

APPENDIX 16

REAPPOINTMENT, TENURE, AND PROMOTION POLICY AND PROCEDURES

Appendix 16 is intended to be a guide for the conduct of all RTP matters. Every effort has been made to ensure compliance with the current Unit 3 (Faculty) Collective Bargaining Agreement (CBA). However, Appendix 16 should not be considered as a substitute for those parts of the Agreement that affect RTP matters. Direct references to the 2002-2004 CBA in this appendix are cited parenthetically by Agreement section (e.g., CBA 15.7). The term COLLEGE in this document means college, library, school, or Counseling and Psychological Services (CAPS).

Section 305 of the University Manual provides official university policy on performance evaluations. Appendix 10 of the University Manual provides official university policy on student evaluation of teaching and each department has a Department RTP Document that defines criteria and expectations for RTP actions. All official policy documents should be consistent with one another. In any case of inconsistency the CBA takes first precedence, the University Manual second precedence, and the approved Department RTP Document third precedence. The Rose Garden Memorandum is an unofficial guide to all RTP-related policies and procedures. The Rose Garden Memorandum should not be cited as policy; the original sources should be cited.

305.100 **GENERAL PRINCIPLES**

305.101 The President (or designee) of the university makes final decisions in matters of reappointment, tenure, and promotion. Because the faculty's judgment is central to matters of educational policy, the President normally accepts faculty recommendations in these matters, except in rare instances and for compelling reasons. When the President notifies RTP candidates of final decisions, he/she does so in writing and provides specific reasons for approval or denial of the candidate's request. These reasons shall be based solely on approved department RTP criteria. In order to provide the best advice on this matter to the President, the faculty will proceed with the instruments and by the steps outlined below.

305.102 Reappointment, tenure, and promotion policy is one of the most delicate matters in a university community. A system must be provided within the restrictions of the imposed legal framework that will assure that excellence will be rewarded and that every competent and responsible faculty member will have some reasonable hope of advancement. The correct conduct of RTP procedures provides the assurance that every RTP candidate will be fairly evaluated and that the integrity of the evaluation process is maintained to the highest degree. The following procedures are designed to achieve these goals by allowing the faculty the greatest possible participation in the process of recommendation for reappointment, tenure, and promotion. **THE PRIMARY RESPONSIBILITY FOR THE ACHIEVEMENT OF THESE GOALS LIES WITH THE FACULTY.**

305.103 The provisions of this appendix apply only to probationary and tenured faculty unit employees as defined by the CBA (2.13) and to academic rank administrators holding teaching return rights who would otherwise be eligible for tenure or promotion.

305.104 Prior to the beginning of the review process, the faculty member subject to review ("the candidate") shall be responsible for the identification of supplementary materials he/she wishes to be considered for review, such as a teaching portfolio and publications. An index of all supplementary materials shall be provided by the candidate in his/her RTP package. All such material shall be made available to evaluators upon request. Letters received by the Department RTP Committee ("DRTPC") from students, faculty, and administrators in response to the publicizing of the upcoming RTP action shall also be included, as well as the candidate's responses to such letters.

Evaluating committees and administrators shall be responsible for identifying and providing materials relating to evaluation that are not provided by the candidate. Any such materials shall be placed in the RTP package. The RTP package is the working PAF for the purposes of RTP evaluation and consists of the Faculty Performance Review Form and accompanying material. However, evaluating committees and administrators should consult the full PAF for additional relevant materials.

305.105 A specific deadline shall be established by campus policy at which time the RTP package is declared complete with respect to documentation of performance for the purpose of evaluation. Insertion or deletion of material other than responses and/or rebuttals to official evaluations after the date of this declaration must have the approval of the University RTP Committee ("URTPC") and shall be limited to items that became accessible after this declaration. Material inserted in this fashion shall be returned to the initial evaluation committee for review, evaluation, and comment before consideration at subsequent

levels of review. If, during the review process, the absence of required evaluation documents is discovered, the RTP package shall be returned to the level at which the requisite documentation should have been provided. Such materials shall be provided in a timely manner.

