaluations of teaching, letters of commendation, complaints, warnings, or reprimands. The faculty member must be given notification five days prior to placing the materials in the PAF. See CBA Article 11 for more details.

**Reappointment, Tenure, and Promotion Procedures**

The university’s policies and procedures regarding Reappointment, Tenure, and Promotion (RTP) are contained in CPP Policy No. 1328 (formerly Appendix 16). The chair of the department has several responsibilities in the RTP process. The first is to assure that all faculty members are apprised of the criteria set out by the department, the college, and the university. The second is to mentor probationary faculty so that they make their best efforts to fulfill the criteria and put together a clear and convincing case for reappointment, tenure, and promotion. Finally, the structure, size, and procedures of the Department RTP committee are determined by the probationary and tenured faculty within the department. The structure would include whether the department chair will be a member of the Department RTP committee or will write a separate recommendation. In case of the latter, the chair provides an independent recommendation for or against reappointment, tenure, or promotion, using the Department Chair’s Evaluation form (CPP Policy No. 1330). This is one of the most important responsibilities of a chair, and should be taken very seriously. Your recommendation is one of the pieces of evidence used by the Provost to determine whether a colleague shall remain in the university or not, or whether or not he or she shall be promoted to higher rank. RTP decisions are based entirely on the written record, which includes the Working Personnel Action File (WPAF) and, on occasion, the Personnel Action File (PAF). Hearsay, observation, personal interactions or conversations, or other extraneous information not documented in the WPAF or PAF may not be considered.

The RTP criteria should include excellence in teaching, continuous progress in professional growth, and appropriate service. According to the CBA, teaching is the primary responsibility of a CSU faculty member. The Department Criteria (Criteria) identifies all the types of items that may be considered under teaching effectiveness. Student evaluations are the one required item, and must include a comparison of the candidate’s student evaluations with the faculty member’s peers. The Criteria must also address consideration of performance in the area of student advising/mentoring, peer evaluation of teaching performance, and must address accomplishments in the
area of scholarly and creative activities, and in the area of service to the university, the profession and the community. Explicit Criteria must be established for reappointment, tenure, early tenure, promotion (by academic rank), and early promotion (by academic rank). A progressively rigorous set of expectations should be clearly communicated during the probationary period.

### Periodic Evaluations

Periodic evaluations differ from performance reviews in that they do not culminate in a recommendation for any action regarding reappointment, with the exception of cumulative periodic evaluations of temporary faculty eligible for initial and subsequent three-year appointments. They are strictly evaluations of professional competence. Three categories of faculty employees undergo periodic evaluations: probationary faculty in the first year of a two-year appointment, tenured faculty, and temporary faculty. It is very important not to refer to these evaluations as performance reviews. The latter are reserved only for probationary and tenured faculty requesting an action such as reappointment, tenure, or promotion.

Probationary faculty members in the first year of a two-year appointment receive a periodic evaluation because they are guaranteed by their reappointment to a second year. The periodic evaluation is an “in-house” process intended primarily to mentor the probationary faculty member and identify any potential problems at the earliest possible moment. The faculty member will be subject to the Pre-RTP process during the first year on campus. The Pre-RTP is conducted by the department peer review committee, and the appropriate administrator. Consideration of student evaluations is required, and the written record is filed in the PAF. It is important that the chair advise faculty undergoing this process to use this valuable review to assist them in developing a personal roadmap for improvement and to meet the Criteria going forward.

Tenured faculty shall be subject to periodic evaluation at intervals of no greater than every five years. As with the periodic evaluation of a probationary faculty member, a departmental peer review committee and appropriate administrator conduct it. On occasion, the dean or associate dean may write an independent evaluation. Student evaluations are required if the tenured faculty member has teaching duties, and the written report is filed in the PAF. In addition, the CBA requires that the peer review committee chair and the administrator meet with the faculty member to discuss the evaluation. This is an opportunity to bring to his or her attention any problems or weakness that have been identified, as well, of course, any strengths. A chair may use the evaluation meeting to urge improvements in performance or behavior.
All temporary faculty members who have taught two or more terms shall receive a periodic evaluation. The only exception is a lecturer who taught only one term in an academic year, although it is advisable to evaluate him or her if there is any likelihood of reappointment in the future. Student evaluations are required if the lecturer has teaching responsibilities. The CBA differs on the evaluation process for full-time and part-time lecturers in one way. Full-time lecturer evaluations require peer review by a committee of the department and by appropriate administrators. Part-time lecturer evaluations require only an opportunity for peer input and review by the administrator. However, the common practice of the university requires a full committee review for part-time as well as full-time lecturers, and this remains a best practice. Some chairs sign their concurrence on the peer review committee’s recommendation. The appointment actually requires that the administrator evaluate the faculty member, so if you choose to sign that you concur, be sure that you actually have read the record and agree with the evaluation based on independent investigation.

The periodic evaluation of temporary faculty may be in the form of a letter or the form available in CPP Policy No. 1336.

Except for the dean’s final determination in cumulative evaluations of temporary faculty eligible for their initial or subsequent three-year appointments, periodic evaluations of lecturers should not include any reference to reappointment. The evaluation and appointment processes should be kept strictly separate. After the periodic evaluations have been completed, the chair or a committee (either the peer review committee or a separate committee constituted for this purpose) should base their hiring decisions on the careful consideration of each lecturer’s application for reappointment and periodic evaluation.

**Separation**

When a faculty member resigns, retires, or is otherwise no longer employed on campus (referred to as “separation”), he or she must formally check out, which includes returning all University property. Payroll has developed Clearance Procedures for separation/leave of absence and retirement. The clearance process begins when the faculty member informs his/her department chair, associate dean, dean, AVP of Faculty Affairs or VP of Academic Affairs in writing of the intention to resign or retire from the University. Once Payroll is alerted of the impending separation, Payroll sends a Property Clearance form with instructions and a checklist to the faculty member. The chair should notify
member that is not listed on the Clearance form. Payroll performs preliminary clearances from certain departments (e.g., University Financial Services) and must calculate and process pay in time so that the final pay warrant is available for the employee on his or her last day. Payroll usually completes the clearance for employees by identifying the outstanding keys and contacting the other departments that require clearance of outstanding property. Other than returning the property, the employee only needs to obtain the dean/HEERA manager’s signature on the Clearance Form. Please refer to this form for detailed procedures, including unique instructions regarding the clearance process for FERP faculty, rehired annuitants, and other temporary faculty with various types of appointments. A letter of resignation or separation from a probationary or tenured faculty member should be provided to the VP of Academic Affairs, so that the VP of Academic Affairs may respond in writing to the faculty member accepting the request.

The email account of the departing faculty member will automatically expire following the term after his or her separation. Should the department chair wish to request that email services be extended for specific faculty members beyond the campus’ normal timeline, the chair should contact the HelpDesk at (909)869-6776 for assistance.

The California State Administrative Manual Section 8580.4 recommends that state agencies have adequate procedures, including preparation of a clearance form that includes clearance of revolving fund advances (travel and salary), return of state owned items such as credit cards, keys, equipment, etc. California Government Code Section 8314 makes it unlawful for a state official, appointee, or employee to permit others to use public resources for a personal or other purpose not authorized by law. It defines “personal purpose” to include “an outside endeavor not related to state business” and defines “public resources” to include property or assets owned by the state, including buildings, equipment, telephones, computers, and other similar items. In addition, the California Constitution at Article 16, Section 6 prohibits the state from making any gift of public money or thing of value to any individual, municipal or other corporation. This governmental and legal background forms the basis for University’s requirement that separating employees return all University equipment, keys, credit cards, identification cards, access cards, and cease their use of University property, such as office space.

¹ Although University payroll technicians are the intended audience for this Payroll Services document, it also provides helpful workflow and processing information for the department chair.
CHAPTER V
COLLECTIVE BARGAINING AGREEMENTS

Cal Poly Pomona is governed by collective bargaining agreements between the California State University and various employee unions. The California Faculty Association represents the faculty (Unit 3), including tenured and probationary faculty, temporary faculty (lecturers), librarians, Student Service Professionals Academically-Related (SSPARs), and coaches. The Unit 3 contract, as it applies to all faculty, between the CSU and CFA is sometimes referred to as the Collective Bargaining Agreement (CBA) or Memorandum of Understanding (MOU). CBAs also exist with several staff bargaining units, and a new collective bargaining agreement was reached in 2016 between the CSU and the United Auto Workers on behalf of Unit 11, academic student employees (teaching associates, graduate assistants, and instructional student assistants). The first sections in this chapter deal with certain relevant sections of the Unit 3 CBA between CSU and CFA. A section on the Unit 11 agreement can be found at the end of the chapter. The AVP for Academic Planning and Faculty Affairs has been designated by the President to administer both the Unit 3 and Unit 11 agreements. Questions regarding either one can be directed to Faculty Affairs at (909)869-2277.

Grievances

When a faculty member believes that there has been a violation or misinterpretation of the CBA or that she or he has been directly wronged in connection with any rights accruing to employment, he or she may file a grievance. The procedures for filing and adjudicating grievances, can be found in Article 10. A faculty member must choose one of two paths: 1) statutory, in which a faculty committee hears the grievance; or 2) contractual, in which the grievance is presented before a hearing officer (the Director of Academic Personnel at CPP). If the grievance arises from a matter that is not covered by the contract, the grievant may select only the statutory path. A permanent Article 12 Umpire may hear grievances filed by temporary faculty members in a shortened and expedited procedure.

Chairs may become involved in faculty grievances because of their specified roles under the contract. Since the chair is one of two reviewing entities at the departmental level of review in the RTP process, you might be called to testify in an arbitration hearing over a reappointment, tenure, or promotion dispute. CSU and CFA arrange the arbitration in accordance with the provisions of the CBA. Otherwise, chairs are most likely to be involved in grievances involving evaluations or appointments because of their responsibility for assigning faculty workload. For these cases, it is most helpful if you familiarize yourself with CBA provisions, seek
advice whenever you are the least bit uncertain, and keep good records and files. In most cases, grievances are resolved before they get to the point of arbitration. You may be asked to provide information, and nothing else. Don't worry too much if you make an error; there is usually a reasonable solution that will satisfy all parties. If the matter does go to arbitration, the Director of Academic Personnel or University Counsel will carefully prepare you. On rare occasions, a case may go outside the university, and you will find yourself involved in a legal situation. Subject to certain exceptions, the CSU will provide for the defense of a civil action brought against an employee or former employee on account of an act or omission in the course and scope of employment. The University Counsel must be provided with detailed information about your involvement with the events giving rise to the legal action so that he or she can make a reasoned decision about whether the CSU will provide a defense. Thus, keeping good records is always important.

Leaves

The CBA defines several types of leaves: leaves of absence with pay, leaves of absence without pay, sabbatical leave, difference-in-pay leave, and sick leave. Most leaves are not automatic, and must be granted by the President.

*Leaves of absence with pay* Article 23 covers specific events and situations and chairs are rarely, if ever, called upon to do anything about them. Examples of reasons for paid leaves are bereavement, maternity/paternity, jury duty, voting, absence as a witness, emergencies, and military service.

Parental leave is of particular interest to chairs, since such leaves typically last longer than other leaves with pay and require more creative solutions to meet the department’s operational needs. A faculty member is entitled to 30 days of paid leave (that’s working days, so roughly six weeks); a maternity leave may be combined with an additional 15 days of sick leave if there is a medical necessity. If a medical condition requires it, further sick leave may be granted. What options exist for chairs when a faculty member is out for six to eight (or more) weeks during a term? Some departments have attempted to cover the classes by calling upon volunteers among the absent faculty member’s colleagues. That has the advantage of minimizing costs and engaging the department in a collegial effort. But the chair should ensure that someone is in charge (probably the chair), checking to see that classes are covered, student needs are met, and work is flowing appropriately. The faculty member on leave needs to be shielded from these responsibilities so she or he can concentrate on the new infant. Another solution is to hire a substitute to teach the classes. This is likely to be easier on everyone, assuming that your college has sufficient resources. Colleges are supposed to keep emergency funds for these circumstances, so talk to your dean’s office.
In order to minimize disruptions of the academic program and impacts on students, the following additional options are available: 1. Leave sharing - when a faculty unit employee is eligible for a parental leave and his/her spouse or partner is also a faculty unit employee, one spouse/partner may donate all or part of his/her parental leave to the other spouse or partner with the approval of the appropriate administrator(s) and 2. Reduction in workload in lieu of parental leave. Upon request of the faculty unit employee and approval of the appropriate administrator, a faculty unit employee with an academic year appointment may be given a reduced assignment over one academic term in lieu of a thirty (30) day parental leave, as follows: A workload reduction of forty percent (40%) (6 WTUs) for one semester, or a workload reduction of sixty percent (60%) (9 WTUs) for one quarter.

*Sick leave Article 24* is a benefit provided to the employee, and the contract specifies when the President may authorize it. A faculty member is responsible for immediately reporting an absence to the appropriate administrator, normally the chair, and completing and signing the appropriate absence form. When faculty are absent for illness or injury, medical examinations, illness in their family, or an extension of bereavement or parental leave, they are expected to use their sick leave. The university may require written documentation from a doctor. While no chair wants to be in the position of sick leave police, it is important to inform your faculty of its obligation to use the sick leave benefit as it was intended. You or your administrative support coordinator should also do your best to make sure that they file appropriate attendance reports. On a related matter 12-month chairs and other 12-month faculty employees accrue vacation days, which should be used when the chair or the faculty member is out of the office for non-work related purposes. Faculty may be required to provide medical documentation for absences after three consecutive days charged to sick leave. This also falls under the Family Medical Leave Act (FMLA) and the University Leave Coordinator must be informed.

A full-time faculty unit employee shall be charged eight (8) hours sick leave for each day s/he was not available to work due to an absence chargeable to sick leave. Sick leave shall be charged for each day, exclusive of days on which the campus is closed, from the onset of such an absence until the employee resumes attendance at the campus or until the employee notifies the appropriate administrator s/he is available to resume work. A faculty unit employee shall not be considered to work more than five (5) days in a seven (7) day period for the purpose of charging sick leave.

*Leaves of absence without pay (LWOP) Article 22* comes in two varieties, personal and professional. A faculty member may use a combination of paid and unpaid leaves in a given year. Personal leaves may be for the purpose of unpaid sick leave, parental leave, family care, outside employment, or other purposes of a personal nature. A personal LWOP may be 100% or a fraction thereof, for one or two terms, one year, or shorter periods of time. When a faculty member takes a personal LWOP, he or she does not accrue service
credit toward probation, sabbatical or difference-in-pay leave eligibility, salary service increase eligibility, or seniority (there are some exceptions, but a chair is not expected to know them). In essence, the year does not count. Professional LWOPs are granted for the purposes of research, advanced study, professional development, or other purposes that benefit the university. Faculty members on professional LWOP do accrue service credit, unlike those on personal LWOP. But, the accrual of service credit toward sabbatical eligibility and difference in pay eligibility are for a maximum of one year. Accrual of service credit toward service salary increase eligibility is a maximum of one year per professional leave of absence without pay and any corresponding extensions.

