

The logo for Cal Poly Pomona is a large, stylized arrow pointing to the right. It is composed of several overlapping triangles in shades of blue, green, and yellow. The text "Cal Poly Pomona" is positioned to the left of the arrow.

CalPoly
Pomona

RTP Workshop for Evaluators

Presented by Office of Faculty Affairs

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Reappointment, Tenure and Promotion (RTP)

- The reappointment, tenure and promotion policy is one of the most important matters in a university community.
- DRTP criteria are the expression of the academic values of a discipline and faculty
- The correct conduct of RTP procedures provides the assurance that every RTP candidate will be fairly evaluated and that the integrity of the evaluation process is maintained to the highest degree.
- The RTP process is guided by the Unit 3 Collective Bargaining Agreement (CBA) articles 10 to 15, University Policies #1328 and #1329, and Department RTP criteria documents.
- **Policy #1328, Reappointment, Tenure and Promotion Policy** and Procedures, was reviewed and modified in the AY 2019-20 with implementation of changes to begin in the AY 2021-22 RTP cycle.

Where to find resources for RTP

Office of Faculty Affairs

The screenshot displays the website for the Office of Faculty Affairs at Cal Poly Pomona. On the left is a vertical navigation menu with the following items: Home, About Us (highlighted), Tenure Line Faculty, Temporary Faculty, Unit 11 Employees, Leaves, Retirement Programs, and Related Resources. The main content area features a header with the Cal Poly Pomona logo and a search bar. Below the header is a large banner image with a 'Wall of COOL' logo and the text '2018 - 2019 Wall of COOL' and 'Visit Wall of Cool 2019'. At the bottom of the main content area is a row of seven circular icons, each with a corresponding label: Academic Manual (book icon), Collective Bargaining (handshake icon), Center for the Advancement of Faculty Excellence (graduation cap icon), Inquiries (question mark icon), Interfolio (person icon), Explore YourLife@CPP (group of people icon), and NCFDD (flame icon).

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CalPolyPomona

What can we help you find?

2018 - 2019 Wall of COOL

Visit Wall of Cool 2019

Academic Manual

Collective Bargaining

Center for the Advancement of Faculty Excellence

Inquiries

Interfolio

Explore YourLife@CPP

NCFDD

RTP Online Resources

- RTP calendar
- Policies
- Academic Resolutions
- Faculty Performance Review Form
- Evaluator's Forms
- Interfolio Resource link

Office of Faculty Affairs

Home

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Tenure Line Faculty ▾

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Tenure-Line Faculty Evaluation

Reappointment, Tenure & Promotion (RTP)

RTP packets must be submitted via [Interfolio](#).

By the start of fall semester, a case will have been created in Interfolio for faculty eligible to submit a RTP packet via Interfolio. Once you log in to Interfolio, you will be able to access instructions for submitting your packet along with links to upload the required documents and forms. Please begin drafting your candidate's report and self-narrative using the form below. This will become part of your RTP submission.

RTP Calendar

- [RTP Calendar 2022-2023](#) (pdf)

RTP Policies

- [Policy No: 1328 - RTP Policy and Procedure](#) (pdf)
- [Policy No: 1329 - Student Evaluation of Teaching](#) (pdf)
- [CBA Article 15 Evaluation](#) (doc)
- [Senate Resolution on Faculty Evaluations - Spring 2020](#)
- [Senate Resolution on Faculty Evaluations - AY 2020-2021](#)
- [Letter for PAF - COVID-19 Context in AY 2021/22](#) (doc)
- [Letter for PAF - COVID-19 Context in AY 2020/21](#) (pdf)

RTP Forms

- [Faculty Performance Review Form 2022-23](#) (doc) - for full performance reviews
- [Periodic Review Form 2022-23](#) (doc) - for faculty periodic reviews
- [DRTPC Evaluation Form 2022-23](#) (doc) Signature page (pdf)
- [Department Chair Evaluation Form 2022-23](#) (doc) Signature page (pdf)
- [Dean Evaluation Form 2022-23](#) (doc) Signature page (pdf)



Overview of RTP

General Principles

- The faculty member requesting RTP action is primarily responsible for demonstrating criteria is met.
- Evaluation and recommendation is based on materials included in the RTP packet and Personnel Action File (**PAF**)
- RTP packet is also referred to as the Working Personnel Action File (**WPAF**)

Who are the evaluators?

