
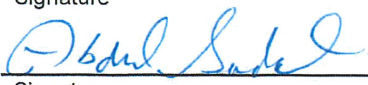


**DEPARTMENT RTP DOCUMENT
APPROVAL TRACKING RECORD**

Department:	Industrial and Manufacturing Engineering
Starting Year for Department RTP Document:	2018
Intended Length for use of Department RTP Document: (maximum 5 years)	2023

DEPARTMENT

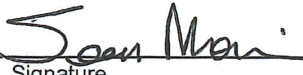
"This Department RTP Document has been approved by a majority vote of the probationary and tenured faculty in this department."

Dept. Chair:	<u>Kamran Abedini</u> Printed Name	<u></u> Signature	<u>8/24/18</u> Date
DRTPC Chair:	<u>Abdul Sadat</u> Printed Name	<u></u> Signature	<u>08/24/18</u> Date

COLLEGE RTP COMMITTEE

"The CRTPC has reviewed this Department RTP Document and makes the following recommendation."

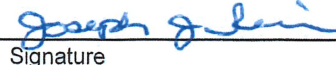
- Recommend Approval
- Recommend Approval, but concerns noted in attached memo.
- Recommend to DENY Approval (explanation must be attached.)

CRTPC Chair:	<u>Sean Monemi</u> Printed Name	<u></u> Signature	<u>8/29/18</u> Date
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COLLEGE/SCHOOL DEAN

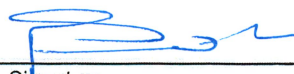
"I have reviewed this Department RTP Document and make the following recommendation."

- Recommend Approval
- Recommend Approval, but concerns noted in attached memo.
- Recommend to DENY Approval (explanation must be attached.)

Dean/Director:	<u>Joseph J. Rencis, Dean</u> Printed Name	<u></u> Signature	<u>8/29/18</u> Date
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ACADEMIC AFFAIRS

- Approved for the following years 5.
- Not Approved (Explanation attached.)

AVP for Faculty Affairs:	<u>Martin Sancho-Madriz</u> Printed Name	<u></u> Signature	<u>AUG 29 2018</u> Date
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In cases where the Department RTP Document does not conform to the provisions of the Collective Bargaining Agreement or University Policy 1328 (formerly Appendix 16) or Policy 1329 (formerly Appendix 10), those documents take precedence.

California State Polytechnic University Pomona
Industrial and Manufacturing Engineering Department
RTP Criteria Document

2018/2019 through 20122/2023 Academic Year

CALIFORNIA STATE POLYTECHNIC UNIVERSITY, POMONA
COLLEGE OF ENGINEERING

DEPARTMENT OF INDUSTRIAL & MANUFACTURING ENGINEERING

RETENTION, TENURE AND PROMOTION CRITERIA

2018/2018 through 2022/2023 Academic Years

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Section I – Introduction

The reappointment, tenure, and promotion (RTP) process is a critically important faculty responsibility. The RTP process is the mechanism by which we assure the success of our faculty and thereby assure educational quality for our students. While the President of the university makes final decisions on reappointment, tenure, and promotion, it is the department faculty who are in the best position to provide clear expectations, create an environment conducive to achieving these expectations, and render the most informed recommendations to the president. The Department RTP Criteria Document communicates department expectations and RTP procedures to the department faculty, faculty candidates, Dean of the College, the College RTP Committee, the University RTP Committee, and academic administrators. University policies including the Unit 3 Collective Bargaining Agreement (CBA) and Appendices 10 and 16 (now Policy 1328) of the University Manual define university procedures and expectations. Department documents must supplement and may not conflict with these policies. In the event of discrepancies, the CBA takes first precedence and university policies take second precedence over departmental policies.

The Collective Bargaining Agreement requires that a tenure-track faculty member be provided a copy of the Department RTP Criteria Document within two weeks of the start of their first semester at Cal Poly Pomona. The primary purpose of the Department RTP Criteria Document is to articulate clearly what the department expects of its faculty members and in particular what they must achieve in order to be granted reappointment, tenure, and promotion. These expectations must be stated with sufficient clarity and specificity so that the candidates are able to plan their activities around them. Department criteria should be consistent with department and college mission, vision, goals, and accreditation standards. In other words, they should articulate a model of the department faculty colleague to which the candidate should aspire.

RTP is not simply a matter of evaluation. Faculty colleagues, deans, and academic administrators should commit themselves to mentoring and supporting candidates, and providing them the maximum opportunity to be successful. It is important for those making recommendations to be honest, direct, and clear, just as it is important for candidates to be knowledgeable of department expectations and committed to meeting them.

I.1. Definitions

Policy 1328 provides a comprehensive overview of RTP procedures. Some of the more important definitions are provided here.

- a) **Candidate** refers to a faculty member who is under consideration for reappointment, tenure, or promotion action in the current cycle.
- b) **RTP Committee** members must be full-time tenured faculty members. Department RTP Committee (DRTPC) members are elected by the tenured and probationary faculty. A faculty member on professional leave (sabbatical or difference-in-pay) may serve if elected and willing. A tenured faculty member who will be a candidate for promotion may be elected, but may only participate on reappointment cases – may not

participate in promotion or tenure recommendations. (see also Policy 1328 sections 305.114, 305.300, 305.400, 305.500).