The CBA has guidelines (Article 13) for when the President shall and may extend the probationary period (or “stop the clock”) if requested by the faculty member. It must be stopped when the faculty member is on a one-year leave for pregnancy/birth or adoption, for the duration of a personal leave without pay, or for one year of a two or more year professional leave without pay. It may be extended for one year only when the faculty member takes any kind of leave with or without pay for less than one academic year. The Provost approves the extension of the probationary period on behalf of the President.

Tenure-track faculty members who wish to take a personal or professional LWOP must submit a request form (http://www.cpp.edu/~faculty-affairs/documents/lwop_request_form.pdf) to the AVP for Academic Planning and Faculty Affairs. The chair and the dean must approve the request. Please be aware that it is not appropriate to approve a leave for a faculty member who has accepted or is contemplating accepting another permanent job (academic or otherwise). Tenure-track lines are precious resources, and it is not in the best interest of the university to hold them open while colleagues “try out” another job.

Temporary faculty members may also be eligible for a personal or professional leave of absence without pay. That form is also on the Faculty Affairs website, and is submitted for approval to the chair and the dean. Temporary faculty members who receive a leave of absence without pay pursuant to Article 22 of the CBA retain all appointment rights as if they were in work status.

Sabbatical leaves are granted for purposes that provide a benefit to the university, such as research, scholarship, or creative activity. Faculty members (including lecturers) are eligible for a sabbatical leave if they have served full-time for six of the preceding seven years, and at least six years have passed since their last sabbatical or difference-in-pay leave. The policies and procedures outlined in CBA Article 27 are supplemented by CPP Policy No. 1375, formerly Appendix 26. The CBA requires that a professional leave committee review all sabbatical proposals. CPP Policy No. 1375 permits the chair to make an independent recommendation. The chair’s responsibilities also include forwarding all applications and rankings to the dean, and providing a statement regarding the effect on the curriculum.
and operation of the department if the sabbatical leave is granted. The university is required by the CBA to grant a specific number of sabbaticals based on a percentage of eligible faculty members. Even in times of financial hardship, the university must fulfill its contractual obligations. Sabbaticals are competitive, and the number of applications often exceeds the number of available leaves.

All sabbatical leaves for one half of full salary, provided they are recommended, shall be approved. Those applications are not included in the rankings.

*Difference-in-pay leaves* Article 28 is similar to sabbatical leaves except for how compensation is calculated. Faculty members (including lecturers) are eligible when they have served full-time for six of the preceding seven years, and at least three years of full-time service have passed since their last sabbatical or difference-in-pay leave. The procedures outlined in CPP Policy No. 1377, formerly Appendix 25, parallel those of sabbatical leaves. The pay for these types of leaves is the difference between the faculty employee’s salary and the minimum salary of the instructor rank (see Article 28 for salary for librarians and counselors).

*CalPERS* service credit may be affected by various leaves. It is strongly advised that the faculty member contact CalPERS directly for information.

**Faculty Early Retirement Program (FERP)**

*Article 29*, the FERP permits a faculty member, upon retirement, to teach one quarter in the academic year or half time over two or three quarters (e.g., a .75 time base for two quarters or .50 time base over three quarters). Under the current CBA, faculty members may take advantage of this program for up to five years. The faculty member must request a specific period of employment (e.g., fall, winter or spring quarter), and may change that period of employment by request to the President who has delegated this to the Provost. The Provost may determine that it is necessary, due to programmatic needs, to change the period of employment. Typically, the Provost would do so upon the request of the dean, who in turn would respond to the needs of the department. The Provost would attempt to reach a mutual agreement with the faculty member, but if it cannot be reached, it is the Provost’s prerogative to make the final determination. The faculty member may also request a reduction in time base, but that reduction would continue for the duration of the FERP appointment. FERP participants may request one leave of absence without pay for medical reasons, which does not extend their period of FERP.

As CalPERS retirees, the total time FERP participants are permitted to work is restricted to 90 workdays or 50% of the time base held in the year preceding retirement (see Article 29 for work
is restricted to 90 workdays or 50% of the time base held in the year preceding retirement (see Article 29 for work restrictions affecting librarians). During their period of employment (that is, the term or terms they teach), FERP participants are required to perform normal duties and activities, which are generally in the same mix of assignments as before retirement, but prorated. They may serve on governance committees, including peer review committees, if the committee’s assignment is normally completed during the period of employment. They also may vote on departmental matters. FERP participants may not receive compensation for any state-funded additional employment or overload. California Pension Reform law which became effective on January 1, 2013 has several restrictions regarding post-retirement employment, including a mandatory 180-day sit-out period after retirement before returning to work as a rehired annuitant. Therefore, during the time period between the faculty member’s retirement and the start of the FERP appointment, faculty may NOT work for any CalPERS employer unless the 180-day sit-out period has been completed, or both the faculty member and the University will be subject to significant penalties, e.g., possible loss of lifetime benefits and fees. Given this, it is extremely important to track which faculty have retired in order to properly offer appointments that meet these legal requirements.

**Salary**

Salary matters are laid out in Article 31 of the CBA. The only specific role for the chair is that she or he receives applications for market adjustments and range elevations and makes recommendations to the dean, as described in the Market Salary Increase procedures, CBA Article 31.25, and Range Elevation policy, CPP Policy No. 1332. On occasion, when temporary faculty members are offered new appointments, e.g., from year-to-year or for first time or subsequent 3-year appointments, they may request that the appointments be compensated at a higher rate. Such requests should be discussed with the dean, who, as the HEERA manager, would make the final determination as to whether requests should be granted or denied.

**Layoff (CBA Article 38)**

It is critical for chairs to understand what layoff is and what it is not. Layoff is the involuntary separation or reduction in time base of an employee when the university determines that there exists a lack of work due to insufficient funds or programmatic change. Only the President can determine the need for layoff. The President must inform the CSU that there may be a need for layoff, and the CSU in turn notifies the CFA. The two parties are required then to meet and consult on alternatives to layoff. Should attempts to avoid layoff fail, layoff proceeds by deliberate steps clearly laid out in the contract. The CBA defines the unit of layoff (for faculty employees, it is the department or equivalent unit), the order of layoff,
exceptions to layoff, and requirements for notice of layoff. There are also specified options lieu of layoff and a description of recall rights and opportunities.

Not all involuntary separations or reductions in time base constitute layoff as defined by the contract. Part-time lecturers with conditional appointments need not be laid off if budget or enrollment considerations eliminate their positions. Even if a part-time lecturer is in the midst of a three-year appointment, his or her appointment is still conditional upon budget and enrollment, and if the courses do not exist, the university is not obligated to declare layoff. However, the terms of the three-year appointment remain in force, and the program is obligated to offer the lecturer classes if they exist in the next year of the appointment. For these reasons, it is important not to use the word “layoff” when referring to the separation of a part-time lecturer.

Note that full-time lecturers have unconditional appointments, so they maintain their entitlement to work during the life of their employment. If the full-time lecturer has a one-year appointment, there is no obligation to rehire them the next year. But if he or she is in the first or second year of a three-year appointment, they must be rehired or laid off.

Should the President conclude that budget reductions or programmatic change require the separation of any faculty employees other than part-time lecturers with conditional appointments, then all separations must be done under the layoff provision. This means that part-time lecturers as well as anyone else would have to receive notice of layoff. Only tenured and probationary faculty members have recall rights under the CBA.

**Unit 11 (Academic Student Employees)**

Unit 11 covers three classifications: Instructional Student Assistants (undergraduate or graduate student workers whose employment includes at least 50 percent teaching, grading, or tutoring), Graduate Assistants (GAs), and Teaching Associates (TAs). As managers and administrators, chairs need to do their best to ensure that the provisions of the agreement are met, that the faculty understands its responsibility under collective bargaining, and that the fundamental educational mission of the program remains pre-eminent. Academic student employees (ASE) are both students and employees, and one of the chair’s tasks is to distinguish when their grievances and concerns arise from their role as students and when from their status as employees. Only the latter is covered under collective bargaining.

The **Unit 11** CBA is too long and detailed to cover in its entirety, but the following paragraphs address some of the areas chairs will handle most often.
Appointments, Posting and Notification

Unit 11 appointments must be more formalized and conform to the process described in the CBA. ASE positions can be open, committed, or emergency. Committed positions are those offered to a student as part of a recruitment package or that result from an existing advising relationship with a faculty member. Emergency positions are those that begin less than a week after they are open. All other positions must be posted on a central university website, and may be posted elsewhere at the department’s discretion. Once an appointment is made, the student employee must be sent a written notification. Appointments for TAs and GAs are processed through the University temporary faculty module. Appointments for Instructional Student Assistants are processed through the University Career Center.

Unit 11 appointments of one term are not conditional. This means that if the individual is offered and accepts a conditional employment and it’s no longer available, the campus shall ensure that the employee is placed in an appointment at the same level of compensation for the term(s) stated in the appointment notification, or receives compensation in lieu of the position for the term(s) stated in the appointment notification. Employees may be reassigned for "operational needs," which means that if you discover early in the term that a TA cannot handle classroom duties, you can move her or him out of the class and into other duties. An ASE can also be removed for academic ineligibility within the first five weeks of the term. However, if a problem arises from conduct, then we must use the discipline procedure. Discipline is limited to a written reprimand, suspension without pay for a maximum of 21 calendar days, or dismissal, and may be taken to arbitration.

Evaluations and Personnel Files

There is no requirement that departments conduct performance evaluations of ASEs, but if they are to take place, the criteria, schedule, and procedures must be communicated in writing to employees or upon request to the Union within the first 14 days of the appointment period, and cannot be changed during the appointment period. It may well be a good idea to institute a formal evaluation for these employees to provide information upon which to make reappointment decisions. A student employee who is unhappy with the content of an evaluation may submit a rebuttal, but can only grieve on procedural grounds (for example, because they did not get a copy of the criteria and procedures) or if alleging a violation of the nondiscrimination article.

Evaluations become part of the student employee’s official personnel file, along with all information pertaining exclusively to employment in the bargaining unit. Don’t mix up the personnel file with files kept on their progress as students. ASE personnel files are similar to
faculty PAFs: they are confidential, access to them is restricted to people with official business who must sign a log, and filing notice must be given (14 days instead of five) when material is placed in the file. If unsure, it’s best to check with your college dean’s office to determine the custodial location for ASE PAFs, e.g., the college or the department. As with faculty files, personnel actions must be based upon the ASE personnel files. Employees who disagree with anything in the file have 30 days to append material or request a correction of factual, non-evaluative information.

**Grievance Procedure**

The grievance procedure has two levels: informal steps and formal steps. The chair’s responsibility comes at the informal level. The first goal is to attempt to resolve conflicts within the department. The student employee should meet first with his or her immediate supervisor, although this step is not mandatory. If there is no resolution at this step, the employee must meet with the person designated by the university to handle informal step 2 meetings. That person is the department chair in most cases. If the chair is the subject of the grievance, the dean or designee will conduct the informal step 2 meeting. If the grievance cannot be settled informally, the employee may file a formal grievance which will be heard by the AVP for Academic Planning and Faculty Affairs, and ultimately go to arbitration. Of course, we wish to do everything we can to avoid that conclusion, beginning with conscientious adherence to the terms of the CBA and continuing on to active and principled attempts to resolve complaints.

**Instructional Materials, Service and Support, and Training**

The university is required to provide an ASE with access to workspace, texts, facilities, services, and instructional support that it deems required to perform work. The chair is the best person to determine what is necessary under the prevailing conditions of the department. If the assigned work requires a computer, it is reasonable to expect that you would provide the employee access to one. If a TA is expected to hold office hours, you should provide her or him space to do so, although you don’t need to provide more space than you would to a lecturer. Best practice would be to apply a “reasonable person” standard when determining what is required and what is not.

All required training and orientation should be considered part of workload, and therefore compensated, with the exception of pedagogy courses and other training required as a condition of employment. What specifically will fall under this exception is not clearly laid out in the agreement, therefore, when in doubt, consult with Faculty Affairs.
Non-discrimination

ASE complaints of discrimination based in employment, as well complaints of whistleblowing or retaliation should be referred to the Office of Equity, Inclusion and Compliance. In either case, if the discrimination is alleged to have occurred based on the employee’s student status, and not their employment status, please walk through the Student Complaint Procedures with the student and refer the student to the appropriate office based upon the nature of the complaint and who the complaint is being made against. Depending upon the nature of the complaint, students may also be referred to Counseling Services, the Violence Prevention & Women’s Resource Center, the Student Health Center, and/or the University Police Department. ASEs in either their employee or student role may also contact the Office of the University Ombuds (Ombuds Office).

Workload

All ISAs are non-exempt employees, which means that they are paid an hourly wage for a specific number of hours for all work assigned by their supervisor including work-related meetings, so that monthly pay may vary from month-to-month. All GAs are also non-exempt but appointments are made by time base and are made in regular monthly payments. All TAs are exempt employees, which basically means that, like the faculty, they are hired into a specific position, and not on an hourly basis. Nonetheless, they must be assigned a reasonable workload, which is defined as the number of hours the university could reasonably expect a TA to satisfactorily complete the work assigned. The CBA states that reasonable workloads shall be measured by several factors, including the nature and quantity of work assignments (such as grading responsibilities), number of students, and type of instruction subject to specified time base limitations. Clearly, there is no simple formula for a reasonable workload, and conflicts between the department and its TAs may arise. Employees are expected to raise workload issues with their supervisors as soon as possible, and supervisors should take these concerns seriously and evaluate whether the assigned workload is reasonable. The chair, in particular, should step in when necessary to adjust student workload in compliance with the CBA and, more importantly, in the best academic interests of the student.
CHAPTER VI
STAFF

Recruitment and Retention

Similar to the recruitment and retention of faculty, the involvement in recruitment and recommendation of hiring of new staff employees is an important responsibility of the Department Chair. The HEERA Manager is required to be involved in all interviews of staff positions and the HEERA Manager also makes the ultimate decision on who to hire, taking into consideration the Chair’s recommendation. The technical/support staff provides the human power that drives the academic engine. They are in the trenches dealing either with the day-to-day operations of the department or working with the faculty and students in laboratory settings. They are often the initial contact for students, parents and the public seeking department information and are the liaison between the department and other units on campus. Because of their key role in the administration and operation of the department, it is important that chairs devote appropriate time and energy to the recruitment of new staff members.

As Department Chairs are not responsible for HEERA Manager type duties, please refer to the reference sheet on the HR website http://www.cpp.edu/~hr/employee-labor/documents/heera-managers-vs-leads.pdf as to what Lead duties the Department Chair can perform and what duties reside with the HEERA Manager.