- 305.106 The candidate shall sign and date each page of the RTP package. (This includes all completed pages of the Faculty Performance Review Form and all accompanying material.) The candidate will sign pages of the Faculty Performance Review Form as they are completed by the candidate or evaluating bodies. The purpose of this provision is to ensure that the candidate is completely aware of the content of the RTP package at all times.
- 305.107 All student evaluations for the period of review shall be included in the RTP package according to the current Unit 3 Collective Bargaining Agreement (Section 15.16), and following procedures determined by departments, and in accordance with Appendix 10.
- 305.108 All peer evaluations for the period of review shall be included in the RTP evaluations according to the guidelines in Section 305.303 below.
- 305.109 Deliberations on reappointment, tenure, and promotion shall be confidential. Access to materials and recommendations pertaining to the candidate shall be limited to the RTP candidate, DRTPC and URTPC members, the department chair in the case where the chair makes a separate evaluation, appropriate administrators, and the President. In the event where the College RTP Committee ("CRTPC"), has been called to deliberate on an action these materials and recommendations shall also be made available to the said committees.

If omissions of documentation, information or recommendations in the materials submitted for review are discovered after the department level of review, the materials may be returned to the department and the candidate for amplification or additions. Such amplification shall be provided in a timely manner. (CBA 15.12b)

- 305.110 At all levels of review before recommendations are forwarded to the next review level, the candidate shall be given a copy of the recommendation, which shall state in writing the reasons for the recommendation. The candidate shall have the right to respond or submit a rebuttal statement or response in writing no later than ten (10) calendar days following receipt of the recommendation. A copy of the response or rebuttal statement shall accompany the RTP package and also be sent to any previous levels of review. The candidate may request an opportunity to discuss the recommendation with the recommending group or individual, who shall honor such a request (see also 305.800). Such requests shall not require that RTP timelines, as specified in the current Appendix 16A, be extended. (CBA 15.5)

Each RTP committee evaluation report and recommendation shall be approved by a simple majority of that committee. (CBA 15.39)

- 305.111 In the case of a difference of opinion concerning the interpretation of this document, the Executive Committee of the Academic Senate shall recommend an interpretation to the Vice President for Academic Affairs. Such recommendations shall relate to policy of a general nature and not to individual cases, which should be taken through the appeal procedure.

In each case the question, the interpretation, and subsequent response of the Vice President for Academic Affairs shall be written, distributed to all concerned, and kept on file in the Academic Senate and Academic Affairs offices.

- 305.112 Appendix 27, as revised annually, shall be the official Faculty Performance Review Form (i.e., "RTP package" or Working Personnel Action File).

- 305.113 If any stage of the RTP process has not been completed within the specified period of time, the candidate's RTP package shall be automatically transferred to the next level of review for evaluations and recommendation. In such cases, the candidate shall be so notified. (CBA 15.41)

In the unusual circumstance where an extension of a deadline is required due to circumstances beyond the individual's control (the individual may be the candidate, DRTPC chair, department chair, CRTPC chair, dean or URTPC chair) the individual shall appeal to the URTPC for an extension of the deadline. Following consultation with the Associate Vice President for Faculty Affairs, the URTPC chair shall respond to all parties. When the URTPC chair approves an extension, all parties shall be informed of the new deadline(s). Such an extension shall not result in the abrogation of the RTP candidate's rights as described in 305.110.