1. **Department RTP Committee (DRTPC)** and Department Chair, if not part of the DRTPC and explicitly stated in department RTP criteria. If separate, it must be done independently from DRTPC review
2. **Dean**
3. **University RTP Committee (URTPC)**
4. **Provost and Vice President for Academic Affairs**, as President's designee, makes final decisions on RTP matters

Who are the evaluators?

- The College RTP Committee, **CRTPC**, is part of the process only if there is an appeal of the DRTPC's recommendation. If triggered, their participation is strictly limited to the appeal, they don't conduct a full evaluation
- Appeal can only be for violation of department RTP procedures and/or upon misapplication of department RTP criteria

Evaluator Responsibilities: confidentiality of review

- Deliberations on reappointment, tenure, and promotion are **confidential**
- **Access to materials and recommendations** pertaining to the candidate **shall be limited** to the RTP candidate, evaluators, and appropriate administrators, and the CRTPC only if there's an appeal to the DRTPC recommendation

Evaluator recommendations

- Before recommendations are reviewed by next review level, the candidate must be given the recommendation, which shall state in writing the reasons for the recommendation
- The candidate shall have the right to respond or submit a rebuttal statement in writing no later than ten (10) calendar days following receipt of the recommendation
- RTP committees' evaluation report and recommendation shall be approved by a **simple majority**

Other evaluator responsibilities

- The candidate may request an **opportunity to discuss recommendation with the recommending group or individual**, who shall honor such a request. Such requests shall not require that RTP timelines, as specified in the current University Calendar for RTP Actions, be extended
- Under **rare circumstances beyond the control of individual(s)** at a given review level, a request may be submitted to the URTPC for extending a deadline. After consulting with AVP for Faculty Affairs, URTPC Chair responds to the request

DRTPC duties during the RTP cycle

- Evaluate using only applicable department RTP criteria
- Produce DRTPC evaluation by deadlines
- Maintain security and confidentiality

DRTPC duties during the RTP cycle

- The DRTPC must also include **a discussion of progress made on any recommendations for improvement given in the previous RTP cycle.** This applies to probationary faculty and tenured faculty who are applying for promotion (full PAF review would likely be the only way to find out what was recommended in prior years)

DRTPC duties during the Academic Year

- Responsible for making sure class peer observations are conducted
- Mentor probationary faculty about departmental expectations
- **Initiate review of department RTP criteria document** as needed or if expired (current deadline for submission to the DRTPC and the Dean is March 1st each year). CRTPC, Dean, and AVPFA are also reviewers.

DRTPC member: supplementary report

- Also known as “minority report”
- Any member of the DRTPC may file a supplementary report. Supplementary reports, if submitted, must accompany the recommendation in question and **must have been made available to all members of the DRTPC and to the candidate.**

Appeals of DRTPC recommendation

- The candidate has ten (10) calendar days following receipt of the DRTPC's recommendation to appeal the DRTPC action to the CRTPC
- In cases of appeal, the Office of Faculty Affairs will create a separate calendar to track these cases



Reappointment, Tenure, and Promotion (RTP) Calendar Academic Year 2022-2023

Fall Semester: August 22 – December 23

Spring Semester: January 20 – May 24

Evaluation	Reviewers	RTP Package Due Date	Review Begins	Recommendation Deadline	Rebuttal Deadline
PERIODIC: Faculty in 3rd / 4th probationary year	DRTPC	9/12/22	9/12/22	9/26/22	10/6/22
	Department Chair		9/12/22	9/26/22	10/6/22
	Dean		10/7/22	10/24/22	11/3/22
PERIODIC: Faculty in 5th / 6th probationary year	DRTPC	9/26/22	9/26/22	10/21/22	10/31/22
	Department Chair		9/26/22	10/21/22	10/31/22
	Dean		11/1/22	12/6/22	12/16/22
FULL PERFORMANCE: For faculty requesting 2nd / 3rd / 4th / 5th / 6th reappt. Tenure/Promotion ¹ Promotion to Full Professor ²	DRTPC	10/10/22	10/10/22	11/18/22	11/28/22
	Department Chair		10/10/22	11/18/22	11/28/22
	Dean		11/29/22	1/31/23	2/10/23
	URTPC		2/11/23	4/14/23	4/24/23
	Provost		4/25/23	6/1/23 6/15/23 (promo to full only)	
Pre-RTP	DRTPC	2/6/23	2/6/23	2/21/23	3/3/23
	Department Chair		2/6/23	2/21/23	3/3/23
	Dean		3/4/23	3/24/23 meeting with faculty member ³	
	Dean			4/7/23 ⁴	4/17/23

¹ Probationary faculty (assistant or associate professor) requesting tenure and/or promotion.