Staff employees belong to several different bargaining units and are represented by a number of different unions. The California State University Employees Union (CSUEU) covers Units 2, 5, 7, and 9. This is the largest staff union on campus and these incumbents are employed throughout the campus. In academic departments, the support staff are in CSUEU (i.e., the Administrative Coordinators that support the Department Chair are in CSUEU). Some academic departments may also have staff members who belong to Unit 4, represented by the Academic Professional of California (APC). For example, Academic Advisors, Counselors, and Credential Analysts reside in APC.

New and replacement staff positions are requested through your Dean’s office. You will be asked for a written justification for the position as well as the time base for the appointment. Depending upon operational needs and budgetary constraints, staff appointments may be made on a temporary or permanent basis (after successfully serving a probationary period). If approved, you will then need to complete recruitment paperwork, develop a detailed job description, and determine who will be on the
interview panel. A HEERA Manager must be included in all interviews. Panel members for APC (Unit 4) positions must include at least one Unit 4 employee, who may come from your own or another department. Since job classifications are governed by the CBA, you should review information regarding CSU Job Classification Standards and refer to the Human Resource Services Classification & Compensation website. While minimum requirements should conform to these classifications, under the “preferred section” you may add specific duties, skills or experiences directly related to your discipline. You should work closely with your Dean's office and HR as you craft the job description. Once approved by HR and routed through Budget Services, the job is posted on the CPP and CSU websites for a minimum of fourteen (14) days. For highly specialized staff positions, additional time and use of additional recruitment sources may be required. Any additional recruitment sources will be paid from your department budget.

Following the application filing deadline, HR will screen the applications for minimum requirements, and then forward them via e-mail to the department for review by the search committee. HR will provide the HEERA Manager with an applicant rating form to be used in evaluating applications. It should be noted that, per CSUEU collective bargaining provision Article 9.3, it shall be the policy of the CSU in filling vacant bargaining unit positions to fill such vacancies from among qualified individuals currently employed at a campus. However, this provision also states that the President may appoint outside applicants when he/she determines such action is necessary to meet the best interests of the campus by obtaining specialized skills and abilities not available from current employees. It is required that the on-campus applicants be interviewed first and a decision made prior to receiving applications for any external applicants. Your HR recruiter can give you more information about this and how such applicants must be handled. Once the department schedules interviews, the information should be e-mailed to the HR Recruiter (date/time/name of interviewee). Interview questions, based on the job description, should be developed by the hiring manager or interview panel and forwarded to HR for approval. To help evaluate specific skills, it may also be appropriate to create a performance exercise for applicants, if an exercise is used, it must be indicated in the job posting. You should work with HR in developing this exercise. The hiring manager is responsible for conducting reference checks. HR has guidelines and a sample form. Once the oral interviews and/or exercises are completed, justifications for hires and non-hires for all applicants, and candidate evaluation forms are forwarded to the Appointing Officer and then to HR for approval. HR will ensure the salary recommendation doesn’t cause internal equity issues and then will conduct the background check and make the job offer. Once the candidate passes the background check and accepts the offer, you will
notified. HR will send new employees a welcome letter that includes information on how to claim their e-mail, website links to the new hire orientation video, and new hire paperwork to be completed before their first day. On their first day, they will attend an orientation in HR, meet their union representative and obtain their parking pass. This orientation takes approximately an hour and a half. Then, HR will escort the new hire to their department.

Positions that have permanent funding require that the new staff member be hired as a probationary employee. Probationary employees who are hired full-time to CSUEU and to APC bargaining units serve a one-year probation period. Temporary employees in the CSUEU and APC bargaining units may also earn permanency after four consecutive years of service. You’ll want to refer to the CSUEU CBA to refer to how a year of service is defined for 12-month, 10-month, and academic year positions. A year of service for APC employees is defined as an employee having compensable status for 275 days or more. If you need clarification, contact HR.

CPP considers the retention and on-going education/training of staff a high priority. Various compensation options and professional development opportunities for staff members are available through the university. If you or an employee is interested in finding out more about these programs, you should contact HR.

**Staff Performance Evaluations**

All staff employees must receive performance evaluations. As Chair/Lead for all staff members in your department, it is your responsibility to document and provide input toward creating these evaluations based on your direct interactions with the employee(s). You may also incorporate feedback from faculty and/or staff members who have frequent contact with the employee(s) about whom you are providing input. Performance evaluations are an important and required process for the staff and provide an opportunity to formalize both positive and constructive feedback, discuss progress towards meeting previous goals and develop new ones for the coming rating period. These evaluations also may affect important decisions about performance-based pay awards, in-range progression pay, and promotions. Although a performance evaluation is not considered a disciplinary document, the work performance record is part of the Official Personnel File on which employment decisions are made.

**Intervals**

The Collective Bargaining Agreements (CBA) require that employees receive performance evaluations at different intervals during the probation period and then annually thereafter.
Temporary employees require periodic intervals during the temporary assignment, however, it is highly recommended to follow the same intervals as probationary employees (3-month, 6-month, 11-month) to ensure job performance and performance standards are consistent in the department/college. Unscheduled performance evaluations may be prepared by the HEERA Manager or may be initiated by employee request. Your Dean’s office will communicate the dates when performance evaluations are due.

In Preparation

At the beginning of the rating period and before providing input, the HEERA Manager and you should review the performance evaluation from the previous rating period for prior work performance ratings and goals. The employee’s position description (also referred to as the “job description”) should also be reviewed since it describes the position’s duties and responsibilities upon which the performance evaluation should be based. Moreover, the position description should be maintained to reflect the current duties and responsibilities of the position. When updates/changes are made to a position description, it must be submitted to Classification & Compensation (Human Resources) for a review and the effective date is subject to Collective Bargaining Agreement (CBA) provisions. Above or below “Satisfactory” levels of job performance by staff members require that specific examples are documented in the written comment sections. It’s important to note that here shouldn’t be any content in the performance evaluation that is less than satisfactory that the employee was not made aware of during the rating period and provided with an opportunity to improve. Contact the Employee/Labor Relations department for assistance addressing less than satisfactory work performance and assistance with documenting “requires improvement” or “not satisfactory” work performance throughout the rating period and within the performance evaluation.

The Procedure

Once the draft performance evaluation is completed by the HEERA Manager, you may coordinate the performance evaluation meeting with the HEERA Manager, employee, and the Chair/Lead (optional) to deliver the performance evaluation document, to review the contents, and discuss goals. The Chair/Lead is not permitted to conduct the performance evaluation meeting independent of the HEERA Manager’s presence or finalize the performance evaluation document. You may request that the employee provide information to contribute toward the development of the draft performance evaluation in advance of the performance evaluation meeting, but, it is not required. After discussing the content of the evaluation, the employee has a review period to
provide input and a response if desired. After the review period has been observed and the input considered, the performance evaluation can be finalized indicated by the HEERA Manager’s signature and date. If the employee declines to sign the report, indicate this on the form under Employee’s Acknowledgment. Once the HEERA Manager finalizes the report, a copy of the report is given to the employee and the original is forwarded to HR Employee/Labor Relations for placement in the employee’s Official Personnel File. A copy should also be placed in the employee’s department/college file.

The Collective Bargaining Agreements (CBAs)

The CBAs covering the employee(s) to be evaluated should be consulted to ensure specific provisions of the relevant CBA are being followed e.g. required delivery protocols, responding to formal meeting requests, and timelines for HEERA Managers to reply to employee response/rebuttals. The following are brief summaries from both the CSUEU and APC CBAs. Since CBAs are renegotiated periodically, it is critical to consult the current contract provisions before initiating the performance evaluation process.

The CSUEU Collective Bargaining Agreement Article 10 Employee Performance requires that the HEERA Manager provide a draft evaluation to the employee for their review, input, and discussion. The employee must be given five (5) work days to review the draft evaluation and contribute input (the employee can request an additional five (5) days) before it can be finalized indicated by the HEERA Manager’s signature and date. The HEERA Manager should consider the employee’s input and make any needed adjustments before preparing the final performance evaluation report. If an employee disagrees with the final performance evaluation report that has been placed in the employee’s official personnel file, the employee may submit a rebuttal statement that will be attached to the finalized performance evaluation.

The APC CBA Article 18, Evaluation requires that the HEERA Manager inform the employee in writing that a performance evaluation will take place prior to the commencement of the performance evaluation process. The CBA requires that you use the Unit 4 evaluation form for Unit 4 employees and that the HEERA Manager provide a draft evaluation to the employee for the employee’s review and to provide verbal feedback. The employee must be given fourteen (14) days to provide input and submit a rebuttal if desired before it can be finalized indicated by the HEERA Manager’s signature and date. The HEERA Manager should consider any employee input and make any needed adjustments before preparing the final performance evaluation.
report. An employee may elect to submit a rebuttal accompanied by the draft evaluation it rebuts to his or her Official Personnel File.

**Resources**

Please see the HR **Employee/Labor Relations** for information regarding performance evaluation guidelines and contact Employee/Labor Relations for questions, contract interpretation, guidance, and best practices.

**Progressive Discipline**

While the philosophy of progressive discipline is similar for staff as for faculty members, the staff CBAs provide different procedures. For all questions about standards of conduct, reprimands, and discipline in relation to staff, Chairs/Leads should consult HR **Employee/Labor Relations**.
CHAPTER VII
STUDENTS

Undergraduate Advising

CPP employs a dual model of advising. There are two sources of advising, and students should take advantage of both. Students who need assistance or clarification regarding graduation requirements, general education requirements, or university policies and procedures should visit the Office of Student Success located in CLA 98, 7th floor. The Office of Student Success provides oversight to university advising and the new Bronco Advising Center (formerly the One-Stop Enrollment Center). The Bronco Advising Center (BAC) can assist students with general advising questions, petition questions and processing, 4 and 2-year pledge program, and enrollment related issues. Questions particular to major requirements, career prospects for the major, and graduate educational opportunities are directed to the undergraduate adviser in the respective department.

Within the department, the undergraduate adviser is responsible for assuring that the undergraduate program runs smoothly and that the department is meeting the needs of its students. Among his or her tasks, the adviser may:

• hold informational meetings to "recruit" new majors (assuming your major is not impacted);
• participate in the new student orientations for transfer students and freshmen.
• keep informed about changes in requirements for the major (these vary according to the year that an individual student declares the major) and be able to explain these change to students;
• know which courses "articulate" (that is, are equivalent) between your department and local community colleges;
• ensure your majors are using MyPlanner for scheduling and registration;
• ensure your majors are submitting their Individual Academic Plans (IAPs) and that they are being reviewed and approved by department/college advisors;
• know who your majors/minors are
• communicate with your majors/minors when necessary using regular mail or e-mail
• obtain access to the CPP WebPortal "adviser" role so that you can access unofficial transcripts and degree evaluations for your advisees;
• encourage students to form or participate in an undergraduate club or student association;
• schedule periodic get-togethers with the majors/minors and faculty members to foster a sense of community;
• recommend outstanding students for induction into the various honor societies (solicitations are sent to the department chair who can forward them to their undergraduate advisers);
• encourage undergraduates to apply for available scholarships; and
• serve as the primary contact person between the chair/faculty and students once a student has declared a major.

These tasks are extremely time-consuming when done well and faculty members assigned to this service position should, budget permitting, receive assigned time to facilitate their willingness to assume these duties. The undergraduate adviser also works very closely with the chair should any problems arise with majors or minors. These might include poor classroom performance, complaints about individual professors, emotional or physical problems or trauma, economic hardship, cheating and plagiarism, or difficulties in adjusting to the university. The chair and the adviser frequently discuss and choose a course of action on issues such as these. Finally, the chair should encourage the adviser to maintain a working relationship with an adviser in the BAC for general questions and policy updates.

**Graduate Advising**

Graduate advising carries its own unique set of tasks. The graduate adviser may:

• make admission decisions if required by department (some have admissions committees);
• oversee advancement to candidacy and determine when students who have been admitted conditionally are to become classified graduate students;
• notify Graduate Studies when students have successfully completed a comprehensive exam if Plan B is an option in the program chosen by the student;
• work closely with the college Graduate Coordinator evaluators to ensure students have approved Programs of Study on file and request formally any exceptional changes to be made to degree requirements;
• make recommendations to the chair and the Graduate Coordinator regarding the reinstatement of students who have been disqualified;
• publicize the graduate program(s) to facilitate recruitment of the best caliber graduate students;
• serve as the primary contact person for prospective graduate students inquiring about the program;
• oversee—with the chair and other faculty members—classroom and research assignments;
• meet with graduate students to ensure that they are "on track" with regards to degree requirements (i.e.: Program of Study, language fulfillment and completion of culminating experience);
• foster a sense of community by encouraging faculty to schedule and attend social events with graduate students (an early fall orientation off-campus is a good way to start off positively); and
• update the departmental newsletter or Website on recently completed theses, research/travel study opportunities, and professional placement after graduation from CPP.

The graduate coordinator also works very closely with the chair should any problems arise with graduate students. These might include poor classroom performance, emotional or physical problems, trauma, economic hardship, or difficulty in adjusting to the program. The graduate adviser and chair frequently discuss and choose a course of action on issues such as these. Because of its demanding workload, the position warrants course release whenever possible.

**Student Rights and Responsibilities**

The California State University is regulated by the California Code of Regulations. On this campus, there are three main sources for information on regulations that govern student behavior. One consists of the CSU Executive Orders, especially the executive orders on Academics and on Student Conduct. The second source is the website of Office of Student Conduct and Integrity. There you can find the full Student Conduct Code, a description of disciplinary procedures, and a link to the Ombuds Office. Finally, the University Catalog includes a section on Student Conduct and Discipline, as well as information on grades, course credit, student records, graduation, and so forth. Students are responsible for knowing the content of the catalog, and abiding by the policies and regulations contained within. An additional resource for student complaints is the Office of Student Success.

As chair, you should help your faculty, especially your newest members, understand their options when faced with student misconduct. You may also on occasion need to address unjustified behavior on the part of a faculty or staff member toward a student. You may need to mediate between irate or unhappy students and faculty. Familiarize yourself with university policies and support structure to be better equipped when faced with these situations. Faculty members are encouraged to contact the Office of Student Conduct and Integrity and their dean’s office when they wish to discuss troublesome or challenging classroom behavior. Student Health and Counseling Services may also be contacted for feedback when mental health issues may be affecting a student’s classroom behavior.
Faculty should know that the greatest part of the work done at the Office of Student Health and Counseling Services is to help students make better choices for the future. This includes offering individual counseling sessions, group sessions to focus on anxiety, body image, identity, confidence, time management, or anger management, workshops to focus on alcohol and other drug issues, and more. Departments may request workshops to aid faculty in their efforts to better support students on campus.

Faculty are encouraged to work with the Office of Student Conduct and Integrity, not only if they are facing disruptive student situations, but also if academic dishonesty or other student misconduct is occurring. Student Conduct and Integrity is responsible for holding students accountable for their actions, but also appropriately offering students tools to help ensure that conduct violations do not occur again in the future. They meet with students to discuss a variety of concerns and utilize an educational and student development approach to any interventions. The Student Conduct & Integrity website has resources for students and faculty. Departments are encouraged to request workshops to aid faculty in their efforts to better support students on campus, particularly on topics including academic dishonesty or handling disruptive student situations.