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

305.115 Eligibility for RTP Activities

- A. The Collective Bargaining Agreement (15.2) restricts membership on RTP committees to tenured, full-time faculty members and, if requested by the majority vote of probationary and tenured faculty members of the department and approved by the President, faculty participating in the Faculty Early Retirement Program (FERP). The RTP committees shall not be solely comprised of faculty participating in the FERP. The CBA permits (15.2) consideration of information from other faculty, students, and academic administrators. In addition to service on RTP committees there are a number of activities (electing RTP committees, adopting criteria, etc.) in which a wide participation of faculty is desirable.
1. Those eligible for RTP committee membership shall be full-time tenured faculty and, if requested by the department and approved by the President, faculty participating in FERP. This group is hereinafter called the "full-time tenured faculty and FERP faculty."
 2. For participation in all other RTP activities those eligible shall be probationary and tenured faculty unit employees. This group is hereinafter called "the probationary and tenured faculty."
 3. Under certain conditions, department chairs may make separate evaluations/recommendations. (See Section 305.301)
- B. Eligibility Constraints
1. No tenured faculty member may serve on more than one RTP committee level during any given RTP cycle. (CBA 15.36)
 2. In promotion considerations, RTP committee members and the department chair must have a higher rank/classification than those being considered for promotion. Candidates being considered for promotion are ineligible for service on RTP committees dealing with tenure or promotion. (CBA 15.37)
 3. Faculty on Professional Leave-with-Pay (sabbatical and difference-in-pay) may participate in RTP activities subject to other provisions in this Appendix and to the stipulations in the acceptance of Paid Professional Leave form.
 4. Individuals who know in advance that they will, during one quarter or more, be unavailable or ineligible should not be nominees for CRTPCs or the URTPC.

305.116 The President shall announce to the faculty by the first Monday in February whether in his/her judgment, there will be sufficient funds to promote all candidates who have applied for promotion. If there may be insufficient funds to promote all candidates who have applied, the CRTPCs, augmented by the dean as chair and voting member, shall recommend an order of promotion for candidates from that college. (See also Section 305.704)

305.200 DEPARTMENT RTP CRITERIA AND PROCEDURES

305.201 Department RTP criteria must be consistent with university-wide RTP criteria (see section 305.1 of the University Manual); specifically, they must recognize the primary importance of teaching and the maintenance of appropriate academic standards, must address accomplishments in the area of scholarly and creative activity, and must address accomplishments in the area of service to the university, the profession, and the community.

Department criteria also shall address the following circumstances: consideration of performance in the area of student advising/mentoring, peer evaluation of teaching performance, provision for the evaluation of faculty serving in administrative positions or performing administrative duties, provision for evaluation of faculty serving in positions of academic governance, and consideration of the activities of faculty temporarily on leave from teaching duties (such as sabbatical leave, fellowships, overseas teaching and administrative assignment for the university, and visiting professor/scholar at another institution).

Department evaluation of teaching performance will include a review of student evaluations and peer evaluations. This evaluation will also include comparison of the candidate's student evaluations with his/her peer evaluations.

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

not yet tenured, the DRTPC will evaluate the progress the candidate is making in satisfying the department's RTP criteria for tenure. Department procedures must clearly identify the composition of the DRTPC.

Adoption of the Department RTP Document, describing the criteria and procedures, shall be accomplished by a majority vote of the probationary and tenured faculty in that department. The department chair shall ensure that each faculty member has a copy of the approved Department RTP Document. RTP evaluations at all levels, including deans and other administrative levels, shall apply the approved department RTP criteria.

- A. Modifications of the Department RTP Document shall be submitted simultaneously to the CRTPC and to the dean no later than April 1, preceding the academic year that the criteria will be in effect, for review, comment, and forwarding, with recommendations, to the President via the Vice President for Academic Affairs. The CRTPC and the dean each will forward the document to the Vice President for Academic Affairs within sixty days (June 1), the CRTPC forwarding its comments via the dean. At each step of the process an effort should be made to resolve conflicts before forwarding. Should a conflict remain unresolved, the document shall be submitted to the URTPC before forwarding to the President. The URTPC shall review the document and forward its recommendations to the President via the Vice President for Academic Affairs. The President shall provide a written statement of approval or disapproval with reasons within sixty days after receipt (August 1). Approved documents may be in effect for up to five years. The Department RTP Document will clearly state in a prominent way the academic years in which it is to be in effect.
- B. The review of department RTP criteria by the CRTPC and the dean may include a consideration of whether the proposed criteria are in the best interests of the department and of the college. No recommendation for changes in department RTP criteria by either the CRTPC or dean shall negate department RTP criteria that have been previously approved.
- C. The Department RTP Document will be reviewed at least once every five years by the department. The document may be reviewed more frequently on the request of the department or dean. If revisions are deemed necessary, they will be presented to the department for ratification no later than March 1. Revisions to the Department RTP Document shall go through the same process as in Section A, above, for review and approval.
- D. The department chair shall make available to all RTP candidates and the DRTPC the Department RTP Document that the candidate is eligible to use. (Note that copies of these documents are available in the Faculty Affairs Office.) Once the evaluation process has begun, there shall be no changes in criteria and procedures used to evaluate the candidate during the evaluation process. (CBA 15.3)