- c) **Criteria** are the expectations articulated in the department RTP criteria document and in Policy 1328. Criteria define what a candidate must achieve in order to be positively recommended for reappointment, tenure, or promotion. Criteria documents contain procedural information as well; however, it is important to distinguish between criteria and rules/procedures. Department RTP Criteria are adopted by a majority vote of the tenured and probationary faculty, submitted to the dean and the College RTP Committee for review and comment, and ultimately approved by the president or his designee. (see also Policy 1328 section 305.200)
- d) A **probationary year** of service is any three semesters in a period of four consecutive semesters. The first probationary year begins with the first fall term of appointment.
- e) A faculty member is **eligible to apply for tenure** at the beginning of the sixth probationary year. An application for tenure prior to the sixth probationary year is an application for **early tenure**.
- f) A faculty member is **eligible to apply for the first promotion** at the time they apply for tenure. Once tenured, the faculty member is **eligible for a subsequent promotion** after having served four years in the current rank. Applications for promotion prior to having attained eligibility are applications for **early promotion**.
- g) **Student evaluation of teaching** is governed by Appendix 10 of the University Manual.
- h) **Peer evaluation of teaching** is the responsibility of the Department RTP Committee and includes a classroom visit, review of course syllabus & other teaching materials, and a written report.
- i) A **candidate for reappointment must use the Department RTP criteria** in effect at the time of the candidate's initial probationary appointment. Current procedures and policies apply.
- j) A **candidate for tenure or promotion may choose between the criteria** in effect at the time of the initial probationary appointment and those in effect at the time of the request for action. In any case, current procedures and policies apply. A candidate requesting both tenure and promotion must choose a single set of criteria for both actions.

I.2. Department Philosophy

The IME Department philosophy is to create an environment that values and encourages:

- Student learning and graduation in a timely manner
- Faculty learning and sharing new knowledge with the university community
- Understanding how students learn and continuous improvement of the learning process
- Tenured and non tenured faculty teaming together for continuous improvement of the whole university system, not just their own piece of it within the department
- Advising and mentoring students as one of the most important faculty roles

This document is an explicit statement of the criteria used to evaluate tenured and tenure-track faculty for RTP decisions. Continuing advancement through rank is merit-based. Cooperative working relationships between the candidate and the faculty, staff and students must be developed. Responsibility for making RTP recommendations rests with the faculty, or the DRTPC on behalf of the faculty, as appropriate. The department philosophy follows Cal Poly Pomona's Teacher-Scholar model shown below as adapted by the IME Department:

Teacher-Scholar Model:

Teacher-Scholars at Cal Poly Pomona are role models who actively promote life-long intentional learning to our students, are actively engaged in advancing their fields of inquiry, and are committed to blending teaching and scholarship into a single synergistic endeavor that results in a creative integration of the two roles.

1. Learning Centered Teaching - Teacher-Scholars

- *Understand current developments in their disciplines, and use this understanding to advance student learning and knowledge,*
- *Have knowledge of effective strategies to facilitate learning of a diverse student population, use evidence-based assessment of teaching to improve their pedagogy, and evaluate and analyze their pedagogy.*

2. Scholarship

Teacher-Scholars engage in the practice of scholarship, which is specifically defined by discipline and academic unit, and is broadly construed to include the scholarship of discovery, integration, teaching, application and engagement. Teacher-Scholars:

- *Make intellectual and/or creative contributions that extend and/or develop new knowledge or creative inquiry, discover, integrate or apply facts, theories, artistic perceptions, or design to practice in their disciplines,*
- *Produce work that is peer reviewed, critiqued, juried and/or judged congruent with discipline standards, and results in a publication, presentation, creative work or other product disseminated to a wider audience beyond the Cal Poly Pomona community.*

3. Integration

Cal Poly Pomona Teacher-Scholars integrate scholarship and teaching to create a synthesis greater than both activities. Teacher-Scholars:

- *Bring the practice of their own scholarship into the classroom in an appropriate way,*
- *Promote a community of inquiry in their role as faculty members, and model and encourage academically rigorous scholarship*
- *Collaborate with students in a culture of learn-by-doing inquiry, discovery, professional practice and/or creative work*

Section II - Procedures

II.1 Composition and Organization of Department RTP Committee

The department RTP committee shall consist of full time, tenured faculty members elected by probationary and tenured faculty. The minimum size of the committee shall be three if the Department has seven or fewer full time faculty eligible to serve, and five if the Department has eight or more full time faculty eligible to serve. The committee may be larger than the minimum at the discretion of the faculty.

If too few faculty members are available to form a committee for all or some aspect of a committee's work, the committee shall consult with the College RTP committee and name faculty members from outside the Department to supplement the committee.

The committee shall be elected by secret ballot before the end of the spring semester quarter of the school year preceding the given RTP cycle, and election shall be by majority vote of the probationary and tenured faculty members of the department. The committee's term of service shall not end until all matters pertaining to the committee's recommendations have been concluded. After the election of the committee, the Department Chair will notify the Dean of the composition of the committee.

If the department chair is also a full-time, tenured faculty member, the tenured and probationary faculty will decide annually whether the Department Chair will serve on the committee. Normally the chair of the IME department will write an independent evaluation of all candidates for RTP action. However, if the Chair of the IME department is elected to the DRTPC, the IME Chair may not author an independent evaluation of any candidate.

No committee member may simultaneously serve on the College RTP Committee or the University RTP Committee during any given RTP cycle. Also, in promotion considerations, the committee members must have higher rank than those being considered for promotion. Tenured candidates being considered for promotion are ineligible for service on any other promotion or tenure actions considered by the committee. However, tenured candidates being considered for promotion are eligible for service on any reappointment actions considered by the committee.

Faculty on Professional Leave With Pay (sabbatical and difference in pay) may serve as a committee member. Faculty who know in advance that they will, during one semester or more, be unavailable or ineligible should not be nominees for the committee.

The committee shall elect a Chair who shall be responsible for ensuring the provisions of the Departmental RTP document and Appendices 10 and 16 of the University Manual are carried out. The Department RTP Chair shall perform the following duties:

Fall Semester:

- A. Gives written notice to each candidate who is eligible for a regular RTP action;
- B. Reminds candidates to submit requests for RTP actions to Department RTP Chair.
- C. Informs Faculty Affairs of requests.
- D. Provides RTP candidates all appropriate forms;
- E. Provides each RTP candidate a copy of the University RTP Calendar for the current academic year;
- F. Provides a copy of the Department RTP Document to each RTP candidate and to new faculty who will need the document for preparation of their RTP package the following academic year;
- G. Assists candidates in understanding expectations, preparing packages.
- H. Is the official custodian of the candidate's RTP package between the submission of the package to the committee by the candidate and forwarding of the package to the Dean. In this period, the committee chair and only the committee chair shall be responsible for any additions to the package or any changes in the content of the package and notification of the appropriate parties of any additions or changes.