It should be noted that the Chancellor’s Office has issued an executive order that mandates reporting of all cases of academic dishonesty (cheating and plagiarism) to a central location. The Office of Student Conduct and Integrity has prepared a form for faculty to use, and will maintain a database that can track students who have multiple infractions across departments and colleges. Remind your faculty that while individual professors are responsible for determining academic sanctions, they are also expected to report incidents and make recommendations on further disciplinary action to the Office of Student Conduct and Integrity.

**Student Complaints**

Student complaints can arise from a large variety of situations. Students may disagree with their instructor’s viewpoints in class, or believe that they have not been graded fairly on a particular assignment or over the course of an entire term. A student may complain that the professor has an inflexible policy on make-up examinations or incompletes. Some students may communicate their concerns about a dysfunctional classroom environment, which might entail students feeling "unsafe" to express their opinions, rude or dismissive comments made by other classmates or the faculty member, or a pervasive air of hostility.

Whether undergraduate or graduate, students should first be encouraged to speak with the faculty member with whom they disagree. This would absolutely not be required when a
students, has engaged in discrimination (including sex assault), harassment and/or retaliation, or any threat of harm against the student. Complaints of this nature will be addressed separately below. In all other cases, it is quite likely that the student has already attempted communication and felt rebuffed or misunderstood, is unwilling to approach the faculty member given that communication is already poor, or is only willing to talk with the faculty member if you are present as a mediator. Disputes of this nature are best dealt with quickly. If you receive a call or a drop-in visit from a student with a concern about a faculty member or a classroom situation, do not put off meeting with that student in the hope that the problem will disappear. By the time the student has garnered the courage to come speak with you, chances are the student is already dismayed and in need of being heard. Failure to listen and act swiftly increases the likelihood that the student will go to the dean or another university office with this complaint. Your perceived reluctance to help foster a negotiated resolution may reflect poorly on your faculty and your ability as a chair to handle these situations “in house.” However, students do have the right to go to the college dean and/or the Ombuds Office if they are not satisfied with the results of your attempted facilitation.

When a student makes a complaint you should:

- Keep a meticulous paper trail of dates, concerns, and all specifics that the student mentions.
- When gathering information, stay focused on the behavior that is occurring in the situation, so that if any remedies are necessary, it can be focused on improving the behavior.
- Suggest that the student speak one-on-one with the faculty member involved. If the student agrees to do this, it is advisable to call the faculty member, say you spoke with the student, and that they should expect a request for an appointment.
- Speak with both the student and the faculty member after they meet to evaluate if the situation has been appropriately resolved.

If the student wants you to mediate a meeting with the faculty member, set that up within two to three days. Letting time elapse aggravates an already impaired classroom environment and/or faculty/student dynamic. It is a courtesy to colleagues to inform them of the nature of the student’s complaint before the meeting occurs so that they can collect necessary documents in order to facilitate a productive conversation. It is your goal as chair to work towards a negotiated settlement during this meeting. Leaving an individual faculty member (especially someone at a junior rank) to negotiate these situations is not a good idea. Suggest a couple of strategies to your colleague before the meeting to facilitate
this negotiated approach. You may find, after speaking to the faculty member, that she or he is unmoving (for example, refusing to let a student make up an examination missed because of an illness that can be corroborated by a doctor’s note), but you do not have the authority to overrule an individual faculty member in the conduct of their course and grading. However, few faculty members are that stubborn. It is in the gray areas that you can be of most assistance by encouraging the student to accept responsibility for his or her deeds (or lack thereof) and the faculty member to be flexible in resolving the situation. When persuasion fails, you should direct students to the associate dean or dean, the next step in the Statement of Student Rights, Responsibilities and Grievance Procedures. Students also have the right to speak to the college dean if they are not satisfied with the resolution of the situation.

If complaints about a faculty member are numerous, keep a paper trail. You may decide to suggest to a faculty member that they contact the Employee Assistance Program. Note that you can only suggest, not demand, this course of action. You may also need to inform your dean or the AVP for Academic Planning and Faculty Affairs about a recurring problem. Do not try to manage difficult, stressful, or potentially dangerous situations by yourself with either students or faculty members. There is a network at CPP of people familiar with these situations that can intervene and assist you. As chair, you have countless duties, and demanding and disruptive students or colleagues should not be allowed to impair your ability to function in your job.

**NOTE:** If a student comes to you as chair with a complaint of sexual harassment you must (you do not, by law, have the choice not to act) immediately report this to the campus Title IX Coordinator, who will guide the student in the appropriate procedures from that point forward. Do not make the mistake of “covering” for someone or hoping the student will forget about it and not mention it again. It is equally important that you not guarantee confidentiality and that you disclose this to the student as soon as possible in the conversation. You should strongly encourage victims to talk to someone to get support and resources and to allow the university to respond appropriately. You should provide the student with the campus Notice of Nondiscrimination on the Gender or Sex, a copy of the Notice of Rights and Options for Victims of Sexual Violence, Dating Violence, Domestic Violence and Stalking, a copy of “Myths and Facts about Sexual Violence”, and with brochures for the Office of Equity, Inclusion, and Compliance (which houses Title IX), Counseling Services, the Ombuds Office, Survivor Advocacy Services, and CSU Executive Order 1095. When in doubt, call the campus Title IX Coordinator for guidance. You will need to inform the student that if he or she wants to talk to someone confidentially, the following organizations offer support and are not mandated to report to university officials: 1) Counseling Services; 2) Survivor Advocacy Services; 3) a rape crisis center; 4) University and/or Pomona Police Departments, and to a limited extent, 5) the Student Health Center. You should offer to assist the victim in contacting any of these offices/organizations for assistance. As chair, you will also be required to take a mandatory online on
sexual harassment as well as training regarding how to respond to Title IX complaints.

Faculty will on rare occasions have to deal with students they consider disruptive in class. If this happens repeatedly, the faculty member should inform the student that particular actions are considered disruptive, and that future recurrence may be grounds to bar the student from the class. Per the “Exclusion of Students from Classes” policy cited in the University Catalog, faculty members have the authority to remove a student from a class when students are disrupting the orderly conduct of the classroom or are a hazard to themselves or others. Faculty are advised to consult with the chair and/or Student Conduct and Integrity before taking this action, although in an acute situation faculty may need to engage in immediate action. When warranted, faculty are advised to remove the student for a specific class period and then report the incident to Student Conduct and Integrity at which time Student Conduct and Integrity can assess the advisability of permanent removal of the student or transfer to another class depending upon the circumstances. If the student’s continued presence in the classroom is highly disruptive, Student Conduct and Integrity may send a letter, or have a letter hand-delivered, to the student stating that they are not to return to that specific class until they have met with a student conduct officer. If you feel there is the possibility of danger to the students in the classroom or the faculty member, you should immediately contact the University Police Department. Watch for danger signs such as invasive or inappropriate e-mails, notes, or comments from the student; sexually suggestive or threatening remarks; and disruptive or upsetting classroom behavior. This is unnerving to faculty, and in some cases, to other students in the classroom, and they need your support and guidance when a situation like this occurs. In the event that a student is exhibiting odd, but not disciplinary-related, behavior, the appropriate referral might be to Counseling Services, not the Student Conduct and Integrity, but in either event, you should report the behavior to PolyCARES. It is usually more effective to accompany the student to Counseling Services than to leave it to his or her discretion.

Student Organizations

When you assume the responsibilities of chair, your department may already have (an) intact student organization(s). In addition to department-related student organizations, each college has an official “College Council” that serves as a support for student organizations that fall within each respective college, as well as a possible source of funding for student activities. At both the undergraduate and graduate level, these organizations can be extremely helpful to the department—and you as chair—in a number of ways. A student-run organization can help you contact your students should you need attendance at an upcoming event, feedback on a departmental issue, nominations for a paid work position off-campus, volunteers to meet with donors or community members, or contributors to your newsletter.

² PolyCare is a behavior intervention team of cross-campus members representing various student, staff and faculty constituencies, including CAPS and University Police, who proactively identify, assess, and offer a coordinated institutional response to those who pose a risk to themselves, others and/or the campus community.
Department-related student organizations can elect officers and apply for on-campus status as a recognized student organization in accordance with policies and procedures administered by the Office of Student Life & Cultural Centers within the Division of Student Affairs. This entitles them to submit funding proposals to the Associated Students, through their College Council, for a budget, with the ability to plan events and invite speakers. Your recognized student organization can co-sponsor activities offered by your department by contributing a nominal honorarium and be listed as an official co-sponsor. Conversely, you are encouraged to co-sponsor their events as well.

**Please note:** Clubs and organizations should not be used as sponsors of events that are in fact being organized and presented by your department. Student facilities are financially supported from student fees, without the benefit of state funding, and are managed by the Associated Students. Although recognized student organizations are entitled to free or discounted use of these student facilities, Associated Students policy requires student organization leaders to be the ones who initiate the event concept and be exclusively involved in the planning and presentation of events sponsored by the student organization in order to qualify for student rates. Department-initiated and sponsored meetings and events that utilize student organization members to assist in the execution of the department activity do not qualify for student rates. CPP departments are required to pay modest rental rates offered at a special CPP pricing for events held in student-operated facilities. Contact Licensing of Facilities at extension 3387 for more information. Please also be aware that reservations in Associated Students facilities cannot be transferred from a recognized student organization to a department, or vice versa.

To start and/or nurture an ongoing student organization, take the "pulse" of your students. Do they have an established group? If yes, ask if they have applied for and received official recognition as an approved student organization. You can check the online listing of recognized student organizations. Student organizations must apply for on-campus recognition status in the office of Student Life & Cultural Centers.

**Bronco Club and Organization Registration Registration Conference**

Students are required to attend the Bronco Club and Organization Registration Conference in order to register their club/organization for the academic year. The purpose of the conference is to teach students core leadership skills and give them all the information that is needed to successfully run their club/organization, such as how to be an effective leader, information on policies, how to plan and implement events, and how to budget for the academic year.
My Bronco Activity Record (myBAR)

myBAR is a complete record of club membership, leadership roles, campus employment, and involvement while a student is enrolled at Cal Poly Pomona. The myBAR program will become a footprint of a student’s involvement outside the classroom, including leadership activities, award recognition, and involvement. The skills gained from these on-campus experiences will serve students well as they prepare for a successful future.

myBAR is also a helpful tool for preparing a résumé and may help students get a competitive edge while searching for internship opportunities, graduate school admission, awards, and scholarships. myBAR also helps students connect to clubs, organizations, departments, and programs.

Bronco LEAD

Bronco LEAD (Leadership, Education, Advocacy, and Development) is a program that nurtures students by developing and supporting a variety of opportunities to enhance their leadership. Students are given the opportunity to participate in experiences and workshops that cover a variety of topics, such as career exploration, community service learning, diversity, and leadership styles. For more information on this innovative program, please visit http://www.cpp.edu/~oslcc/broncolead/.

Assign a faculty member who is genuinely interested in working with these students, NOT someone who will just be a "signature person" to be their faculty advisor. Count this as departmental service for your colleague and keep tabs on the level of genuine input he or she contributes. Ask the faculty advisor to report briefly at department meetings so the faculty understands that you prioritize this work as well as the students’ efforts. The student organization’s faculty advisor might schedule a social get-together during the term with club members at a relaxed location, such as an informal setting on campus. This is part of fostering a sense of community, and reflects a genuine interest in their efforts and concerns. Being an advisor to a student organization is a rewarding experience for both the advisor and the students. As such, the Office of Student Life and Cultural Centers recognizes the importance of these mentorship roles and has provided advisors with information and resources that will assist you in cultivating and sustaining these organizations. For more information, please visit http://www.cpp.edu/~oslcc/advisor-resources.shtml. Additionally, advisors are always welcome to contact the Office of Student Life and Cultural Centers for further consultation about ways in which to most effectively advise student organizations.

Logistically, if you are the first to start such a group, use e-mail, hard copy notices to home addresses (available from BroncoDirect), and sign-up sheets circulated in required classes
for your majors and/or graduate students. Give plenty of advance warning for the first meeting, provide snacks, schedule it at a convenient time (the noon hour works well), and attend it yourself along with the faculty advisor. Keep a current e-mail list of recent and former graduates to facilitate communication. You could also devote part of your departmental web page to tracking the activities of the club and the careers of recent and past graduates.

Notify your students of departmental activities. Creating a Facebook page or Twitter account are good strategies to keep students informed and connected. Despite the demands we all face, we are trying to create an intellectual community. Student participation in events is essential, and student organization leaders can help facilitate the attendance of other students. Getting involved on campus is time consuming but it makes a new and enhanced atmosphere for college life, providing students a way to dialogue with their peers and reach out to others to educate a community about their ideals and dreams.
The **College of the Extended University** (CEU) is one of the nine (9) colleges at Cal Poly Pomona and is the principal education/training outreach liaison for the University with external constituencies. This includes the local communities of Los Angeles and Orange counties and the Inland Empire, as well as international areas around the globe. CEU annually offers hundreds of lifelong learning classes, seminars, certificate and degree programs, study “abroad and other learning opportunities. Career advancement courses are offered in many areas from sustainable agriculture to unmanned aerial systems, and from brewing science to advanced plastics engineering. Additionally, the College offers numerous certificate programs, online courses, and workforce development courses, many of which are approved for tuition waiver for eligible participants through the Workforce Investment Act or for financial aid through Veteran’s and other programs. CEU also advances campus internationalization through the International Center, Global Education Institute, and the Cal Poly English Language Institute by providing faculty and students with global learning and engagement opportunities that advance global awareness, understanding and citizenship.

CEU is self-supporting; all operating expenses (including instructional salaries, and staff salaries and benefits) are generated from student fees. Over 3000 CEU enrollments are generated each year in CEU credit and noncredit classes. These enrollments come from such groups as local business and industry, international students, military community, the greater Los Angeles area workforce, working adults, and matriculated CPP students. Classes are delivered face-to-face or via technology to local, regional and global audiences.

The scope of programs includes graduate degrees, credit and noncredit professional development programs and certificates, workshops and conferences, study abroad and others. Examples of major programs administered/offered by CEU include:

- **Open University** -- This program enables non-matriculated students to enroll in university courses on a space available basis, with the consent of the instructor.
- **Special Sessions** – Special session courses and programs (including new, innovative master’s degree programs) provide a mechanism to offer department-approved credit courses for which State funding is not available.
- **Customized Programs** – Customized professional development and workforce development programs are offered at CEU, at business and other locations in the greater Southern California community, and online, 24/7.
• Global Education Institute (GEI) – Provides customized training programs to groups of international professionals, students, and industries.
• Cal Poly English Language Institute (CPELI) – CPELI offers intensive courses in English as a Second Language to international students from around the world; to non-native English speakers living in and around Los Angeles; and to local and regional business and corporate clients.