305.202 No department or college of the university can require a candidate to secure an additional degree to qualify for promotion to any rank when it is shown to the satisfaction of the URTPC and the Vice President for Academic Affairs that the candidate holds the terminal degree in the discipline in which that candidate regularly teaches at the university.

305.203 The university may stipulate in original employment letters a requirement that faculty members so appointed must obtain a terminal degree in their discipline, a license, or certification, before tenure and/or promotion will be granted. Such requirements may be made in addition to department RTP criteria.

305.204 Recommendations for promotion to associate professor and to professor may be made on a contingency basis provided that the contingency does not conflict with department RTP criteria and that the contingency is met prior to the individual's anniversary date. If the contingency is not met, promotion eligibility will be deferred to the next evaluation cycle.

305.205 A probationary faculty unit employee shall not normally be promoted during probation. However, a faculty unit employee in the rank of instructor or librarian equivalent may be considered for promotion after completing one (1) year of service in rank. Probationary faculty unit employees shall not be promoted beyond the rank of Associate. A probationary faculty unit employee shall normally be considered for promotion at the same time he/she is considered for tenure. (CBA 14.2)

The promotion of a tenured faculty unit employee shall normally be effective the beginning of the sixth (6th) year after appointment to his/her current academic rank/classification. In such cases, the performance review for promotion shall take place during the year preceding the effective date of the promotion. This provision shall not apply if the faculty unit employee requests in writing that he/she not be considered. (CBA 14.3)

305.206 In some circumstances a candidate may, upon application and with a positive recommendation from his/her department or equivalent unit, be considered for early promotion and/or early tenure. Such requests must be initiated by the candidate in accordance with and follow the regular RTP procedures.

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

Criteria for early actions shall place emphasis on teaching and shall require exceptional performance or extraordinary qualifications with regard to scholarly and creative activities, and service to the university and profession. DRTPC recommendations shall include material relating specifically to the approved department RTP criteria.