² Tenured associate professors requesting promotion to full professor.

³ Dean shall meet with the probationary faculty member to review the department evaluation by March 24, 2023.

⁴ The Dean's separate evaluation must be provided to the probationary faculty member within seven days of the meeting (by April 7, 2023).

Areas of Evaluation

- Teaching
- Research, Scholarly, and Creative Activities
- Service
 - Advising: in some departments it is under teaching, in others service
 - Graduate advising vs. undergrad advising could be recognized differently in some departments

Teaching, Research & Scholarly Activities

- **Student evaluation of teaching**
 - All classes evaluated with a few exceptions
 - Conducted anonymously via survey questionnaires, comments not allowed
- **Out of class evaluation comments**
 - At any time, a student may submit input on teaching performance of a faculty member. Letter/petition must be signed and include the Bronco Identification Number of student(s) who signed and addressed to department chair or DRTPC chair.

- **Solicitation of student comments**

- Only via public announcement posting/publication or by some other means designed to reach students collectively, not individually
- Any solicitation by a faculty member on his/her own behalf, or by a faculty member or administrator on behalf of or against another faculty member is **considered unprofessional and is prohibited**
- It needs to be done **at least 10 days before RTP packet deadline** to allow candidate required minimum time to write response and so that DRTPC can consider both student input and candidate's response in deliberations

The XYZ Department

invites students, faculty, and administrators to submit comments about the following candidates for Reappointment, Tenure, and Promotion (RTP) evaluations (*):

CANDIDATE	ACTION REQUESTED
Dr. A. Alpha	Reappointment
Dr. B. Beta	Promotion to Professor
Dr. G. Gamma	Tenure
Dr. K. Kappa	Early Tenure and Promotion

Written comments must be dated, signed, and include Bronco Identification Number. Please deliver to:

Dr. D. Delta, Chair of the
XYZ Department RTP Committee
Office: Building 747, Room 20D

Or submit to the XYZ Department Office in a sealed envelope addressed to Dr. D. Delta.

by 5:00 p.m. on Friday, MM/DD/YY.

Thank you for your participation in this important process.

(*) Per Collective Bargaining Agreement, faculty, students and academic administrators may contribute information to the evaluation of a faculty unit employee (CBA Article 15.2).

Evaluation of Teaching

- **Peer observation of teaching**

- Minimum of two peer observations per academic year, some departments require more during early probationary years
- Responsibility of **DRTPC is to ensure required minimum number observations is met** and that the report is submitted to the faculty member who has 10 calendar days to respond to the report.
- **DRTPC chair** places the report and any written response in faculty member's PAF within two weeks of the classroom visit
- Scheduling of peer observation – done with faculty member

Overall evaluation of Teaching

- **Based on department RTP criteria**
- **Expectations in terms of minimum scores, teaching philosophy statement, activities to support teaching, etc. vary by department**

Evaluation of Research, Scholarly, and Creative Activities

- **Based on department RTP criteria**
- **Expectations vary by department**
- **Criteria expectations must be clear, not subject to interpretation**
- **Short-term and long-term plans are essential**

Evaluation of Service

- **Based on department RTP criteria**
- **Expectations vary by department**
- **Criteria expectations must be clear, not subject to interpretation**
- **Department guidance on service strategies is essential**

Evaluator problems to avoid

- Members of DRTPC were not elected to serve. Members **must be elected**
- Even number of DRTPC members, **must be odd number**
- DRTPC supplementary (minority) report not submitted together with majority recommendation, **required by policy**
- Confidentiality of deliberations compromised by DRTPC member, serious **policy violation**

Problems to avoid cont.

- DRTPC calls for input from students and faculty sent out at the last minute, **need to allow time for faculty to write response**
- DRTPC did not include discussion on any recommendations for improvement from previous cycle, **required by policy**
- DRTPC discussing student evaluation scores or other materials outside evaluation period, **must be only for period covered by evaluation**

- 
- DRTPC did not ensure that minimum number of peer observations were conducted, **required by policy**
 - Peer observations not given to candidates within the required 10-day period, **required by policy**
 - Peer observations conducted not using the official department approved form, **approved form is part of department criteria document**
 - DRTPC did not provide enough or adequate feedback and recommendations as needed
 - Dean using criteria beyond applicable document to evaluate a candidate, **must adhere to criteria**

Improving RTP process

- Understand and follow all applicable policies and criteria document procedures and understand your role and responsibilities
- Treat all RTP deliberations and candidate submitted materials as confidential
- Ask for clarification/guidance/help when needed
- Review and improve RTP criteria document as needed
- Set up formal mentoring practices to ensure that all candidates receive consistent and timely guidance

Overview of Changes to RTP Process

- Change in options in terms of length of reappointment.
- Introduction of **Periodic Evaluation (PE)** for probationary faculty (vs. Performance review)
- Changes in **RTP package** components for probationary faculty and for tenured faculty applying for promotion

Pre-RTP – No changes

Probationary faculty will receive an initial appointment of two years.