In partnership with CEU, the CPP academic community broadens educational experiences for current students, fosters community engagement, serves nontraditional audiences and creates revenue streams for departments and colleges. Successful programs include those that provide real-time education/training for new and emerging industries, cater to unique student demographics, fulfill a unique education or training niche and/or provide access to students who might not otherwise be able to take classes through CPP. CEU has developed many successful collaborations with colleges and departments, including international study abroad programs; certificates in computer information security, geographic information systems, and sustainable agriculture training; and master degrees in Interior Architecture, Hospitality Management, Geology, Electrical Engineering, Systems Engineering, and an accelerated Master of Science in Accountancy. CEU provides a full range of program support services designed to enable programs to succeed and to be implemented in accordance with CPP, CSU, and State of California policies and procedures. These support services include, but are not limited to, needs assessment, design, development, implementation and evaluation. Administrative services also include support for marketing, budget and financial management, registration and cashiering. Full and part-time teaching opportunities are available in Special Sessions, Extension, Professional Development, online learning, corporate training, international programs, and the CPELI programs. Appointments for departmentally approved courses taught through the Extended University are typically arranged directly with faculty.

Department chairs and faculty are encouraged to contact CEU to explore options for developing new programs, classes or workshops to broaden the educational experiences of matriculated students, to serve the needs of non-traditional learners, or to otherwise enhance the education, training, and learning experiences of the greater Los Angeles community, the State of California, or other national and international populations.

For additional information or to discuss program development opportunities, please visit http://www.cpp.edu/~ceu/about-us/contact/index.shtml.
CHAPTER IX
INTERNATIONAL PROGRAMS

International Center

The International Center (IC) advances CPP’s mission to be a global university by serving as a resource crossroads for international students seeking educational opportunities at CPP and for CPP students seeking educational opportunities in other countries. International Visiting Scholars and CPP faculty participating in international programs also receive support through the Center. The International Center offers a full range of programs and services to a variety of communities on and off campus in an effort to foster student success, global perspectives, intercultural awareness and international goodwill.

International Students

Working closely with over 1000 international students from countries spanning the globe, the International Center provides support services that meet the logistical, regulatory, cultural, academic and personal development needs unique to CPP’s most diverse student community. The International Center is responsible for assisting prospective international students inquiring about how to apply to CPP and for CPP’s federal Student Exchange Visitor Information System (SEVIS) compliance. The International Center actively supports the Division of Student Affairs in recruiting prospective international students, and encourages them to apply to CPP and join our international community. The International Center is responsible for immigration advising for the international student population and SEVIS compliance for the campus. Any questions related to international student F-1 and J-1 visa status should be directed to the International Center. An international student is defined as a student who intends to hold, or already holds the F-1 or J-1 visa status. (Questions about H-1B visa status for faculty should be directed to the Office of Academic Planning and Faculty Affairs.)

Study Abroad Students and Student Exchanges

The International Center provides services to all students who want to study abroad as part of their educational experience at CPP, and actively works with faculty who conduct or want to learn to run faculty-led study abroad courses and programs. The International Center serves as CPP’s study abroad resource center, acting as a window to the world for students beginning the journey and ensures CPP compliance relative to study abroad and exchange agreements. It serves as the university’s liaison with the CSU International Programs Office, which offers CSU students the traditional year of study abroad experience. The International Center coordinates all promotion, recruitment, selection, processing, and orientation of participants from CPP. When students have questions about how to study abroad,
what opportunities are available, or how to prepare for their time abroad, the International Center becomes their one-stop shop.

The International Center also administers CPP’s reciprocal student exchange programs, providing various support services for participants in the agreements CPP has signed with institutions around the world. Guidelines for student exchange agreements are found on the International Center’s web page.

The International Center also coordinates the risk management program for all CPP students who study or travel in other countries. The focus of the program is to ensure that all participants are adequately insured and prepared for maintaining optimal health and safety abroad, and for planning how to respond to a wide range of possible emergencies.

The International Center has specific responsibility for coordinating and facilitating the development of international programs and activities at CPP. The International Center is the primary contact for international programs and represents the university on international matters to external agencies and institutions.

**Exchange Visitor Program**

Many international visitors come to CPP as Visiting Scholars by participating in Exchange Visitor Program with J-1 visa status. The Exchange Visitor Program is administered by the United States Department of State (DOS), which designates CPP to sponsor scholars in the J-1 visa category. Eligibility for J-1 sponsorship is determined by federal regulations. J-1 Exchange Visitors are allowed to teach, conduct research, observe, consult, and/or demonstrate special skills at CPP. CPP has also established agreements with many international institutions. The faculty exchanges that are coordinated with CPP partner institutions may involve assisting foreign nationals with J visas.

J-1 visitors must show that they have a minimum of $1,600/month support – subject to change per federal regulations - to cover the time period of their program. If their J-2 spouse accompanies them, it’s an additional $500/month for the spouse, and $200/month for J-2 children. J visitors may receive payment from CPP, government agencies, or other organizations, or come on their own personal funding. Each department who invites an international scholar to visit CPP should be prepared to provide individual assistance to the visitor and their family, especially upon arrival.

The maximum stay in the United States in J-1 scholar visa status in the “Research Scholar” or “Professor” category is five years. “Short term Scholar” status is available to those scholars who will be in the U.S. for 6 months or less. Their appointment is temporary, even if the position is permanent. Visitors in J-1 status may not be considered as candidates for tenure-track positions. International scholars who are offered CPP appointments with compensation may be classified as
Visiting Faculty or as Temporary Faculty. These classifications are covered by the Unit 3 CBA and have specific requirements, including appointment hiring, term, and pay limitations, and require new hire documentation processing. Please contact the Office of Academic Planning and Faculty Affairs or the International Center for more information.

Visiting Scholars

The International Center also provides guidance to visiting scholars regarding faculty exchanges, housing, office space, technical support, and research activities. A visiting scholar is expected to have a faculty sponsor and hosting department at CPP. The International Center does not provide housing, travel, or other financial support for international visiting scholars, but can advise regarding such matters. Please see restrictions above regarding compensation and appointments of visiting scholars.

Fulbright Program

The U.S. State Department Fulbright program offers a variety of grant opportunities for both faculty ([www.cies.org](http://www.cies.org)) and students ([www.iie.org/fulbright](http://www.iie.org/fulbright)) in over 140 countries worldwide. For more information, contact the Executive Director of Global Initiatives.

Non-U.S. scholars or students must apply in their country of origin for consideration. Students who do not intend to enroll in a degree program need only have an affiliation with a department. Students who wish to enroll in a degree program (mostly graduate students) apply through the Graduate Division. The Fulbright Scholar in Residence Program permits the institution (a department or college) to invite a scholar to be in residence for a term or year, and to teach classes. Sometimes scholars in other countries wish to come to CPP, and apply to a department for support for their Fulbright application. If the department agrees to host the faculty member, the chair writes a letter of support to Fulbright. Hosting is entirely the responsibility of the department. Fulbright handles the visa process for its visiting scholars.
CHAPTER X
RESEARCH, SCHOLARSHIP, AND CREATIVE ACTIVITY

Research, scholarship and creative activity are core values of faculty, and serve to enhance educational experiences of graduate and undergraduate students. Although the approach to faculty research, scholarship, and creative activity varies across the university, the roles of the department chair are often similar, regardless of the discipline.

Department continuity and productivity will be maximized if faculty members are empowered by the chair to undertake the highest level of research, scholarship and creative activity (RSCA) possible. The chair can optimize this empowerment by striving to remove roadblocks that might confront the faculty in the pursuit of developing and growing their research programs. Successful departmental leadership in the areas of original scholarship and creative activity requires the chair to serve as an effective role model, to lead the faculty in articulating a cogent, feasible, and challenging research, scholarly, or creative vision, and to provide important administrative support.

Role Modeling

Faculty members look to the chair as a role model for scholarship, and creative activity achievements. Accordingly, the chair should make it clear to the faculty that he or she understands the needs and demands of research-active faculty. Since the chair generally has more responsibilities than other research-active faculty in the department, it may not be possible for the chair to carry out the highest level of research and creative activity in the department. However, the chair should strive to maintain a scholarly program that is, at the least, at a level expected of most other faculty members. The faculty will then see that the chair still thinks highly enough of faculty RSCA to continue to dedicate the time and effort necessary to maintain an active scholarly program of his or her own in addition to all other responsibilities. It is important for the chair to encourage faculty to engage students in research, scholarship and creative activities to advance the teaching and learning goals. It is critical that the chair also provide the support mechanisms to make faculty scholarly activity a rewarding experience.

Vision

One of the most important roles of the chair is to work with the faculty to develop a departmental RSCA vision. Such a vision will not only determine research and creative areas, but will establish a growth-oriented, forward-thinking culture focusing on continual improvement of faculty and student RSCA programs. An RSCA vision can serve as a motivating force that gives faculty important contextual basis for growing their own programs, as well as for recruiting new faculty and guiding the emergence of new areas of scholarship, although faculty members should be encouraged in their autonomous scholarly programs. The chair should lead the faculty in
developing a departmental vision of original scholarly activity, which can be done via an executive committee format, at department meetings or during retreats. Whichever the format, the chair should ensure full faculty participation. The resulting plan should be realistic, modern, forward-thinking, taking into account current faculty strengths, as well as planned hiring areas. The chair and faulty members should be open to modifying the RSCA vision as the discipline and institutional goals change. Usually, departments should focus on building areas of strength, for which the department may become known, and which may be defended during areas of scarce resources.

**Administration**

The chair is responsible for facilitating faculty in finding the time and resources necessary to carry out their scholarly plans. The chair may help determine how much faculty time is to be assigned for research, scholarship and creative activity, manages the department budget to enable the appropriate assigned time, oversees departmental commitments to support a strong research infrastructure, and represents faculty interests and needs to the dean and the Office of Research (if sponsored research is involved). The chairs may need to develop strategies to pursue external funding for acquiring major research instrumentation and not rely solely on internal funding. This primarily applies to STEM disciplines. The chairs may also consider assigning successful faculty mentors for new faculty. They may also identify professional development initiatives within the department for junior faculty in collaboration with the Faculty Center for Professional Development. Chairs also oversees scheduling of courses, which can impact the research agenda for faculty, as faculty vary as to how they can most effectively manage their time for research and scholarly activities. Other administrative responsibilities range from providing appropriate space and equipment, to establishing a culture among the staff of helping to foster faculty research and scholarly activities.

If faculty members are expected to develop and maintain significant research and scholarly activities programs, they will need the time to do so. Generally, programs are initiated during the first several years of a faculty appointment. New faculty are typically provided some assigned time from teaching and service obligations to establish an independent research and scholarly activities program. The amount of assigned time for research will depend on how much the department, college and university can afford, while still covering the required teaching programs. The chair should ensure that RTP committees know how much assigned time has been provided and what departmental research and scholarly activities expectations are, and convey departmental research and scholarly activities expectations to the entire faculty. Furthermore, when faculty members obtain approved assigned time from external sources to support their research and scholarly activities, the Chair should honor those commitments while ensuring that the department continues to serve its multiple roles effectively. This often involves recruiting and hiring the appropriate lecturers at the appropriate times.
In some fields, RSCA requires laboratory, studio, or performance space, which the chair or dean should provide. Depending on the field, other institutional resources may be required to maintain faculty research and creative activities, including research field vehicles, access to computer facilities, equipment, production costs, and administrative and office support staff. Although it may be beyond the chair’s purview or financial wherewithal to provide these resources, he or she must be an advocate for the faculty and mediate between the faculty and the dean in order to ensure that the requested resources are necessary and realistic, and to work toward resolving the solutions to such needs.

Faculty members often require financial support for their research and scholarly activities programs. The CPP Foundation coordinates and manages extramural support for the CPP community. External support opportunities are available through the Office of Research. Internal grant opportunities are referenced under Internal Grants on the Faculty Center website and under the Internal Funding Opportunities in the Office of Research, Innovation and Economic Development. For example, faculty may apply for Research, Scholarship and Creative Activity funding, to include course release, summer stipends, student assistant funds, travel and equipment, and other assistance. Chairs should encourage their faculty to take advantage of these valuable funding programs and sources.

Policies

One of the chair’s research and scholarly activities administration responsibilities is to understand the policies that govern the submission of proposals, administration of grants, and intellectual property, protection and technology transfer. This understanding can include serving as a resource for where faculty can go to obtain information about grants, technology transfer, research compliance such as human subject protection, animal care and use, export control regulation, and the responsible conduct of research requirements by the major funding agencies.

CPP provides an environment that fosters research and scholarship across all disciplines. The Office of Research, Innovation, and Economic Development is the central university office with oversight of research management, regulatory compliance, research assurances, and activities related to intellectual property development and technology transfer. The Associate Vice President (AVP) for Research, Innovation, and Economic Development is the university-wide advocate for research, scholarship and graduate education. The AVP is responsible for institutional approval of all grant proposals and contracts relating to sponsored research, instruction, and service agreements.

Areas of immediate interest within the Office of Research, Innovation and Economic Development include:
**Research Compliance**: The Office of Research Compliance (Human and Vertebrate Animal) has oversight of regulatory assurances between the federal government and the university. These assurances are agreements that detail the responsibilities of those involved in the conduct of research (e.g., human subjects, animal subjects, biosafety, misconduct, and conflict of interest) to ensure the research is carried out in a manner consistent with accepted standards of ethical research practices.

**Technology Transfer and Intellectual Property**: CPP fosters the development of ideas and the broad dissemination of these ideas for the purpose of serving the public interest, while simultaneously striving to protect the legitimate private interests of members of the University community. Responsibilities associated with the development of intellectual property are described in CPP Policy No. 1220. In addition, faculty may obtain advice and assistance in the commercialization of their inventions, copyrights, and other scholarly work through the Office of Research, Innovation and Economic Development.

**Student Innovation Idea Lab**: The student Innovation Lab (iLab) at Cal Poly Pomona is designed to support student creativity, innovation and entrepreneurship by providing a number of services and organizing a number programs to promote an entrepreneurial ecosystem. The iLab provides educational programs for all aspects of entrepreneurship including guidance on IP protection, prototype development, commercialization and various events on campus to promote entrepreneurship. The iLab also connects student entrepreneurs with private sector mentors, angel investors to facilitate commercialization. The Programs include Summer Camps, Startup Academy, Summer Accelerator, develop start-teams for prototype development and business launch.

**CPP Foundation**

Externally funded grant and contract proposals are administered by the office of Grants & Contracts within the CPP Foundation. The office of Grants & Contracts works closely with the Office of Research and Sponsored Programs (ORSP) at the proposal development stage relate to the budget, the chairs and deans to facilitate the research programs of CPP researchers. However, upon the award notification the office of Grants and Contracts sets accounts for the award administration.