Throughout the year:

- A. Ensures that peer evaluations are conducted for all faculty members who will be candidate for RTP action in the future.
- B. Ensures that reports are provided to candidates within 2 weeks of a classroom visit.

The committee's duties include the following:

- A. Ensuring that the minimum number of peer evaluations is conducted according to Department and University policy;
- B. Soliciting input from students by publicizing names of candidates for RTP action and names to whom signed statements may be submitted;
- C. Evaluating the candidate's request for a RTP action by using only the approved RTP criteria.

The committee shall evaluate the candidate's RTP package and render only one of the following decisions for each of the candidate's request for action:

- A. Reappointment to next probationary year,
- B. Reappointment with tenure,
- C. Reappointment with early tenure,
- D. Promotion to requested rank,
- E. Early promotion to requested rank,
- F. Termination (available for candidates currently in first or second probationary year),
- G. Reappointment with terminal year (available for candidates in either third, fourth, fifth or sixth probationary year),
- H. Deny promotion,
- I. Deny early promotion,
- J. Deny early tenure.

Decisions must be supported and shall address all applicable criteria. Decisions shall be based on evidence supplied to the committee by the candidate or requested by the committee from the candidate. No conditions or contingencies can be attached to the decision.

The committee, in their evaluation of the candidate's request, shall take into account information from the following sources:

- A. Summaries and interpretations of students evaluations in accordance with Appendix 10 and Policy 1328 Section 305.302 of the University Manual;
- B. Summaries and interpretations of peer evaluation of teaching performance shall also be considered in accordance with Policy 1328, Section 305.303 of the University Manual;
- C. Self evaluation provided by the candidate (including reference to any supplementary material necessary to corroborate candidate's statements);
- D. Signed material received from other faculty, administrators, and students (which are to be added to the candidate's RTP package);
- E. Material requested from the candidate by the committee which include requests for clarification, corrections to or augmentation of any section/part of the RTP package;
- F. Other material in writing identified by source submitted to the committee before the closing date.

II.2. Evaluation of Teaching

A. In-Class Student Evaluations

Student evaluations shall be conducted in accordance with Policy 1329 of the University Manual. As per Policy 1329, section 3.1, each faculty member is required to conduct evaluations in each class, every academic year, and is solely responsible for insuring that they are properly administered and that the results are placed in his or her Personnel Active File (PAF). The student evaluation policy shall be uniformly enforced for all candidates.

IME 400, 461/471 and 462/472, as well as EGR 481 and 482 are not eligible courses for this purpose. Lecture and laboratory sections of a particular course are considered as separate courses for this evaluation process.

B. Out-of-Class Student Evaluations

For faculty requesting promotion or tenure, the committee shall post an announcement, in a prominent place(s) near the Department office, of the names of candidates requesting a RTP action, the type of request made, and the name of the individual to whom signed comments or recommendation can be given. These notices will specify that any student who has been enrolled in one or more of the candidate's courses or worked under his/her guidance for senior project or master's thesis, may submit a written evaluation to the RTP Committee. This posting will take place within one week of notification of the DRTPC chair by the candidate that he/she will request a RTP action. The signed comments will be accepted up to the time that the committee starts its evaluation of the candidate's

request. These notices will be posted for at least two weeks. In no case shall an individual faculty member selectively solicit such input (see Policy 1328, section 3.2).

Approximately four weeks after the posted notices, the Committee will meet and review the student's evaluations. A letter summarizing the substance of the evaluations will be prepared by the Committee and submitted to the candidate. This letter will be placed in the candidate's RTP file. The candidate may review student letters and may subsequently submit to the Committee a specific response to any such letters he/she may choose prior to the Committee's final recommendation. Any such response will be placed in the RTP package.

C. Peer Evaluations

The tenured faculty will conduct at least two peer evaluations of teaching performance each year in different semesters. These evaluations are defined in Policy 1328, Section 305.303 and departmental guidelines for the peer review are provided in the appendix of this document. Additional evaluations may be performed if requested by either the individual faculty member or the DRTP committee. These peer evaluations of teaching performance shall include, at a minimum, classroom visits and review of course syllabus, and related material (may include tests and test results, course notes, and grades). A written report of the peer evaluation shall be placed in the candidate's RTP file within two weeks of the class visit. A copy of the written report will also be given to the candidate. The written report will include, at a minimum, an evaluation of the following: the classroom visit, the course syllabus and any other related material that was reviewed.

Peer evaluations should be conducted during the time period that has passed since the last application was made for the same or a similar action. Exceptions may be allowed if the candidate does not have the minimum number of evaluations. The normal timeline for evaluation is stated in Policy 1328: "Reappointment evaluations are normally based on the previous year's performance; promotion evaluations are based on the period since the previous application for promotion or since original appointment; and tenure evaluations are based on the period since original appointment to the probationary position." For tenure and promotion evaluations, the candidate should have peer evaluations from all tenured faculty in the department on the previous year.

D. Evaluation of Student Advising

Student advising and mentoring is recognized as an important part of the candidate's teaching responsibilities. The DRTP Committee shall consider the performance of the candidate in the area of student advising and mentoring, as set forth in Policy 1328, Section 305.201. The committee will solicit the candidate's advisees for input in this area.

II.3. Departmental Evaluation of Candidate

The departmental RTP procedure is based upon the procedures specified in Section 305.800 of Policy 1328 of the University Manual. The DRTP calendar conforms to that issued annually by the Associate Vice President for Faculty Affairs, and candidates must appear on the list issued by that office by name in order to be eligible to request any RTP action.

The candidate shall be evaluated according to the criteria stated in this document. No other criteria are applicable, unless stated in writing, to the agreement of the candidate, the Department RTP Committee, the Dean, the University RTP Committee, and the Vice President for Academic Affairs. In their evaluation, the committee must include a discussion of the candidate's student and peer evaluations.