In Year One they will undergo a unique form of periodic evaluation known as “Pre-RTP.”

As a *periodic evaluation*, Pre-RTP is not actionable and will be reviewed only by the DRTPC and Dean.

Change in options in terms of length of reappointment

- **For requests for reappointment, any level of evaluation, a recommendation for a 2-year appointment or a 1-year appointment can be made**
- **When 2-year appointment is made, in the first year of the 2-year appointment, a periodic evaluation is completed instead of the performance review**
- **Final decision on length of the new appointment continues to be by the Provost**

Performance reviews

- **Performance review:** actionable evaluation process by the DRTPC, Department Chair (if not serving on the DRTPC), Dean/or Director by each level of review that results in a recommendation for a personnel action such as reappointment, tenure and/or promotion
- Probationary faculty will undergo a minimum of three full performance reviews before being granted tenure (except early tenure cases).

Scenario 1: Six-Year Probationary Period (no service credit)

Probationary Year	Types of Review	Outcomes
1	Pre-RTP	This is the first year of employment; Pre-RTP; Stops at dean's level
2	Performance review (PR) for reappointment to 3 rd and 4 th probationary years	Two years, or one-year reappointment if candidate is found to be in need of improvement
3	Periodic evaluation (PE)	Stops at dean's level; no personnel action
4	Performance review (PR) for reappointment to 5 th and 6 th probationary years	Two years, or one-year reappointment if candidate is found to be in need of improvement, or terminal year granted
5	Periodic evaluation (PE)	Stops at dean's level; no personnel action
6	Performance review (PR) for Tenure and Promotion consideration	T&P recommended, or terminal year granted

Scenario 2: Five-Year Probationary Period (one year of service credit, are only eligible to be considered for a 2-year appointment in their 3rd probationary year))

Probationary Year	Types of review and outcomes	Comments
1	Service credit	
2	Pre-RTP	This is the first year of employment; Pre-RTP; Stops at dean's level
3	Performance Review (PR) for reappointment to 4 th and 5 th probationary years	Two years, or one-year reappointment if candidate is found to be in need of improvement, or terminal year granted
4	Periodic Evaluation (PE)	Stops at dean's level
5	Performance Review (PR) for reappointment to 6 th probationary year	Appointed to one-year reappointment, or terminal year granted
6	Performance Review (PR) for Tenure and Promotion consideration	T&P recommended, or terminal year granted

Scenario 3: Four-Year Probationary Period (two years of service credit, cannot receive 2-year appointments)

Probationary Year	Types of review and outcomes	Comments
1	Service credit	
2	Service credit	
3	Pre-RTP	This is the first year of employment; Pre-RTP; Stops at dean's level
4	Performance Review (PR) for reappointment to 5 th probationary year	Appointed to one-year reappointment, or terminal year granted
5	Performance Review (PR) for reappointment to 6 th probationary year	Appointed to one-year reappointment, or terminal year granted
6	Performance Review (PR) for Tenure and Promotion consideration	T&P recommended, or terminal year granted

Change in options in terms of length of reappointment

- **Performance Review (PR)** required for reappointment
- Probationary faculty issued a **two-year appointment** will submit their next full RTP package in fall semester of the second year of the appointment
- Those issued a **one-year appointment** will submit their next full RTP package in fall semester of that year (current system for everyone) – the way it is currently done

Change in options in terms of length of reappointment

- During a **Performance Review (PR)**, based on the review of the RTP package and evaluation of progress towards tenure and promotion, evaluators at any level of review may recommend that a probationary faculty member undergo another performance review rather than a periodic evaluation in the following Academic Year.
- This recommendation is not subject to appeal although the probationary faculty member can submit a rebuttal.