**Proposal Development**

The Office of Research and Sponsored Programs (ORSPO) is responsible for the identification and dissemination of grant information to the university community. The staff receives and distributes information to CPP researchers about federal, state, and private funding sources through the Associate Deans responsible for research in each college. ORSPO assists faculty
to set up an account in PIVOT so that they may also receive automatic emails based on their research interests (key words used in their interest profile). OSPR hosts workshops; and provides program guidelines, application materials, and information about funding agencies and the federal budget. OSRP assists with budget preparation, negotiation of awards, completion of application forms, contacting sponsors, facilitating, compliance issues, and submission of proposals. This is the "pre-award" unit and the faculty should contact OSRP once a sponsor has been identified and a proposal is being developed.

A rich source of information about proposal preparation and submission can be found at http://www.cpp.edu/~research/rsp/index.shtml. Faculty should seek the chair’s advice on the steps involved in research proposal preparation and submission, and may contact the Office of Research and Sponsored Programs. The chair needs to understand the responsibilities each campus entity has, and on the required documentation, which accompanies all proposals, the chair will be responsible for agreeing to the submission of the proposal and all stipulations that impact the department. This includes faculty who need space to carry out research activities, as well as those who need additional assigned time and/or cost-sharing resources. By signing the required documentation, the chair is approving the proposal in its current form and all stipulations relating to the department. Accordingly, if a faculty member is asking for more space or assigned time as a stipulation of carrying out a particular project, the chair’s signature indicates agreement with fulfilling those stipulations.

*Contracting and Compliance Support*

The Office of Research and Sponsored Programs serves to facilitate the transition from pre- to post-award and is responsible for the negotiation of awards and contract terms, support and facilitation of compliance issues, and preparation and negotiation of sub agreements.

*Project Administration*

All post-award services for research grants and contracts are provided through the CPP Foundation. The information necessary to understand all aspects of award administration can be found at https://www.foundation.cpp.edu/grants-contracts/default.aspx - staff. Once a grant has been awarded, the Office of Grants and Contracts is responsible for monitoring the fiscal administration of the award in partnership with the Principal Investigator (PI) to ensure all fiscal and compliance terms and conditions of the award are met. The Grants and Contracts office files fiscal reports with the sponsor at agreed upon milestones in the grant or contract agreement. The efficient administration of awards is dependent on the relationship between the PI and his or her grant administrator. The grant administrator is also responsible for assisting the PI with the financial administration and compliance related aspects of the funds including budget monitoring and ensuring all funds are properly expended as dictated by the policies of the funding agency. Moreover, the grant administrator and the PI share the responsibility of completing any year- and project-end reporting that is required by the granting agency, documenting any matching funds or shared costs, and managing any sub-recipient agreements.
Fostering a Culture of Philanthropy

State funding is simply not sufficient to support the more ambitious projects of a department. At times, it is insufficient even to cover basic supplies and services. While it is not necessary for a department to engage in philanthropic fundraising, every dollar you are able to bring in will enhance your department’s graduate and undergraduate programs, recruitment and retention, faculty development efforts, scholarships, and much more. The university and college will have large projects that may involve your department or individual faculty members. You can play an important role in identifying methods and sources for raising funds that your department needs to meet its mission and goals.

University Advancement

One of CPP’s five divisions, University Advancement works with alumni, parents, donors, and the community to generate the external recognition, support, and financial resources the university needs to enhance academic quality and enrich the campus community.

All of the units within University Advancement work to bring recognition and resources to the university. The CPP Alumni Association which builds lifelong relationships with alumni; Public Affairs and University Relations, which builds an understanding of the university throughout the campus community, the media, community leaders and elected officials; Development, which oversees all fundraising activities at CPP, working closely with faculty, volunteers and donors to help meet college- and program-specific needs; and Advancement Services which provides support for the Development operations through prospect management, data analysis, prospect research, stewardship and donor relations, gift processing and record keeping of all alumni, prospect and donor records.

Prospect Management

It is imperative that the university community be in constant communication regarding any interactions with prospects and donors in order to present a united front and consistent messaging. The prospect management system is designed to coordinate and communicate prospect and donor assignments, activities and gift strategies for CPP’s campus-wide development program. A prospect is defined as any individual, family, corporation, foundation or other entity(ies) identified as having the potential or inclination to make a substantial gift to CPP. A major gift prospect is defined as an entity capable of making a minimum commitment of $25,000. (This varies from depending on the College/program)
If you are interested in pursuing a particular individual or company in an effort to secure a gift to your department or program, please contact the director of development in your college/program. If you do not have a development professional in your college/program, contact the Associate Vice President for University Development at (909) 869-5432, before approaching the individual or corporation. A prospect researcher will determine if the individual, corporation or foundation has already been cleared for cultivation or solicitation by another entity.

**Communications and Donor Relations**

Development communications, special events, and donor relations and stewardship are vital components of University Relations and University Development’s function. The communications team works to educate and inform potential and current donors about the exciting things that are happening at CPP in order to persuade members of our community that the university is worthy of their investment of time, talent or treasure. The office of donor relations and stewardship seeks to sustain and deepen the relationship between the university and its donors through thoughtful acknowledgement, recognition, communication, and engagement. They strive to foster lifelong relationships with donors and instill in them the trust that their gifts are an investment in the success of CPP.

**Visions and Best Practices for the Future**

At this time, CPP is not able to allocate sufficient resources to carry out the development agenda that everyone agrees would be desirable for the university. That is why it is crucial for chairs to communicate openly with their deans to try to establish their priorities for the college’s annual academic plan. Your dean will also advise you as to when the timing is right for the department to launch its development efforts.

What is the role of the department at this time? First, departmental priorities may well become college or university priorities. Clearly, the broader and more encompassing they are, the more likely they are to be adopted by the campus as a whole. Ideas that incorporate several departments or programs are the most likely to succeed. Second, departments need to be aware of major gift prospects, that is, community supporters or former students who have the potential to donate significantly to the university. No one expects the chair to take primary responsibility for nurturing these individuals. Nonetheless, they may feel a particular loyalty to your department or individual faculty members, and you may be asked to cultivate that relationship. Third, you can still take advantage of small gifts that come your way, and work on creating circumstances to attract them. Be sure to keep your dean informed about your progress.
Assuming that someday our resources meet our development needs, how might a department go about establishing a plan for effective fundraising in the future? The following is an overview of best practices for consideration, if not currently for implementation.

**Building Alumni Networks**

Building alumni networks begins with identifying your current and past students. Former major/minors and current students at both the undergraduate and graduate level can be utilized as successful “recruiters” for your major or graduate program. It is reasonable to ask strong and reliable students (particularly at the graduate level or advanced undergraduate level) if they are willing to speak by phone or e-mail to students interested in declaring a major or applying to your graduate program. Prospective students greatly appreciate this offer.

You can foster alumni networks by taking some of the following steps:

- Contact the Alumni Association gift acceptance and recording (GAR) office and ask for their most recent contact information for your program’s recent graduates. The Alumni Association GAR can also provide a list of majors and graduate students who have completed your program. They also have alumni chapters, many of which are based upon specific academic disciplines and colleges. If your group is interested in starting a chapter, contact the Alumni Association.

- Appoint one faculty member (possibly the undergraduate advisor) to be the e-mail contact for all graduating seniors.

- Put a bold type insert in your newsletter that asks alumni to mail in their “updated news and activities.” Any address updates should be sent to GAR.

- Schedule an occasional alumni panel to discuss with your current students job possibilities, career paths, and other strategic insights.

- Share your department’s long-term vision with alumni via the newsletter, informal social gatherings, or events you sponsor for the community.

- Create a Facebook page for your alumni.

- With approval from your Dean, establish a “Friends of [your Department]” Fund through the CPP Foundation and send out a yearly “Letter from the Chair” updating your mailing list on the department’s current activities and specific projects that need financial support.
• In collaboration with University Development, identify a few key alumni who have distinguished themselves professionally and invite them to a luncheon to update them on your department’s activities and goals.

• State the need for philanthropic support in order to envision and act creatively.

• Hold an annual event where alumni who have become donors see their generosity appreciated. For example, if someone gives money for a scholarship, invite the donor to the event where the student actually receives the award.

• Ask students who have received a scholarship or grant from a donor to write a personal, hand-written note to the donor expressing their appreciation and describing the work they are doing.

Formulating Your Plan

When your department has made a commitment to development work, it’s time to get to work. Begin by consulting with other department chairs who have been successful or a colleague who attended a task-specific training session. Make an appointment with the development officer for your college, if there is one, or a representative from University Development, and invite him or her to a department meeting so the faculty can share ideas on how to raise money for a specific project. Explore a grant-writing tutorial with someone from the CPP Research Foundation.

Focus on one or two priorities for development. If you and your faculty have six to eight projects clamoring for funding, your collective efforts will be fractured. Identify your priority: do you want to fund an annual distinguished lecture series? If yes, which faculty member self-identifies as being willing to explore how other departments at CPP have accomplished this successfully? If the fund-raising/grant-writing tasks are ongoing and extremely time-consuming, seriously consider allotting assigned time course release for these labors.

Allow yourself to “think outside the box.” It is possible to identify donors who could be interested in a “Faculty Professional Development Fund” or a “Special Projects Fund.” In all instances, with a respective donor, listen to their interests and priorities and craft an idea that appeals to them individually. Generic appeals are usually less successful than specific, finely-honed ideas that resonate with a potential donor’s individual priorities. If you have someone you believe might be a likely donor, invite that person to lunch on campus and familiarize her or him with your department and its activities. Be sure to arrange for colleagues and other necessary people to be around. Since you are offering
hospitality, it makes a poor impression indeed to knock on several faculty office doors, find everyone "out of the office," and continue the task of promoting your academic "community." Work with your college development officer to identify local businesses or individuals who might be interested in sponsoring your specific project. The relationships that result in donated money are often cultivated over time. Be patient and nurture the relationship. At best, a genuine reciprocity may develop.

Advisory Boards

Explore establishing an advisory board that meets once or twice a year. The purpose of this board should be project-specific (e.g.: to raise money for an annual lecture or offer advice on a particular issue). Advisory boards that meet without a specific goal usually fizzle out rather rapidly once the participants learn that their input is not vital. Your board can consist of active or prominent alumni from your department, key donors, and community supporters. It is imperative that you have a critical mass of faculty (perhaps two or three) who make the commitment to meet with this board. If only you attend as chair, or worse yet, if no faculty from your department attends these meetings to provide camaraderie or direction, you’ve not only failed in your attempt to build an alumni network, you’ve also inadvertently offended them. It is also useful to have current students on the board as a way of "bridging generations" and letting your current group share their enthusiasm with those no longer on campus.

Keep in mind that advisory board members require considerable and consistent nurturing, and some may become quite proprietary in their attitudes toward the department. You need to set clear boundaries between the appropriate work of the board and that of the department.

Newsletters

Newsletters are an excellent means for getting word out about current happenings in your department. Ask students who are involved in unique activities (research, travel, community-based service learning and so on) to write brief articles to appear in the newsletter under their byline. You can also list recently completed theses or senior projects in the newsletter. This acquaints your reading public with the scope of student work and may help recruit future quality graduate students. It is also a way to keep current donors informed about your activities, and inspire potential donors. Circulate the newsletter to community members at events and meetings. Your departmental Web site is also an excellent outlet for information about your events and activities. Make your web address public at every available opportunity and to keep the site attractive, user-friendly, and up-to-date.
Scholarships

Cal Poly Pomona is committed to building a scholarship endowment that will enable us to (1) recruit and retain nationally ranked student scholars, (2) provide opportunities for economically disadvantaged students, (3) enhance international learning experiences and (4) expand opportunities for engagement and research beyond the walls of the campus. An academically strong and diverse student body raises educational standards, promotes cultural understanding, enriches the lives of its students, and strengthens the community it serves. Thus, it is critical that as a major university we attract a student body of highly talented individuals and provide enhanced academic opportunities for all our students. This commitment will enhance the stature and reputation of Cal Poly Pomona while also preparing the students who will be the leaders, educators, entrepreneurs, and visionaries of the future in Pomona, in the region and in the world.

The university has implemented scholarship funding policies to create both annual and endowed scholarships. All work with potential donors should be done in coordination with the Dean’s office and development officers that are associated with your college or program. These guidelines limit the scholarship criteria allowed at various levels of funding to ensure that the funds can be utilized and that university is in compliance with donor scholarship agreements.

External Relations

As the department chair, you are often the public face and voice for your department/college both on campus and off. You may be called upon to attend public functions, speak on behalf of your programs to potential donors, be interviewed by local media or correspond with groups or individuals across the country regarding your department, faculty and students. These are important aspects of your duties as chair.

To help you better answer questions regarding your department, it is suggested that you prepare a set of “talking points.” What are your points of excellence? What are the strengths of your programs? What is the current research and creative focus of your faculty? What are the numbers (faculty, students, budgets, etc.)? Where are your graduates currently working? Who are your alumni? The list could go on. The important point is that you need to be well versed in all aspects of your department and be prepared to speak on its strengths at a moment’s notice. Nurturing a strong relationship with external constituencies is particularly important as state budgets decrease and the need for external funding sources grows. Potential donors are more likely to support your programs if they feel a personal connection with someone at the university. Often you are that person.
It is your responsibility to make sure all materials about your department/college are current and factual. It is particularly important that you monitor information on all web sites (departmental and university) regarding your programs. The university’s Public Affairs professionals can assist you in creating print and electronic materials that convey your needs and conform to university standards.

You will also be asked to represent your department/college at university functions. You will be expected to attend your college’s commencement ceremony as well as officiate at your department/college’s pre- and post-commencement events. Faculty retirement celebrations, staff awards ceremonies, university convocations, and student orientations/welcomes are some of the additional times when your services as chair may be needed. The bottom line is that you never underestimate the ceremonial role of your title and the importance your attendance brings to any occasion.
APPENDIX I

CAMPUS RESOURCES

Associated Students, Inc.

Associated Students, Inc. (ASI) of Cal Poly Pomona is an independent student-directed corporation that provides a wide range of services and programs for CPP students, faculty, staff, alumni, and the general public. ASI is the umbrella organization for student government on campus, which includes the College Councils and the student clubs that make up the councils. ASI is also a corporation that runs the CPP Children’s Center, the Bronco Fitness Center, and the Bronco Student Center. ASI offices are located in Building 35, which provides meeting services for conferences and special events.

Career Center

The Career Center provides information and resources to students and employers, including job listings, interview schedules, career fairs, and advice on choosing a major. There is a section on the Web site for faculty and staff.

Disability Resource Center

Disability Resource Center (DRC) provides qualified students with disabilities equal access to higher education through academic support services, technology and advocacy in order to promote their retention and graduation. DRC is the campus office responsible for determining and providing appropriate academic accommodations for students with disabilities. Support services are available to students with certified visual limitations, hearing and communication impairments, learning disabilities, mobility, and other functional limitations. The DRC website provides numerous resources regarding accommodations, including, classroom, testing and housing accommodations.