305.300 DEPARTMENT RTP COMMITTEE

305.301 Committee Structure and Function

- A. The department RTP committee (DRTPC) shall consist of full-time, tenured faculty members elected by probationary and tenured faculty. (See Section 305.114) The minimum size for a DRTPC shall be: three (3) for departments with seven (7) or fewer full-time faculty eligible to serve, five (5) for departments with eight (8) to seventeen (17) full-time faculty eligible to serve, seven (7) for departments with eighteen (18) or more full-time faculty eligible to serve. A DRTPC may be larger than these minima at the discretion of the faculty, as provided in Section 305.301, below.
- B. The DRTPC chair shall be a full-time tenured faculty.
- C. The structure, size, and procedures of the DRTPC shall be determined by the probationary and tenured faculty in the department within limits stipulated in this document.
- D. Annual elections by secret ballot must be conducted before the end of the winter quarter of the school year preceding the given RTP cycle, and election shall be by a majority vote of the probationary and tenured faculty members of the department. The DRTPC's term of service shall not end until all matters pertaining to the DRTPC's recommendations have been concluded.
- E. The structure shall include whether the department chair will be a member of the DRTPC or write a separate statement. Non-tenured department chairs, or chairs who are candidates for an RTP action, are not eligible to be members of the DRTPC or to write separate recommendations.
- F. The department chair shall notify the dean of the composition of the DRTPC, including election results, immediately after its election.
- G. In promotion considerations, RTP committee members must have a higher rank/classification than those being considered for promotion. In the event that the chair of the DRTPC does not have a higher rank/classification than one or more candidates being considered for promotion, those members of the DRTPC who do have a higher rank/classification shall choose an eligible member to handle the duties of the chair for these candidates.
- H. A department may use one or more subcommittees for dealing with different RTP actions.
- I. If too few faculty members are available to form a DRTPC for all or some aspects of a DRTPC's work, faculty members from outside the department shall be elected to supplement the DRTPC. Election of members outside the department members shall fully comply with all provisions under D above (CBA 15.35).
- J. In the case of inability to serve or procedural difficulties, the CRTPC shall recommend, after consultation with the DRTPC involved, a course of action to the Vice President for Academic Affairs.
- K. The DRTPC chair shall be responsible for ensuring that the provisions of the Department RTP Document, Appendix 16 and Appendix 10 of the University Manual, and Article 15 of the CBA are carried out within the prescribed deadlines established by the university for completion of review at the department level. The DRTPC chair may not delegate his/her responsibilities. In the event that the chair relinquishes the position of chair, the DRTPC must choose a new chair as soon as possible. The DRTPC chair will be the official custodian of the RTP package for the period between the submission of the package to the DRTPC by the candidate and the forwarding of the package to the dean's office. During this period, the DRTPC chair and only the DRTPC chair shall be responsible for additions to the package or any changes in the content of the package and notification of the appropriate committees and/or parties of any additions or changes.

305.302 Student Evaluation of Teaching

- A. Refer to Appendix 10 of the University Manual for an explanation of the role and procedures for the use of students' evaluation of teaching in the RTP process.
- B. RTP procedures provide that RTP committees should consider information from students. Guidelines for student involvement in faculty personnel actions are stated in Appendix 10.
 - 1. The probationary and tenured members of the department shall develop specific procedures and forms for the DRTPC to receive signed evaluative material, commentary, and substantiating documentation.
 - 2. The plan shall include methods for publicizing (on department bulletin boards and other relevant locations, newsletters, etc.) names of DRTPC members to whom material is to be submitted, submission procedures, and, during an RTP cycle, the names of candidates for retention, tenure, or promotion. If a DRTPC is divided into subcommittees, that information shall be available. A DRTPC calendar shall be established and published at an early date in each cycle.
 - 3. Information is to be submitted at any time during the academic year, with respect to RTP cycles. This implies the on-going existence of the DRTPC in some form.
 - 4. Solicitation of recommendations from students, if done in such a way, and at such a time, that students feel pressured or threatened, is considered unprofessional.

305.303 Peer Evaluation of Teaching

- A. Department RTP procedures shall provide for the evaluation of teaching performance by peers. Specific procedures and forms for peer evaluation of teaching shall be included in the Department RTP Document.
- B. Peer evaluation of teaching shall include classroom visits and a review of course syllabus and related material. Classroom visits shall be followed within two weeks by a written report. The report must be submitted to the faculty member and to the DRTPC chair. The candidate has the right to respond in writing to the peer evaluation within ten (10) calendar days of receiving the evaluation. It is the responsibility of the chair to forward the peer evaluation, and the candidate's response, to the dean/director for placement in the candidate's PAF.
- C. A minimum of one peer evaluation per quarter shall be conducted in at least two different quarters in each academic year. Peer evaluations shall reflect, to the degree possible, the breadth of courses taught.
- D. Only peer evaluations conducted either prior to or during the period of review may be used for that period's deliberations. Exceptions may be allowed if the candidate does not have the minimum number of evaluations.
- E. The DRTPC is responsible for ensuring that the minimum number of peer evaluations is conducted and the findings reported within two weeks of the class visit.
- F. A candidate may request additional peer evaluations beyond those initiated by the DRTPC. Such requests are to be directed to the DRTPC chair.