Components of Performance Review: RTP package As stated in Policy #1328

1. An updated curriculum vitae; **-new-**
2. The Faculty Performance Review Form (RTP Form); and
3. A self-assessment narrative (**no page limit**) **discussing the DRTP criteria** regarding strengths and areas for growth in teaching, research, scholarly and creative activities and service from the current review period. *In your narrative, highlight, as applicable, how your accomplishments support [CPP's core values](#), such as academic excellence, experiential learning, student learning and success, inclusivity, community engagement, and social and environmental responsibility;* **-new-**

Components of Performance Review, RTP package As stated in Policy #1328

4. All peer evaluations since the previous performance review (in the case of reappointment) or all peer evaluations since appointment or last promotion (in the case of tenure and/or promotion);
5. Statistical summaries of student survey scores since the previous performance review (in the case of reappointment) or all student survey scores since appointment or last promotion (in the case of tenure and/or promotion); and
6. Any responses to written student input, as defined by Policy No. 1329, received by the department during the evaluation period.

Reappointment, Tenure, and Promotion (RTP)

Candidate responsibilities, Policy #1328, 7.5 C

- Candidates for reappointment must discuss their progress toward meeting department requirements for tenure
- All candidates must discuss **progress made on any recommendations for improvement given in the previous RTP cycle**. This includes not only probationary faculty but tenured faculty who are applying for promotion. This includes recommendations given through the Periodic Evaluations, not just the Performance Reviews

Reappointment, Tenure, and Promotion (RTP)

Evaluators for RTP packages – no changes

1. Department RTP Committee (DRTPC) and Department Chair, if not part of the DRTPC and explicitly stated in department RTP criteria. If separate, it must be done independently from DRTPC review
2. CRTPC, only if there is an appeal
3. Dean
4. University RTP Committee (URTPC)
5. Provost and Vice President for Academic Affairs, as President's designee, makes final decisions on RTP matters

Periodic Evaluation (PE) -New- Evaluators for Periodic Evaluation packages

1. Department RTP Committee (DRTPC) and Department Chair, if not part of the DRTPC. If separate, it must be done independently from DRTPC review
2. Dean (evaluation stops here, this is similar to Pre-RTP)

The **DRTPC**, the **department chair** (if not serving on the DRTPC), and **the dean** shall produce a report with constructive feedback and clear guidance for improvement in preparation of the next year's performance review.

Periodic Evaluation (PE)

New-

- Probationary faculty issued a **two-year appointment** will undergo a **periodic evaluation (PE)** in the fall semester of year 1 of the two-year appointment
- **Periodic Evaluations are required in the years probationary faculty don't apply for reappointment**
- Like Pre-RTP evaluation, Periodic Evaluation does not lead to reappointment, tenure and/or promotion

Periodic Evaluation (PE)

-New-

- A **periodic evaluation (PE)** is an intermittent evaluation process that includes review only by the DRTPC, Department Chair (if not serving on the DRTPC), and Dean.
- Periodic evaluation does not result in a formal personnel decision but may be used to support future personnel decisions.
- Reports from the DRTPC and Dean are issued to the probationary faculty member with feedback and guidance. **A copy of the report shall be placed in the faculty member's PAF**

Periodic Evaluation (PE)

Components of the Periodic Evaluation Report -New-

1. An updated curriculum vitae;
2. A self-assessment narrative, **not to exceed four pages**, discussing strengths and areas for growth in teaching, research, scholarly and creative activities and service and other professional activities as applicable from the current review period. In your narrative, highlight, as applicable, how your accomplishments support CPP's core values, such as academic excellence, experiential learning, student learning and success, inclusivity, community engagement, and social and environmental responsibility;

Periodic Evaluation (PE)

Components of Periodic Evaluation, Periodic Evaluation Report

3. Two peer evaluations from the period of review (or more if required by the department);
4. Statistical summaries of student survey scores and reviews from the current review period; and
5. Any responses to written student input, as defined by Policy No. 1329, received by the department during the evaluation period.

Supplementary materials

- Supplementary materials will continue to be uploaded via Interfolio and they can be added for performance reviews and periodic evaluations
- Supplementary materials are not required by University policy but could be required by the department's RTP criteria document
- If included, an **index of all supplementary materials** must be provided

Period covered by performance reviews and periodic evaluations

- For subsequent **reappointment applications/performance reviews** and for **periodic evaluations** the period of review shall be the period since the last performance review.
- The period of review for application for promotion to Associate Professor and/or tenure shall be the period since the original appointment.
- The period of review for application for promotion to Full Professor shall be the period since the previous application for promotion to Associate, or, if the candidate was hired at the Associate rank, the period since the original appointment.



Interfolio

Candidates do not request one or two year appointment or performance review versus periodic evaluation. Candidates apply for the RTP actions they are eligible for.

Only the evaluators are able to recommend one or two year reappointments.



CFA