Enrollment Management & Services

Enrollment Management and Services provides leadership for the university’s enrollment planning and management plan and comprehensive services and programs that promote the recruitment, matriculation, financial support, and academic success of students. Services to students and the campus community are delivered through the following departments:

Admissions & Enrollment Planning
Outreach, Recruitment and Educational Partnerships
Financial Aid & Scholarships
Registrar’s Office
Test Center
Facilities Planning and Management

Facilities Planning and Management (Facilities) serves as the lead organization for planning, developing and maintaining the campus’ natural and built environments in support of the University’s mission. The department seeks to preserve and enhance Cal Poly Pomona’s history, aesthetics, physical assets and natural ecosystems through coordinated location, design and construction of buildings, roads, infrastructure, landscaping, and other physical improvements. As an advocate on behalf of the University and its auxiliaries, Facilities Planning and Management strives to provide facilities that meet scope, budget, operational needs and functional requirements in a cost effective and timely manner.

Faculty Center for Professional Development and eLearning

The Faculty Center for Professional Development (Faculty Center) actively supports faculty, both tenure-line and lecturers, in all stages and facets of their careers at Cal Poly Pomona. The Faculty Center provides opportunities and resources for faculty to create and maintain collegial, collaborative relationships and to maintain vibrancy at every stage of the faculty career. The Faculty Center provides resources and programs to advance teaching, research and scholarship including scholarship of teaching, and other professional activities of the faculty. A critical function of the Faculty Center is to provide opportunities for faculty to come together with shared interests. Specific activities include orientation for new tenure line faculty and lecturers; faculty learning communities focused on various topics; workshops and programs on teaching and learning including effective course design, alignment of learning outcomes, assessment and grading, and learning activities; mini-grant support (budget permitting) for a variety of faculty work; support for scholarship of teaching; and occasional social or collegial events. Confidential consultations are available for faculty who face difficulties in the classroom or who are interested in applying innovative pedagogies. The Faculty Center collaborates closely with the eLearning department and the director of the Faculty Center currently serves as the director of eLearning.

eLearning’s mission is to support faculty in finding and using the best technologies in pedagogically excellent ways to support student learning. eLearning’s instructional designers support faculty in transitioning face-to-face courses to online or hybrid, or in effectively using technology within a face to face course, with careful attention paid to the use of universal design and creating course materials that are accessible to students with disabilities. Instructional designers have expertise about best practices in course design, the best technologies to use, and resources on campus to support projects. eLearning locates or creates multimedia learning objects to help communicate specific, knotty concepts; such objects may include interactive simulations, motion graphics, animations, or even mobile solutions. eLearning provides the Studio 6 computer lab, a high-tech environment staffed with student instructional technology assistants (ITAs) who can support several important campus learning technologies such as Blackboard and the Adobe Connect family of tools, on a walk-in basis. Finally,
Finance & Administrative Services

The Office of Finance & Administrative Services, in the Division of Administrative Affairs maintains the campus support budget, managing the general budget, lottery funds, procurement and support services, student accounting and cashiering services, and university accounting services.

Key financial information can be found at the following locations:

- General Accounting
- Budget Services
- Student Accounting and Cashiering Services
- Procurement and Support Services

Human Resource Services (HRS)

Departments:

- Environmental Health & Safety
- Jobs
- Benefits
- Classification & Compensation
- Employment Services
- Employee Relations
- HR and Payroll Customer Service Center
- Payroll
- University Risk Management

Human Resource Services is responsible for a variety of employment services, including, benefits and employee services, leaves administration, compensation and payroll, employment and classification, retirement information, training and development, employees’ disability programs, and worker’s compensation. HRS is located in CLA Building 98.

Academic Research and Resources

Academic Research and Resources, located in Room 113 in Building 1, provides official university information to the CPP community, the California State University Chancellor’s Office and external agencies. Check its website to access reports on applications, enrollment, student profiles, continuation and graduation rates, and so on.

Information Technology

IT will provide technology solutions, expert consultation, and leadership resulting in numerous enhancements to the advancement of learning and knowledge and to the effectiveness of campus support services and business processes for the entire University.
**Student Conduct and Integrity**

The Office of Student Conduct and Integrity assists students, faculty, staff, and the campus community in keeping a safe and fair environment both inside and outside of the classroom. Student Conduct and Integrity is the office on campus that is responsible for holding students accountable to the Student Conduct Code. This means handling a wide variety of student misconduct and disciplinary concerns, such as alcohol violations, theft, academic dishonesty, evictions from housing, and more. We engage in an educational process to ensure a fair resolution for violations.

In accordance with Executive Order 1098 and Title IX, as implemented through Executive Orders 1095 and 1097, Student Conduct and Integrity investigates issues of student misconduct to determine if there has been a violation of the Student Conduct Code. If students are found responsible for a violation, students receive educational sanctions which can range anywhere from warnings to expulsion from the California State University system.

**Office of the University Ombuds**

The Office of the University Ombuds (Ombuds Office) offers confidential, neutral, independent, and informal assistance in resolving your issues, problems, or concerns. The Ombuds Office serves all members of the Cal Poly Pomona campus including students, faculty, staff, and administrators, and addresses concerns relating to a variety of issues including interpersonal conflicts, disagreements over grades, working conditions, housing issues, clarification of policies or procedures, and co-worker difficulties.

**Student Health and Counseling Services**

Student Health and Counseling Services, located in Building 46 (Student Health Center) and Building 66 (Counseling Services), provides services to students including group and individual therapy, personal growth workshops, walk-in crisis counseling and urgent care medical issues, after hours’ hotlines, pamphlets and video tapes, and much more. Student Health and Counseling Services are an invaluable resource to a department chair (or any faculty member) dealing with a distraught or difficult student.

**University Police**

University Police is charged with safeguarding the academic process and the campus community through proactive professional law enforcement and service delivery. Services provided include prevention and investigation of crimes, escort service, key issue, fingerprinting, parking and traffic enforcement, emergency preparedness response, and much else. University Police is located in the Building 109. Check their website for further information, including employment opportunities, emergency and police services, and alarm and access control.
**Veterans Resource Center**

The Veterans Resource Center (VRC) is representative of the university’s commitment to the academic and personal success of our student veterans and serves as a central source for information, support, guidance and community for student veterans and their families. Veterans receive an introduction to veteran-specific services; referrals to campus programs and services; peer support, counseling and guidance; assistance with navigating policies, processes and military credit.

The Veterans Resource Center is also a resource for the campus community who are interested in finding out more about the veteran services and support available to the students. The VRC is located on the second floor of the CLA Tower, Bldg. 98 and can be reached at 909.869.6994.
APPENDIX II
GLOSSARY

University Acronyms and Jargon

Additional employment: Employment compensated by the CSU, including auxiliaries, that is in addition to the primary employment of the faculty member. Additional employment must be of a substantially different nature than primary employment, and is limited to a 25% overage (overload) of a full-time position. Article 26 of the CSU/CFACBA and relevant CSU HR Coded Memoranda should be consulted for specific information. For further information, contact Faculty Affairs.

Adjunct: at CPP, the term is used synonymously with lecturer/temporary faculty members. See “lecturer” definition below.

APDB: Academic Planning Data Base Reports are workload reports upon which the Chancellor’s Office calculates and assigns faculty positions and new facilities.

ASE: Academic Student Employee. There are three classifications of ASEs: Teaching Associates (TAs), Graduate Assistants (GAs), and Instructional Student Assistants (ISAs). The classification standards can be found on the CSU Human Resources website.

Assigned time: An individual faculty workload assignment is typically 12 units (tenure-track) or 15 units (lecturer). Any workload that is not direct instruction must be accounted for by assigned time. A 1976 document known as EP&R 76-36 set out the categories and codes for assigned time, including Code 22b (assigned time for research), Code 31 (advising), and Code 32 (committee assignments). Exempt ASEs (see below) may also be given assigned time in addition to instructional assignments.

ATI: Accessible Technology Initiative. The implementation of an Executive Order requiring that all information technology resources and services be fully accessible to all students, faculty, staff, and the public. The ATI covers Web sites, instructional materials, and procurement of goods and services.

BroncoDirect: An interactive tool that allows CPP students, faculty and staff to access a variety of enrollment and admissions resources online. Among many functions, the BroncoDirect allows students to pay their registration fees online, register for classes, download unofficial transcripts and degree evaluations, evaluate their faculty members, and vote in Associated Students elections.
**CBA:** Collective bargaining agreement. In 1981, the Higher Education Employer-Employee Relations Act (HEERA) authorized employees of the CSU to select a bargaining representative and negotiate a contract. There are currently 12 units, represented by nine different unions, including the UAW for Unit 11, covering Academic Student Employees. Generally, when faculty refer to the CBA, they are referring to the Unit 3 (faculty) contract.

**Census:** The date used each term to calculate official FTES and FTEF (see below).

**CFA:** California Faculty Association. CFA is the union representing the faculty unit, including tenure track faculty, temporary faculty, librarians, counselors, and coaches.

**CSU:** The California State University. Formed in 1961 under the Donahoe Act, the CSU is one of the three tiers of the state public higher education system (along with the University of California and the community college system). With 23 separate institutions and a central office of the Chancellor, the CSU is the largest public university system in the country. The Chancellor’s Office is the systemwide headquarters office.

**Exempt and non-exempt:** Payroll categories that describe whether an employee works on an hourly basis, and is thus eligible for overtime, or on the basis of an assignment, and is thus "exempt" from overtime rules. Faculty, administrators, and teaching associates are exempt employees. Most staff, graduate assistants, instructional student assistants, and all student assistants are non-exempt.

**FAD:** Faculty Assignment by Department report. Like the APDB (see above), the FAD report is used to calculate faculty workload.

**FERP:** Faculty Early Retirement Program. This program allows tenured faculty to work up to a 50% time base after retirement for a maximum of five years. Faculty members in FERP are considered to be full tenured faculty during the term(s) they are employed.

**Five-day filing notice:** The Unit 3 CBA requires that faculty be given five days notice before any document is placed in their Personnel Action File (see PAF below). Incidentally, the Unit 11 CBA provides for a 14-day filing notice.

**FTEF:** Full time equivalent faculty. A full-time position is generally considered to be 12 weighted teaching units (See WTU below) for tenure-track, and 15 for lecturers. Funding and many other calculations are based on full-time equivalency, not head count.

**FTES:** Full time equivalent student. A full-time student is considered to be taking 15 units if undergraduate and 12 units if graduate. As above, funding calculations are based upon full-time equivalency.
**FTMS:** Full time monthly salary. All salary calculations are done on the basis of FTMS. If an appointment is less than full time, the actual salary paid is a percentage of the FTMS.

**Grant match:** University funds or in-kind services sometimes required by granting agencies to match grant funding.

**GRIF:** Grant-Related/Specially-Funded Instructional Faculty - an appointment classification at a salary level above academic year or 12-month faculty salaries. To be eligible for a GRIF appointment, a faculty member must meet a number of criteria including obtaining substantial grant and contract funding from multiple sources.

**H-1B:** The immigration status that permits a foreign national to work in the United States while he or she is pursuing permanent residency.

**IRA:** Instructionally-Related Activity Funds. Student fee money, part of which comes back to Academic Affairs to support hands-on instructional programs.

**J-1 Exchange Visitor Program:** Federal program that allows international scholars to participate in exchange programs in the United States and then return home to share their experiences.

**Layoff:** A formal process requested of the CSU by the university President that requires a set of procedural steps including consultation with unions. Layoff would only occur when a lack of work or funds, or a programmatic change necessitates the non-retention of faculty with permanent or unconditional appointments. Layoff procedures are strictly governed by the CBA, and are rarely evoked. The non-reappointment of conditional, part-time temporary faculty or staff is not a layoff.

**Lecturer:** Faculty members who are not on the tenure track. They may be full-time or part-time, and may have multi-year contractual entitlements. The terms “temporary faculty,” and “lecturer” are used interchangeably.

**LWOP:** Leave Without Pay – leaves may be personal or professional, full-time or part-time, and available to both tenure-track faculty and lecturers. Under different circumstances, they may or may not carry service credit toward probation, sabbatical and difference-in-pay eligibility, and seniority. Chairs and deans may approve or not approve leave requests, but the final decision is delegated by the President to the AVP for Academic Planning and Faculty Affairs.

**Outside employment/Overload:** Work that is not compensated by the CSU or its auxiliaries. The CBA requires faculty to report outside employment when such employment exceeds 110 hours per term for faculty holding academic year appointments, and to 120 hours per term, for faculty holding 12-month appointments. Outside employment must not interfere with the faculty member’s performance of his or her normal work assignments.
PAF & WPAF: Personnel Action File and Working Personnel Action File. The PAF is the one official file for members of Unit 3. PAFs include all documents relating to appointments, salary, professional activities, and evaluation. They may also include disciplinary letters. Faculty PAFs are housed in the respective college offices. The WPAF is an extension of the PAF, consisting of a file put together by the candidate for the purpose of conducting a performance review or periodic evaluation. The WPAF for RTP decisions has a centralized and formal structure. The WPAF for periodic evaluations is less formal, and consists of documents determined by the department. The WPAF is returned to the candidate after the review or evaluation. All personnel decisions must be based upon the PAF (and its extensions).

Periodic evaluation: These are evaluations that do not lead to a personnel action (such as reappointment or tenure), except in the case of temporary faculty who are evaluated for initial or subsequent three-year appointments (cumulative evaluations). Periodic evaluations are used for lecturers, probationary faculty in the first year of a two-year appointment and the first two years of a three-year appointment, and tenured faculty (also called post-tenure review).

Performance review: These are evaluations that do lead to a personnel action: reappointment, tenure, and/or promotion.

Probationary faculty: Sometimes called tenure-track faculty, they are faculty hired onto a tenure-line but not yet tenured. After a maximum of six years, they must request tenure and, after a final performance review, either be awarded tenure or reappointed to a terminal year. Once tenured, a faculty member has the strongest rights of continuation of virtually any job classification.

PRTB: Pre-retirement Reduction in Time Base. This is a program that allows tenured faculty to reduce their time base evenly across the academic year while still paying full-time into CalPERS. Faculty are limited to five years of PRTB.

Reimbursed Time: Faculty or graduate assistant time that is funded from grants or contracts. It differs from assigned time (see above) by being externally funded, not state funded.

RSCA: Research, Scholarship, and Creative Activity. Originally a term for a source of funding from the Chancellor’s Office, RSCA has become a way for CPP to recognize the diverse professional activities of its faculty.

RTP: Reappointment, tenure, and promotion; the core evaluative process of the university.

Smart classroom: Classrooms equipped with a range of multimedia and computer technologies.