305.400 COLLEGE RTP COMMITTEE

305.401 The college RTP committee (CRTPC) shall consist of either three or five members with no more than one per department until all departments are represented and with a maximum of two per department, elected by secret ballot by the end of the third week in May. Those eligible to vote are probationary and tenured faculty members of the college. A majority of votes cast, by secret ballot, shall be required for election. Should a majority not be obtained among candidates from a department, a run-off election will be conducted between the two who have the largest number of votes. The results of the election shall be reported to the dean who shall arrange for the CRTPC to convene and elect its chair before the end of the spring quarter.

- A. When there is no CRTPC, all responsibilities as defined in this appendix will default to the University RTP Committee (URTPC).
- B. Faculty members who serve on CRTPCs must be tenured and have a higher rank/classification than those being considered for promotion. (CBA 15.37)

- C. The term of office for members of the CRTPC shall be two or three years. Terms shall be staggered for maximum continuity. The Academic Senate Elections and Procedures Committee will conduct the election. No CRTPC member may serve more than four consecutive years.
- D. A member of the DRTPC is ineligible to serve simultaneously on the CRTPC.
- E. Candidates being considered for promotion are ineligible for service on promotion or tenure RTP committees. (CBA 15.37)
- F. The dean of the college may meet with the CRTPC, at its invitation, or at the dean's request.
- G. The dean of the college shall not be a voting member of the CRTPC, except when the CRTPC must act to rank candidates for promotion due to the President's declaration that there may be insufficient funds to promote all candidates who have applied. (See Section 305.116)
- H. No CRTPC may delegate any of its functions.
- I. If there is an insufficient number of faculty available to serve on the CRTPC for all or some aspects of its work, the URTPC, after consultation with the DRTPC chairs and the dean, will recommend to the Vice President for Academic Affairs faculty members from related departments to supplement the CRTPC.
- J. In the case of procedural difficulties, the URTPC will recommend, after consultation with the department involved and the CRTPC, a course of action to the Vice President for Academic Affairs.
- K. If a CRTPC member is unable to serve for any reason, the URTPC shall name a replacement to serve until such time as the elected member returns or until the next regular election of CRTPC members.

305.402 The CRTPC shall monitor the operation of the RTP process in its college and ensure compliance with the spirit and intent of this document.

305.500 UNIVERSITY RTP COMMITTEE

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

- A. The URTPC shall assume the responsibilities the responsibilities of the CRTPC when it does not exist.
- B. Faculty who serve on the URTPC must be tenured and have the rank of professor, librarian, or counselor.
- C. The URTPC shall be elected before May 1 preceding the academic year in which it will serve. The Academic Senate Elections and Procedures Committee will conduct the election of the colleges' representatives to the URTPC. Those eligible to vote are the probationary and tenured faculty of the university. A majority of votes cast, by secret ballot, shall be required for election. Should a majority not be obtained among candidates from a college, a run-off election will be conducted between the two who received the largest number of votes. The results of the elections shall be reported to the Vice President for Academic Affairs, who shall arrange for the URTPC to convene and elect its chair before the end of the spring quarter. The Vice President for Academic Affairs will provide each URTPC member with a copy of section 305.707 of Appendix 16.
- D. Members shall serve terms of two or three years, and terms shall be staggered for maximum continuity. No member may serve more than four consecutive years.
- E. Members are ineligible to serve on department or CRTPCs.
- F. If a URTPC member is unable to serve for any reason, the Steering Committee of the Academic Senate shall recommend to the Vice President for Academic Affairs a replacement to serve until such time as the elected member can return or the next regular election of URTPC members.
- G. For the benefit of the candidate, the URTPC may invite the Vice President for Academic Affairs or other individuals deemed appropriate to meet and consult with the URTPC on the application of department RTP criteria. Questions regarding interpretation of procedures and policies shall also be referred to the Steering Committee of the Academic Senate for additional consultation and resolution.

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

305.502 The URTPC may select ad hoc committees from among its own members to gather information, formulate recommendations, and perform other actions it deems necessary.

305.600 LIBRARY, COLLINS SCHOOL, AND COUNSELING AND PSYCHOLOGICAL SERVICES DEPARTMENT

305.601 The RTP committees of these units shall perform all functions of the DRTPC. The committee shall be elected using the procedures of Section 305.301.