Criteria for reappointment decisions shall be the criteria that were in effect during the candidate's first academic year of probationary service on this campus. Candidates for tenure or promotion may use either the Departmental RTP criteria in effect during the candidate's first academic year of probationary service on this campus or the Departmental RTP criteria in effect in the year the candidate requests action. If a candidate requests simultaneous consideration for both promotion and tenure, the candidate must select a single set of criteria. Once the evaluation process has started, there shall be no changes in criteria and procedures used to evaluate the candidate.

The deliberations of the committee shall remain confidential. Each committee evaluation report and recommendation shall be approved by a simple majority of the membership of the committee. The committee shall not assign any of its duties to any other group or individual.

The candidate is evaluated in three areas: teaching effectiveness and advising; research, scholarly and professional development; and service. Teaching effectiveness and advising is considered the most important component of a candidate's evaluative qualities. Research, scholarly and professional development activities are ranked next in importance (i.e. weighed less). Service is given the least weight but the candidate is expected to show meaningful committee activity at the Department, College and University level as well as participation with the community external to the University. However, quality in all three categories is required for RTP. An all-inclusive list of ways in which a candidate can contribute to each of these areas would be endless. Examples are provided in the Appendix. The candidate should pursue activities that both enhance their career and benefit the university and the department.

II.4. PROFESSIONAL DEVELOPMENT PLAN (PDP)

The department RTP committee requires that each new tenure-track faculty submit a detailed professional development plan (PDP) prior to the end of the second semester at Cal Poly Pomona.

It is expected that the PDP covers all years toward the next RTP action that will be requested and clearly demonstrates a continuing effort toward developing greater professional knowledge and competencies as identified by the various RTP actions, and to be in sync with the department mission and objectives. The candidate should meet and consult with the DRTPC annually to ensure appropriateness of the PDP. The PDP should include plans for many of the items listed below. It is the hope that the plan will express the interests of the faculty member as well as meet the needs of the department so that all concerned will benefit. Items A-E are major and should be thoroughly addressed and consider the criteria of the RTP action being pursued. Items F and G should be included as appropriate:

- A. Research and generation of research grants and projects of interest to the faculty member and related to the departmental objectives and the improvement of its lab facilities.
- B. Plans for participation and continuous improvement (assessment) in teaching and service that contribute to the achievement of department learning objectives and student outcomes.
- C. Preparing for and/or participating in student advising—both academic and in co-curricular activities.
- D. Plans for curriculum or course development.
- E. Active participation in professional societies, conferences, and seminars including presentation and publication of technical papers. Publications in refereed journal and conference proceedings.
- F. Attainment of professional registration and/or certification.
- G. Relevant consulting and professional engineering practice which enhances the candidate's teaching effectiveness and research productivity.

In addition to the above outlined possible activities any other relevant professional involvement which improve the candidate's teaching and scholarly performance are strongly encouraged and should be included in the PDP and detailed as much as possible along with appropriate time estimates for the accomplishment of specific goals.

This PDP will be reviewed and approved annually by the DRTPC and timely progress of the specific activities and goals will play a significant role in determining the candidate's performance and long range potential to serve in the department. One of the major purposes of this review is to make sure the

candidate has a realistic plan that is attainable with a sustainable amount of effort. It would not serve anyone in the long run to try and follow a plan that is too hard to accomplish.

II.5. Candidate's Responsibilities

The candidate initiates all RTP requests. If the candidate is eligible for an RTP action then there will be written notification from the Committee Chair. The candidate must respond that either there will or will not be a request for consideration. If the candidate is requesting early promotion or tenure, then the candidate must notify the Committee Chair in writing that there will be a request for an early action.

At all times the candidate should monitor the progress of the request through the various review groups. The candidate can withdraw the request, without prejudice, at any level of review.

In the self-evaluation, the candidate must explicitly address the Department's criteria for the action(s) requested. The evaluation shall be structured so as to make very explicit references, item by item, to the Department RTP criteria. If the candidate is requesting reappointment then there must be clear and explicit evidence that there is progress toward the successful attainment of tenure. Furthermore, the self-evaluation shall explicitly contain the following items:

- A. **Discussion of teaching effectiveness and advising/mentoring activities.** This includes an assessment of the student and peer evaluations, and activities relating to student advising and/or mentoring. All deficiencies noted in the student and peer evaluation shall be addressed fully. If deficiencies or problems were pointed out in previous evaluations, steps taken or progress made toward remedying them must also be addressed.
- B. **Discussion of research, scholarly and professional development activities.** This includes specific citation of all peer reviewed publications, dates of presentation at professional meetings and other scholarly activities, including grants and contracts, and explicit reference to all duties and assignments in professional organizations. Works in progress and ongoing activities shall be addressed. If deficiencies or problems were pointed out in previous evaluations, steps taken or progress made toward remedying them must be addressed.
- C. **Discussion of service to the University, College, Department and community.** This includes specific citation of committee assignments and duties including assistance in a professional capacity to any group, and other services to the university community at large. If deficiencies or problems were pointed out in previous evaluations, steps taken or progress made toward remedying them must be addressed.

The period of time covered by the self-evaluation should be since the last application was made for the same or similar action. Reappointment evaluations

are normally based on the previous year's performance; promotion evaluations, on the period since the last promotion or since original appointment; tenure on the period since the original appointment to the probationary position.

The candidate shall identify all materials to be considered, and to make available copies of those not already available in the candidate's RTP file. Completeness must be balanced against the consideration for the time commitment required of the committee and other evaluators. If material can be summarized or cited rather than included, this is preferable. The candidate should consider an appendix to the evaluation package which contains originals (reprints, books, grant proposals and results, course materials, lab manuals, letters of appreciation, commendations, newspaper articles, manuscripts, etc.). These supplemental materials can be placed in the faculty member's office, Department office, or the Dean's office. Only an index to the Appendix (that specifies where the supplemental material is located) is then included in the RTP package.