Three-year appointment: After six consecutive years of employment, as defined in the CBA, and at a current three-year appointment, a lecturer is eligible to be reappointed to a three-year appointment, if rated as satisfactory by the appropriate administrator in the cumulative review process.
**Weighted Teaching Unit:** In assigning work to faculty members, the CSU uses a system of “weighted teaching units”, or WTU. The intent of the weighting system is to account for the time a faculty member would be expected to spend in the classroom as well as the time spent on course preparation, holding office hours for students, grading, and so forth. One WTU of instruction is expected to equate to about 3 hours of total effort by the faculty member per week. Appendix 1 provides some additional explanation of the weighting system. Weighted teaching units are identical to credit hours earned by students in classes offered in lecture, seminar, and discussion formats, but do not match credit hours for laboratory classes, small-group activities, fieldwork, or assignments where the faculty member works one-on-one with a student (“supervision classes”). Historically, tenure-track faculty members were expected to teach an average of 12 WTU per term and to devote the equivalent of 3 WTU of time to indirect instructional activities. Indirect instructional activities were those not tied to a specific class (such as curriculum development, student advisement, and committee service). Twelve WTU would equate to four 3-credit lecture classes per semester (8 classes per year) or the equivalent effort for other types of instruction. Small variances on this standard were permitted from one term to the next, and in addition, faculty members could be given non-instructional assignments (“assigned time“, also allocated in WTU) in lieu of teaching a class.
APPENDIX III
CAREFUL CONSIDERATION

Contractual Requirements

1. Give employee a copy of all information placed in his/her personnel file and an opportunity to respond.

2. Conduct periodic evaluation (annually)

3. Provision 12.7, Sentence 1 – Department to maintain list of temporary employees who have been evaluated by the department

4. Provision 12.7, Sentence 2 -
   - Employee to apply for position in department or applicant pool
   - Employee's previous period evaluations and his/her application to be considered

Guidelines Developed through Relevant Arbitration Awards

1. General Observations
   o Term "Careful Consideration" – has a meaning "...the term 'careful consideration' must mean more than simply thinking about someone and deciding not to offer that person a position. It must mean the university has to have some kind of a reason for what it did or 12.7 would be meaningless."
   o How would reasonable person define term?
     - Procedures for evaluation and decision-making set forth in Article 15 would be followed
     - Final appointments made based on legitimate academic criteria, such as professional quality of course material, attainment of Ph.D. and strong student evaluations
     - Consider all aspects of grievant's performance and note plusses and minuses
   o Careful consideration based on objective, merit-based standards, in order to objectively rank candidates
   o Ranking candidates is useful, even if only rank top candidates
   o A position description tailored to specific candidates’ qualifications is an indication not giving careful consideration to other candidates
2. Careful Consideration Procedure
   - Must have procedure that complies with contract
   - Comply with campus or department policies and procedures
   - Procedure should be in writing
   - Don't change procedure mid-stream
   - Faculty need to know criteria on which will be evaluated for appointment
   - Be able to demonstrate faculty member should have known procedure (published procedure, he'd been advised or had followed it previously)
   - If you follow careful consideration procedure and can demonstrate objectively considered candidates, arbitrator will not substitute his opinion
   - Do NOT assume candidate does not have to be considered for performance or financial reasons
     - Where top candidate's name not submitted for final decision because salary more than budgeted amount, candidate did not receive 'careful consideration.'
     - If candidate has performance/discipline problems, cannot skip careful consideration process.

3. Discipline/Performance Problems
   - Separate Issue from Careful Consideration
     - After "carefully considering" may not select due to discipline/performance problems (helps if documented)
     - If want to end appointment early due to performance/discipline issues, address through discipline with due process rights
   - Document performance issues with copy to grievant and personnel file

4. Performance Evaluations
   - Must be completed
   - Must be considered
   - Evaluation based on class visitation, course materials, student evaluations and grading practices is evidence of objective performance evaluation
   - Evaluative judgment must be reduced to writing and placed in personnel file, administrative evaluations must be conducted
   - Be sure to review most recent evaluations
5. Personnel Action File
   o Review the Personnel Action File
   o Each person involved in making the appointment decision should review the Personnel Action File
   o Helpful if Personnel Action Files are available at committee meetings

6. Student Evaluations
   o Do not rely exclusively on Anonymous Student Evaluations - “… in the Arbitrator’s opinion, these Article 15 provisions recognize that student evaluations can provide useful insights into a teacher’s performance while article 11.3 indicates that major decisions affecting a faculty member’s status should not be based solely upon unauthorized documents.” (1986)
   o Reviewing student evaluations over a period of time is carefully considering (1986)
   o Student evaluations should be one of many factors reviewed (1989)
   o Do not discuss student remarks that aren’t part of the grievant’s personnel file during committee evaluation process (1990)
APPENDIX IV
RESPONSIBILITIES OF CUSTODIAN OF PERSONNEL ACTION FILE

The President has designated the colleges as the custodians for the Personnel Action Files for all faculty members (full-time and part-time). See the CPP Personnel Action Files document on the Faculty Affairs website for further information.
## APPENDIX V
### ANNUAL EVENTS FOR DEPARTMENT CHAIRS’ ATTENTION

<table>
<thead>
<tr>
<th>Month</th>
<th>Academic</th>
<th>Personnel</th>
<th>Administrative</th>
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<tbody>
<tr>
<td><strong>September</strong></td>
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<tr>
<td>Beginning of Fall Term and</td>
<td>Last Day Students May Petition to Withdraw from Classes and Receive “WX”</td>
<td>Temporary Lecturer appointments for Fall should be finalized</td>
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<tr>
<td>Academic Year</td>
<td>(Summer 10wk/2nd 5wk)</td>
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<td>Summer (10wk/2nd 5wk)</td>
<td>New department chairs should be registered for the “New Department Chair”</td>
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<td>Grades Due at 6:00am</td>
<td>workshop offered by the Chancellor’s Office</td>
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<td>Update information on Find Your Advisor Website (in response to request</td>
<td>Faculty Roster for RTP purposes distributed to Chairs first week of Fall</td>
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<td></td>
<td>by Academic Programs)</td>
<td>term</td>
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<td>Update information on Change of Major Website (in response to request</td>
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<td>by Academic Programs)</td>
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<td></td>
<td>Add/Drop Period Begins (Fall)</td>
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<td>Winter Schedule Frozen for Analysis</td>
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<td>Department begin to develop curriculum packages (new program and course</td>
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<td>proposals)</td>
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<td><strong>October</strong></td>
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<td>Add Period Ends (Fall)</td>
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<td>Lecturer Range Eligibility verified by Department.</td>
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<td>Last Day to Drop Classes</td>
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<td>w/o Record (Fall)</td>
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<td>Last Day Students May</td>
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<td>Professional Leave: Eligible faculty submit application materials to chair</td>
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<td>Withdraw from Classes</td>
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<td>and Receive “W” (Fall)</td>
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<td></td>
<td>Registration Holds Applied to Student Records (Winter)</td>
<td>RAP: chair evaluations of 2nd &amp; 3rd PY candidates due to Dean</td>
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<td></td>
<td>Registration Advising Period Begins (Winter)</td>
<td>Department posts names of candidates for RTP Action</td>
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<td>Priority Registration Period Begins (Winter)</td>
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<td>Spring Schedule Building Begins</td>
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<td><strong>November</strong></td>
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<td></td>
<td>Last Day Students May Petition to Withdraw from Classes and Receive &quot;W&quot;</td>
<td>RTP: chair evaluations of 4th, 5th &amp; 6th PY candidates due to Dean</td>
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<td>(Fall)</td>
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<td>General Registration Period Begins (Winter)</td>
<td>Professional Leave: Chair completes Department Chair Evaluation Form for Professional Leave Applications</td>
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<td>Check for RP and I grades due to expire and remind faculty</td>
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<td></td>
<td>Faculty Research, Scholarly and Creative Activity (RSCA) mini grants - due early November</td>
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<td><strong>December</strong></td>
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<tr>
<td>Beginning of Winter Term</td>
<td>Last Day Students May Petition to Withdraw from Classes and Receive &quot;WX&quot; (Fall)</td>
<td>Lecturers notified of Range Elevation eligibility by Faculty Affairs - Chairs cc'd</td>
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<td>Add/Drop Period Begins (Winter)</td>
<td>Temporary Lecturer appointments for Winter should be finalized</td>
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<td>Spring Schedule Frozen during Holidays for Analysis</td>
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<td>Electronic Catalog revisions due in Academic Programs</td>
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<td>New Program Prospectus Due to Academic Programs</td>
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<td>January</td>
<td>Add Period Ends (Winter)</td>
<td>Pre-RTP workshop conducted by Faculty affairs</td>
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<td>Last Day to Drop Classes w/o Record (Winter)</td>
<td>Range Elevation applications submitted to chair and chair provides applications to department review committee</td>
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<td></td>
<td>Last Day Students May Withdraw from Classes and Receive &quot;W&quot; (Winter)</td>
<td></td>
<td>Department RTP Committees elected during winter term. Send a list of members including selection of DRTPC chair to Faculty Affairs</td>
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<td>Registration Holds Applied to Student Records (Spring)</td>
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<td>Registration Advising Period Begins (Spring)</td>
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<td>GE and new program proposals for next AY due in Academic Programs</td>
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<td>February</td>
<td>Last Day Students May Petition to Withdraw from Classes and Receive &quot;WX&quot; (Fall)</td>
<td>Chair evaluates (if he/she is not a member of the committee) Range Elevation candidates and submits recommendations to Dean; the committee submits its recommendations and responses from the candidates (if any) to the Dean. See Range Elevation Calendar for deadlines</td>
<td>Department Chairs are notified if they are due for a 3rd year evaluation RTP (2nd &amp; 3rd probationary year faculty) Provost decision to candidates</td>
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<td></td>
<td><em>Summer Schedule Building Begins</em></td>
<td>3rd year Department Chair reviews conducted</td>
<td>State funding deadline for purchases requiring ATI review and formal bidding</td>
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<td><em>Fall Schedule Building Begins</em></td>
<td>FERP applications due to Faculty Affairs:</td>
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<td></td>
<td><em>All FINAL revisions to AY Galley Proofs due in Academic Programs</em></td>
<td>Expiring Department RTP Criteria document should be revised and presented to department for ratification by March 1st</td>
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<td></td>
<td><em>Misc. undergraduate and graduate curriculum changes planned for AY due into Academic Programs</em></td>
<td>Verify that the required number of student and peer evaluations of teaching have been conducted for tenure-track faculty members</td>
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<td>March</td>
<td><em>Last Day Students May Petition to Withdraw from Classes and Receive &quot;WX&quot; (Winter)</em></td>
<td>Proposals for Faculty Early Career Summer Support Program (formerly called Provost Teacher Scholar Program) due early March</td>
<td>DRTPC must be formed before the end of Winter term. Send a list of members including selection of DRTPC chair to Faculty Affairs</td>
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<td><em>Add/Drop Begins (Spring)</em></td>
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<td></td>
<td><em>Summer Schedule Frozen for Analysis</em></td>
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<td><em>Check for RP and I grades due to expire and remind faculty.</em></td>
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<td></td>
<td><em>Proposals for Faculty Early Career Summer Support Program</em></td>
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<tr>
<td>April</td>
<td>Last Day to Drop Classes w/o Record (Spring)</td>
<td>Department Chair sends recommendations along with resolutions for those retiring faculty who qualify for Emeritus status to the Academic Senate</td>
<td>State funding deadline for Graphic Communications Services order of $10,000 or more</td>
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<td></td>
<td>Last Day Students May Withdraw from Classes and Receive &quot;W&quot; (Spring)</td>
<td>Revised Department RTP Criteria document submitted to the College RTP Committee and Dean by April 1st</td>
<td>State funding deadline for Requisitions requiring formal bidding</td>
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<td>Add Period Ends (Spring)</td>
<td>Faculty notified of Professional Leave eligibility by Faculty Affairs (chairs cc’d)</td>
<td>State funding deadline for purchases requiring ATI review but not format bidding</td>
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<td>Priority Registration Period Begins (All Summer)</td>
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<td>General Registration Period Begins (All Summer)</td>
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<td>Fall Schedule Frozen for Analysis</td>
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<td>Registration Advising Period Begins (All Summer/Fall)</td>
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<td>Registrations Holds Applied to Student Records (All Summer/Fall)</td>
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<td>Proposals for the Teacher Scholar Support program due</td>
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<td>May</td>
<td>Last Day Students May Petition to Withdraw from Classes and Receive &quot;W&quot; (Spring)</td>
<td>RTP (4th, 5th &amp; 6th probationary year faculty) Provost decision due to candidates</td>
<td>State funding deadline for IT Work orders</td>
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<td>Priority Registration Period Begins (Fall)</td>
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<td>State funding deadline for Graphic Communications Services orders less than $10,000</td>
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<td></td>
<td>General Registration Period Begins (Fall)</td>
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<td>State funding deadline for Requisitions not requiring formal bidding</td>
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<td>State funding deadline for internal chargebacks</td>
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<td>Beginning of Spring Term</td>
<td>Check for RP and I grades due to expire and remind faculty</td>
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<td>Within 30 days from the posting of 3 yr lecturers per Article 12.12: Chair to be notified by those lecturers not posted on the above list but who feel they are eligible</td>
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<td>Faculty Annual Reports Due</td>
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<td>Verify that the required number of student and peer evaluations of teaching have been conducted for tenure-track faculty members</td>
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<td>Strategic Interdisciplinary Research Grant (SIRG) proposals due early May</td>
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<td>June</td>
<td>Last Day Students May Petition to Withdraw from Classes and Receive &quot;WX&quot; (Spring)</td>
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<td>Commencement (Dates Vary by College)</td>
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<td>Department Annual Reports due to Dean</td>
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<td>Department Program Assessment Reports due to Academic Programs</td>
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<td>Add/Drop Period Begins for All Summer</td>
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<td>Add Period Ends for Summer (10wk/1st 5 wk ONLY)</td>
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<td>Last Day to Drop Classes w/o Record (Summer 10wk/1st 5wk)</td>
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<td>July</td>
<td>Beginning of Summer Term (2nd 5Wk)</td>
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<td>Last Day Students May Withdraw from Classes and Receive &quot;W&quot; (Summer 10wk/1st 5wk)</td>
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<td>Temporary faculty members on Article 38.48 Reemployment List must notify department chair by July 1st of interest in and availability for employment (per Article 38.48 (b))</td>
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</tbody>
</table>
August

- Summer (1st 5wk) Grades Are Due at 6:00am
- Add Period Ends for Summer (2nd 5wk ONLY)
- Last Day to Drop Classes w/o Record (Summer 2nd 5wk)
- Last Day Students May Withdraw from Classes and Receive "W" (Summer 2nd 5wk)
- Last Day Students May Petition to Withdraw from Classes and Receive "WX" (Summer 1st 5wk)
- Winter Schedule Building Begins
- Schedule Adjustment Period (Fall)
- Check for RP and I grades due to expire and remind faculty

* This document is meant to serve as a helpful guide. It is not comprehensive. Continue to pay attention to notifications concerning specific due dates and procedures for the different functions.