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

305.603 For RTP matters for counselors in the Counseling and Psychological Services (CAPS) department, the director of CAPS shall perform the duties of the dean.

305.700 RTP PROCEDURES

305.701 Criteria for reappointment decisions shall be the department RTP criteria that were in effect during the candidate's first academic year of probationary service on this campus.

305.702 Each candidate for tenure (including early tenure) may use either the department RTP criteria in effect during the candidate's first academic year of probationary service on this campus or the department RTP criteria in effect in the year the candidate requests action.

Each candidate for promotion (including early promotion) may use either the department RTP criteria in effect during the candidate's first academic year of probationary service on this campus or the department RTP criteria in effect in the year the candidate requests action.

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

305.703 The period covered by the self-evaluation ("period of review") should be the time period that has passed since the last application was made for the same or a similar action. Reappointment evaluations are normally based on the previous year's performance; promotion evaluations on the period since the previous application for promotion or since original appointment; tenure on the period since original appointment to the probationary position. The candidate may discuss achievements outside of the period of review, but only for the purpose of demonstrating consistency of performance. Thus, this discussion should be brief. The DRTPC will want to consider work done off-campus while the candidate was on professional leave of absence. The DRTPC has access to, and should consider, previous evaluations and other materials in the Personnel Action File.

305.704 When the Vice President for Academic Affairs has made available the list of faculty members considered eligible for RTP consideration, the chair of the DRTPC shall verify the list with the dean. Initiation of recommendations for reappointment, tenure, and promotion shall come from the department level. Requests for action should start with a person desiring reappointment, tenure, or promotion. The DRTPC chair shall ask all candidates for reappointment, tenure, and promotion to state their case in writing to the DRTPC, using the standard university Faculty Performance Review Form (Appendix 27).

A. Each faculty member eligible for an RTP action shall notify the DRTPC chair in writing of intent to request an RTP action(s) or that no action will be requested. This notification shall take place during the first week of the fall quarter. The notification will be non-binding.

B. The Associate Vice President for Faculty Affairs will notify all those eligible for regular RTP consideration no later than the first day of the fall quarter.

C. Each candidate for consideration shall submit to the DRTPC a summary of their professional accomplishments and a self-evaluation of performance using the standard Faculty Performance Review Form (Appendix 27). He/she will supplement it with other evidence to demonstrate that department RTP criteria have been met. In particular, candidates for reappointment must discuss their progress toward meeting department requirements for tenure. All candidates must discuss progress made on any recommendations for improvement given in the previous RTP cycle.

D. The DRTPC, after thorough deliberation, shall make its recommendations for or against retention, tenure, or promotion. The DRTPC members shall commit their reasons to writing on the appropriate page of the Faculty Performance Review Form covering both strengths and deficiencies, citing specific sections of the department RTP criteria and a summary of the evidence

on which the recommendation is based. The DRTPC must also include a discussion of progress made on any recommendations for improvement given in the previous RTP cycle.

- E. Before forwarding its recommendations, the DRTPC shall notify each candidate of its recommendation in his/her case. Such notification shall consist of a copy of the DRTPC's written statements that the candidate shall be asked to sign. If the candidate is off campus, notification must be made by registered mail, return receipt requested. If the candidate refuses to sign, the DRTPC chair shall document the fact that the candidate was apprised of the DRTPC's evaluation and recommendation and refused to sign. When the candidate is notified, he/she shall indicate his/her reaction to the DRTPC's evaluation and recommendations by checking the appropriate box, and by signing on the appropriate page of the Faculty Performance Review Form.