The candidate is responsible for making sure that the minimum number of classes has had student evaluations completed. Appendix 10 of the University Manual articulates policy and procedures on student evaluations of teaching performance. The minimum number of student evaluations is two per year, preferably in different semesters. The candidate may administer more evaluations than the minimum.

The only professional means of soliciting student opinion on teaching performance for use in faculty performance review is to reach students collectively, not individually. Any solicitation by the candidate on his/her own behalf or by a faculty member or administrator on behalf of or against another faculty member is unprofessional and is prohibited. This does not mean that the candidate cannot include other forms of evaluation. It just means that anything other than Department approved student evaluation forms and the results from the use of these forms cannot be included in the RTP package.

The candidate needs to work closely with the Department in order to schedule the minimum number of peer reviews of teaching performance. The minimum number of peer reviews is two and not both in the same semester. A candidate may request additional peer evaluations, directly from the Chair of the RTP Committee, beyond the minimum required. All original Department-approved peer review forms must be included in the RTP package. The candidate must have course syllabi and other relevant teaching materials ready during the peer review session (or at some other prearranged time). Policy 1328, Section 305.303 of the University Manual articulates policy and procedures on peer review of teaching performance.

II.6. Candidates and Future Candidates serving in administrative positions or performing administrative duties, serving in positions of academic governance, or on leave (see also Policy 1328, section 305.201).

- a) Candidates who are away from campus during the academic year in which they must/may apply for action shall observe the same procedures and timelines as candidates in residence. Candidates may provide their RTP

requests by fax, and must provide fax numbers or addresses to be used for sending recommendations to candidates. It will be the candidate's responsibility to meet all deadlines.

- b) Individuals who accept positions outside of their departments while they are still eligible for RTP action must ensure that they understand department expectations during the time they are away. The department may articulate expectations for these exceptional situations in the Department RTP Criteria document. If these exceptions are not addressed in the department criteria, then the candidate and the DRTPC shall commit to writing an interpretation of the department criteria in light of the special circumstances. This memorandum of understanding shall be approved by the Dean, URTPC Chair, and Associate Vice President for Faculty Affairs.

Section III. Criteria for RTP Action

III.1. Elements of Performance and Evaluation

Teaching and advising are very important components. Teaching is considered effective when it results in measurable student learning. Candidates are not limited to a single pedagogy, but have the freedom to employ different teaching methods and style that they believe will lead to better learning. Thus, use of technology, application of service learning pedagogy, use of a diversity of teaching strategies, introduction of international perspectives, etc. is valued to the extent that they produce student learning outcomes. Advising is essential to student success as well. The criteria in the following sections articulate expectations in terms of teaching and advising and how they will be evaluated.

Research, scholarly and professional development activities include the scholarship of teaching, applied and/or basic research. The criteria in the following sections articulate expectations in terms of quality and quantity of scholarly activities – that is, provide the candidate insight into the types of activities expected and how these activities will be assessed for quality and significance. The department criteria will also describe types of peer review and the department's view of the various types.

Service to the department, college, and university is an expectation of each faculty member. The department RTP criteria in the next section will articulate ways in which each faculty member can contribute to the governance and collective endeavors of the university and community, and how activities will be assessed for quality and significance.

III.2 Criteria for Reappointment

A probationary faculty member must apply for reappointment during an RTP cycle if the previous reappointment letter (or initial appointment letter) specifies that the term of (re)appointment expires at the end of the current academic year. The only

exception is the case of a probationary faculty member in the sixth probationary year, who must apply for tenure. Recommendations for reappointment are based solely on contributions made during the time period since the previous evaluation for reappointment. All claims to accomplishments must be able to be documented. To be recommended for reappointment to a given rank, the individual must satisfy each of these criteria, guided by the plans and goals in the PDP, and addressing them appropriately:

- A. Provide evidence of effective student advising and mentoring.
- B. Provide evidence of good teaching effectiveness, based on peer evaluation, student surveys, and graduate evaluations (see Section III for appropriate procedures).
- C. Demonstrate firm evidence of continued scholarship and professional development in Industrial or Manufacturing Engineering (see the Appendix for examples).
- D. Develop or continue with ongoing research and scholarly activities and make contributions to the development and dissemination of new knowledge, with evidence of success in the research community through a peer review process. (see the Appendix for examples).
- E. Exhibit good performance in activities that provide service to the department, college, university, and off-campus community, as evidenced by memoranda, committee reports and other tangible items. Examples of service contributions are provided in the Appendix.
- F. A favorable written evaluation from the majority of the DRTPC. This evaluation will be based upon documented evidence related to criteria A through E as provided by the candidate and acceptable improvement in all areas needing improvement noted in previous RTP actions. Favorable reappointment evaluations are, by definition evidence of satisfactory progress toward satisfying criteria for tenure.

III.3. Criteria for Tenure

A request for tenure is obligatory when a probationary faculty member has begun the last of the probationary period. Recommendations for tenure are based on contributions made during the time period since the candidate's initial probationary appointment in the department. All claims to accomplishments must be able to be documented. To be recommended for tenure, the individual must satisfy each of the following criteria, guided by the plans and goals in the PDP, and addressing them appropriately:

- A. Provide evidence of consistent effective student advising and mentoring.
- B. Provide evidence of very good teaching effectiveness, as well as promise and evidence of continued growth and fulfillment of program needs after

awarding of tenure. This assessment will be based on peer evaluation, student surveys, and graduate evaluations (see Section III for appropriate procedures). Elements of very good teaching effectiveness include contribution to the development of new courses and labs, and improvement of existing courses and labs. Other examples are provided in the Appendix.

- C. Demonstrate firm evidence of continued scholarship and professional development activities in Industrial or Manufacturing Engineering (see the Appendix for examples).
- D. Develop or continue with ongoing research and scholarly activities and make contributions to the development and dissemination of new knowledge, with evidence of success in the research community through a peer review process, as well as promise and evidence of continued growth in research and scholarly activities (see the Appendix for examples).
- E. Exhibit very good performance in activities that provide service to the department, college, university, and off-campus community. Examples of service contributions are provided in the Appendix.
- F. A favorable written evaluation from the majority of the DRTPC. This evaluation will be based upon documented evidence related to criteria A through E as provided by the candidate and acceptable improvement in all areas needing improvement noted in previous RTP actions.

III.4. Criteria for Early Tenure

A request for early tenure is never obligatory. Policy 1328, Section 305.206, of the University Manual requires that a recipient of early tenure must have completed two years of full time service at Cal Poly Pomona before the effective date of early tenure. Thus, a faculty member's application for early tenure can occur no earlier than the second year on campus.

Early tenure may be recommended prior to the end of the normally required six-year probationary period in very exceptional cases. To be recommended for early tenure, the individual must satisfy each of the following criteria, guided by the plans and goals in the PDP, and addressing them appropriately:

- A. Provide evidence of consistent exceptional academic advising.
- B. Provide evidence of exceptional teaching performance as well as promise and evidence of continued growth and fulfillment of program needs after awarding of tenure, as demonstrated by consistent high student ratings; awards by the University, College or Department for outstanding teaching and student advising and very positive peer review. Provide evidence of exceptional teaching effectiveness, based on peer evaluation and student and graduate surveys (see Section III for appropriate procedures). Elements of exceptional teaching effectiveness include contribution to the development of new courses and labs, and/or improvement of existing courses and labs. Other examples are provided in the Appendix.

- C. Demonstrate firm evidence of exceptional accomplishments in scholarship and professional development activities as evidenced by recognition in the form of award or other special action by professional organization in recognition of peer-reviewed research and/or scholarly activity.
- D. Develop or continue with ongoing research and scholarly activities and make exceptional contributions to the development and dissemination of new knowledge, with evidence of success in the research community through a peer review process as well as promise and evidence of continued growth in research and scholarly activities. (see the Appendix for examples).
- E. Exhibit exceptional service to University, College or Department as evidenced by being chair of active committees, taking a lead role in advancement activities, or special recognition for outstanding service by either the Department, College or University.
- F. The IME candidate must have demonstrated exceptional ability to teach a variety of IME courses.
- G. Show exceptional interest and effectiveness in assisting professional student organizations as evidenced by either national recognition of the student chapter or student participation in the organizations professional activities.
- H. A favorable written evaluation from majority of the DRTPC. This evaluation will be based upon documented evidence related to criteria A through G as provided by the candidate and acceptable improvement in all areas needing improvement noted in previous RTP actions.

III.5. Criteria for Promotion to Associate Professor

A request for regular promotion to Associate Professor is never obligatory. The request for promotion to Associate Professor will be considered only if the candidate has served four years in the rank of Assistant Professor. The candidate may apply at the beginning of the fifth year.

Recommendations for promotion to Associate Professor are based solely on contributions made during the time period since the candidate's initial appointment as Assistant Professor. Promotion to Associate Professor depends on the fulfillment of any pertinent conditions stated in the letter of initial appointment as well as the criteria stated below. All claims to accomplishments must be able to be documented. To be eligible for promotion to Associate Professor the individual must satisfy each of the following criteria, guided by the plans and goals in the PDP, and addressing them appropriately:

- A. Provide evidence of effective and consistent student advising and mentoring.

- B. Provide evidence of very good teaching effectiveness, based on peer evaluation, student surveys, and graduate evaluations (see Section III for appropriate procedures). Elements of good teaching effectiveness include contribution to the development of new courses and labs, and/or improvement of existing courses and labs. Other examples are provided in the Appendix.
- C. Demonstrate firm evidence of continued scholarship and professional development activities in Industrial and/or Manufacturing Engineering (see the Appendix for examples).
- D. Develop or continue with ongoing research and scholarly activities and make contributions to the development and dissemination of new knowledge, with evidence of success in the research community through a peer review process. (see the Appendix for examples).
- E. Exhibit very good performance in activities that provide service to the department, college, university, and off-campus community, as evidenced by memoranda, committee reports and other tangible items. Examples of service contributions are provided in the Appendix.
- F. A favorable written evaluation from the majority of the DRTPC. This evaluation will be based upon documented evidence related to criteria A through E as provided by the candidate and acceptable improvement in all areas needing improvement noted in previous RTP actions. Favorable reappointment evaluations are, by definition evidence of satisfactory progress toward satisfying criteria for tenure.

III.6. Criteria for Early Promotion to Associate Professor

A request for early promotion to Associate Professor is never obligatory. Policy 1328, Section 305.206, of the University Manual requires that a recipient of early promotion must have completed two years of full time service at Cal Poly Pomona in the rank as an Assistant Professor before the effective date of early promotion. Thus, a faculty member's application for early promotion to Associate Professor can occur no earlier than the second year on campus.

To be eligible for early promotion to Associate Professor the individual must satisfy each of the following criteria, guided by the plans and goals in the PDP, and addressing them appropriately:

- A. Provide evidence of consistent and exceptional academic advising.
- B. Provide evidence of exceptional teaching performance as demonstrated by consistent high student ratings; awards by the University, College or Department for outstanding teaching and student advising and very positive peer review. Provide evidence of good teaching effectiveness, based on peer evaluation and student and graduate surveys (see Section III for appropriate procedures). Elements of good teaching effectiveness include contribution to the development of new courses and labs, and/or

improvement of existing courses and labs. Other examples are provided in the Appendix.

- C. Demonstrate firm evidence of exceptional accomplishments in scholarship and professional development activities as evidenced by recognition in the form of award or other special action by professional organization in recognition of peer-reviewed research and/or scholarly activity.
- D. Develop or continue with ongoing research and scholarly activities and make exceptional contributions to the development and dissemination of new knowledge, with evidence of success in the research community through a peer review process. (see the Appendix for examples).
- E. Exhibit exceptional service to University, College or Department as evidenced by being chair of active committees, taking a lead role in advancement activities, or special recognition for outstanding service by either the Department, College or University.
- F. The IME candidate must have demonstrated exceptional ability to teach a variety of IME courses.
- G. Show exceptional interest and effectiveness in assisting professional student organizations as evidenced by either national recognition of the student chapter or student participation in the organizations professional activities.
- H. A favorable written evaluation from majority of the DRTPC. This evaluation will be based upon documented evidence related to criteria A through G as provided by the candidate and acceptable improvement in all areas needing improvement noted in previous RTP actions.

III.7. Criteria for Promotion to Professor

A request for promotion to Professor is never obligatory. The request for promotion to Professor will be considered only if the candidate has served four years in rank of Associate Professor. The candidate may apply at the beginning of the fifth year. Furthermore, promotion to Professor is only possible if the faculty member is tenured or is granted tenure at the time of promotion.

Recommendations for promotion to Professor are based solely on the contributions made during the time period since the candidate's last promotion or since the initial appointment, whichever is more recent. Promotion to Professor depends on the fulfillment of any pertinent conditions stated in the letter of initial appointment. All claims to accomplishments must be able to be documented. To be eligible for promotion to Professor the individual must satisfy each of the following criteria, guided by the plans and goals in the PDP, and addressing them appropriately:

- A. Provide evidence of consistent and effective student advising and mentoring.
- B. Provide evidence of excellent teaching effectiveness, based on peer evaluation and student and graduate surveys (see Section III for appropriate procedures). Elements of excellent teaching effectiveness include contribution to the development of new courses and labs, and improvement of existing courses and labs. Other examples are provided in the Appendix.
- C. Demonstrate firm evidence of continued scholarship and professional development activities in Industrial and/or Manufacturing Engineering (see the Appendix for examples).
- D. Develop or continue with ongoing research and scholarly activities and make contributions to the development and dissemination of new knowledge, with evidence of success in the research community through a peer review process. (see the Appendix for examples).
- E. Exhibit strong and meaningful contributions to the university and the department. Special attention will be given to course and laboratory development. Effective interaction with industry to the benefit of the department is also necessary. The candidate must show evidence of significant leadership roles at all levels within the University as well as in the larger professional community. In addition, the evidence presented by the candidate should clearly indicate that the candidate will continue efforts in the area of service.
- F. A favorable written evaluation from the majority of the DRTPC. This evaluation will be based upon documented evidence related to criteria A through E as provided by the candidate and acceptable improvement in all areas needing improvement noted in previous RTP actions.

III.8. Criteria for Early Promotion to Professor

A request for early promotion to Professor is never obligatory. Policy 1328, Section 305.206, of the University Manual requires that a recipient of early promotion must have completed two years of full time service at Cal Poly Pomona before the effective date of early promotion. Thus, a faculty member's application for early promotion to Professor can occur no earlier than the second year on campus. Furthermore, early promotion to Professor is only possible if the faculty member is tenured or is granted tenure at the time of promotion.

To be eligible for early promotion to Professor the individual must satisfy each of the following criteria, guided by the plans and goals in the PDP, and addressing them appropriately:

- A. Provide evidence of exceptional academic advising.

- B. Provide evidence of exceptional teaching performance as demonstrated by consistent high student ratings; awards by the University, College or Department for outstanding teaching and student advising and very positive peer review. Provide evidence of good teaching effectiveness, based on peer evaluation and student and graduate surveys (see Section III for appropriate procedures). Elements of good teaching effectiveness include contribution to the development of new courses and labs, and/or improvement of existing courses and labs. Other examples are provided in the Appendix. Demonstrate a leadership role in the maintenance and further development of at least two courses offered by the Department. One of these courses must be a core course.
- C. Show firm evidence of exceptional accomplishments in scholarship and professional development activities as evidenced by recognition in the form of award or other special action by professional organization in recognition of peer-reviewed research and/or scholarly activity.
- D. Develop or continue with ongoing research and scholarly activities and make exceptional contributions to the development and dissemination of new knowledge, with evidence of success in the research community through a peer review process. (see the Appendix for examples).
- E. Exhibit exceptional service to University, College or Department as evidenced by being chair of active committees, taking leading roles in advancement activities, or special recognition for outstanding service by the Department, College or the University.
- F. Exhibit exceptional University-Industry Relations, e.g., makes use of industrial contacts for field trips, senior project topics, seminars, gifts and/or grants.
- G. The IME candidate must have demonstrated exceptional ability to teach a variety of IME courses.
- H. Show exceptional interest and effectiveness in assisting professional student organizations as evidenced by either national recognition of the student chapter or student participation in the organizations professional activities.
- I. A favorable written evaluation from majority of the DRTPC. This evaluation will be based upon documented evidence related to criteria A through H as provided by the candidate and acceptable improvement in all areas needing improvement noted in previous RTP actions.

III.9. Evaluation of Faculty Serving on Temporary Assignment

Tenured and tenure-track faculty members planning to serve on temporary assignment (e.g., administrative positions, positions of academic governance,

interim IME department chair, on leave, or visiting professor/scholar) will, in consultation with the DRTP Committee, develop suitable criteria applicable to the temporary assignment. These criteria, which will be used for evaluation during the period of temporary assignment, must be submitted in writing and approved by the DRTP Committee and the Dean prior to initiation of the temporary assignment. **If such criteria are not developed, the criteria provided below will be used.**

Faculty Serving an Administrative Assignment:

- A. For promotion or tenure, faculty serving an administrative assignment at the time of an evaluation shall have taught Department courses equivalent of 36 WTU's since the last promotion. At least 4 WTU's shall be within two years of the candidate's request. Student evaluations, per Department policy, must be included in the RTP package.
- B. For reappointment, the candidate serving an administrative assignment shall have taught the equivalent of 12 WTU's for the previous academic year. All 12 WTU's must be for courses given by the Department. Student evaluations, per Department policy, must be included in the RTP package.
- C. For reappointment, tenure or promotion, faculty serving an administrative assignment shall provide evidence of research and scholarly activity.
- D. Faculty serving on administrative assignment shall have their service component satisfied by working on their administrative duties.

Faculty Serving in Academic Governance:

- A. For promotion or tenure, faculty serving in Academic Governance on release time equivalent to a half time (or greater) appointment shall have taught Department courses equivalent of 36 WTU's since the last promotion. At least 4 WTU's shall be within two years of the candidate's request. Student evaluations, per Department policy, must be included in the RTP package.
- B. For reappointment, the candidate serving in academic governance with release time equivalent to a half time (or greater) appointment shall have taught the equivalent of 12 WTU's for the previous academic year. All 12 WTU's must be for courses given by the Department. Student evaluations, per Department policy, must be included in the RTP package.
- C. For reappointment, tenure or promotion, faculty serving on administrative assignment shall provide evidence of research and scholarly activities.
- D. Faculty serving in academic governance shall have their service component satisfied by working on their academic governance duties.

Faculty on Approved Leave

- A. Faculty who are on leave that has been approved by the President of the University are on approved leave status. Normally, this is with pay from this University and thus, for tenure track candidates, the probationary status is still active and next several criteria apply. If the approved leave is without pay from the University then the probationary status of the tenure track candidate is inactive (i.e., “the clock has stopped”) and the next several criteria do not apply.
- B. For promotion or tenure, faculty on approved leave at another institution shall have taught, at this University, Department courses equivalent of 36 WTU’s since the last promotion. At least 4 WTU’s shall be within two years of the candidate’s request. Student evaluations, per Department policy, must be included in the RTP package. Teaching at another institution does not relieve the candidate of the teaching requirement at this University.
- C. For reappointment, the candidate on approved leave at another institution shall have taught the equivalent of 12 WTU’s for the previous academic year. All 12 WTU’s must be for courses given by the Department at this University. Student evaluations, per Department policy, must be included in the RTP package. Teaching at another institution does not relieve the candidate of the teaching requirement at this University.
- D. For reappointment, tenure or promotion, faculty on approved leave at another institution shall provide evidence of scholarly or creative activity. Research and scholarly activity done at another institution, whether done alone or in collaboration with others, can be examined by the committee for the purposes of fulfilling the Department’s criteria in the area of scholarly or creative activity
- E. Faculty on approved leave shall furnish evidence in their RTP package that they have fulfilled the service requirement specified in the Departmental criteria for the requested RTP action.

APPENDIX

EXAMPLES OF APPROPRIATE CONTRIBUTIONS

A. Contributions in the area of teaching and advising/mentoring might include:

1. The candidate demonstrates excellence in teaching as evidenced by student and peer evaluations.
2. The candidate has demonstrated a clear knowledge of subject matter in the candidate's area of specialty.
3. The candidate has always been well prepared and organized for class.
4. The candidate has worked to ensure that all material presented in class is appropriate to the course.
5. The candidate has demonstrated that all course objectives and schedules are met.
6. The candidate has effectively used various teaching methods and aids.
7. The candidate has attempted to incorporate appropriate technology that is fully supported and funded by both the College and University.
8. The candidate has demonstrated a knowledge of and use of various methods for evaluating student achievement.
9. The candidate has participated in student advising. This includes meeting with students, keeping up to date on academic policies, and attending student advising workshops.
10. The candidate has been a mentor to students as demonstrated by active participation in student activities, professional student organizations, and advising individual student projects.
11. The candidate has been involved in improving lecture, laboratory or studio course materials.
12. The candidate has actively participated in curriculum development involving the creation of new courses or substantial revision of existing courses.
13. The candidate has prepared and taught courses which were new to the candidate.
14. The candidate has directed students in senior projects or graduate theses.
15. If the candidate has lectured at another institution, what is the nature of the presentation and how was it evaluated? Is this presentation an enhancement of the teaching assignment at Cal Poly Pomona or is it equivalent?

B. Contributions in the area of scholarship and professional development activities might include:

1. The candidate has made a significant development of new course material, either lecture or laboratory.
2. The candidate has incorporated a significant portion of course development into his/her research and has published or presented the results in an appropriate peer forum.
3. The candidate has developed curriculum for new courses or has substantially revised existing courses.
4. The candidate has attended workshops and seminars directly related to his/her area of specialty.
5. The candidate has completed additional course work appropriate to his/her area of specialty.
6. The candidate works as a consultant in his/her specialty area, supported by publications or their written evaluations.
7. The candidate is an active member of a professional organization as demonstrated by service on committees, chair of a paper session, or service as an officer.
8. The candidate has presented seminars at this University, at other institutions or professional organizations.
9. The candidate has worked in a professional capacity during the summer break.
10. The candidate has become registered as a Professional Engineer.
11. The candidate serves as a reviewer or abstractor for papers and manuscripts in recognized peer reviewed journals or publications.
12. The candidate has participated in or has completed an appropriate scholarly activity for which the candidate supplies evidence.

C. Contributions in the area of research and scholarly activities might include:

1. The candidate has published in peer reviewed journals or conference proceedings appropriate to his/her specialty area.
2. The candidate has authored an entire textbook or a chapter in a book appropriate to his/her specialty.
3. The candidate has contributed to, or edited a book or conference proceedings appropriate to his/her specialty.
4. The candidate has developed software/hardware systems that are peer-reviewed.
5. The candidate has been successful in obtaining funding for research.

6. The candidate has received patents; research awards, recognitions and honors by professional societies, government agencies, and industry.

D. Contributions in the area of service might include:

1. The candidate has actively participated on a standing committee in the Department, College or University.
2. The candidate has served on the Academic Senate.
3. The candidate has an administrative assignment at this University.
4. The candidate has been an advisor to an ASI recognized student organization.
5. The candidate has actively participated in the recruitment of new faculty.
6. The candidate has actively participated in the recruitment of new students for the Department.
7. The candidate is a course coordinator for a multi-sectioned course.
8. The candidate has made presentations to schools, civic groups, etc.
9. The candidate is an active member of a Department, College or University ad hoc committee with major assignments to accomplish.
10. The candidate participates in Departmental, College or University advancement activities.
11. The candidate actively participates in interactions with industry.