If the candidate elects to respond without appealing, he/she has ten (10) calendar days from the date of notification by the DRTPC to submit a response or rebuttal statement to be included in his/her RTP package. If the candidate elects to request reconsideration, he/she has ten (10) calendar days from the date of notification to file the request with the DRTPC. The request for reconsideration shall specify the reason(s) why reconsideration is desired and may include additional written evidence in support of his/her qualifications and/or a request to meet with the DRTPC. Formal grounds are not required to request reconsideration. The DRTPC may not refuse a request for reconsideration. After reconsidering, the DRTPC shall notify the candidate in writing of its final recommendation. The candidate has ten (10) calendar days following receipt of the DRTPC's final recommendation to appeal the DRTPC action to the CRTPC in accordance with the provisions of Section 305.801 of this appendix. In addition to, or in lieu of a formal appeal to the CRTPC, the candidate may submit a response or rebuttal statement to the DRTPC's final recommendation to be included in his/her RTP package.

- F. The DRTPC shall forward to the CRTPC the files of only those candidates who have requested an appeal to the CRTPC. All other recommendations for action are to be forwarded to the dean, along with the written reasons for these actions in accordance with Section 305.704D above.
- G. Any member of the DRTPC may file a supplementary report. Supplementary reports, if submitted, must accompany the recommendation in question and must have been made available to all members of the DRTPC and to the candidate.
- H. If the department chair makes a separate recommendation, he/she shall notify each candidate by providing a copy of his/her written statements. If the candidate is off campus, he/she must be notified by registered mail, return receipt requested. When the candidate is notified, he/she shall acknowledge the department chair evaluation and recommendation by signing on the appropriate page of the Faculty Performance Review Form. If the candidate elects to respond to the department chair's recommendation, he/she has ten (10) calendar days from the date of notification by the department chair to submit a response or rebuttal statement to the department chair for inclusion in his/her RTP package. The department chair shall forward his/her recommendation, signed pages of the Faculty Performance Review Form, and the candidate's response directly to the Dean for inclusion in the candidate's RTP package.

305.705 The CRTPC has three functions in RTP matters: (1) to monitor the operation of the RTP process in its college, (2) to hear appeals of department RTP actions, and (3) to serve, augmented by the dean as chair and voting member, as the body to rank candidates, if required.

- A. If a candidate appeals to the CRTPC, the department shall forward to the CRTPC the candidate's RTP package, supplemental reports, responses, rebuttals, appeal documentation, and the relevant department RTP criteria.
- B. Before forwarding its recommendation concerning a candidate's appeal, the CRTPC shall notify, in writing, the candidate and the candidate's DRTPC of its action within ten (10) working days of receipt of the appeal. If the candidate is off campus, he/she must be notified by registered mail, return receipt requested.
- C. The CRTPC chair shall be responsible for ensuring that the provisions of Appendix 16 and Appendix 10 of the University Manual and Article 15 of the CBA are carried out. The CRTPC chair will be the official custodian of the RTP package for the period between the forwarding of the package to the college RTPC by the department RTPC and the forwarding of the package to the Dean's office. If the chair of the CRTPC determines that the package should be held in a department or college office for security reasons the other CRTPC members must have access to the package and the chair remains the only person who may add any items to the package following approval by the URTPC.

305.706 The dean shall receive all documentation from the DRTPC and all documentation of those candidates who have appealed to the CRTPC. The dean's evaluation of all candidates shall be consistent with and shall not extend beyond the department's approved RTP criteria. The dean's recommendation should make appropriate references to department RTP criteria. Except when the URTPC has approved an extension, the dean shall provide the recommendation to the candidate by the deadline established in Appendix 16A. If the recommendation is not completed by the deadline and an extension has not been approved, then the package shall automatically be transferred to the next level. Any late recommendation that has not been approved shall be removed from the package at the request of the candidate to the Vice President for Academic Affairs.

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

If the candidate elects to respond without appealing, he/she has ten (10) calendar days from the date of notification by the dean to submit a response or rebuttal statement to be included in his/her RTP package. If the candidate elects to request reconsideration, he/she has ten (10) calendar days from the date of notification by the dean to file the request. The request for reconsideration shall specify the reason(s) why reconsideration is desired and may include a request to meet with the dean. Formal grounds are not required to request reconsideration. The dean may not refuse a request for reconsideration. After reconsidering, he/she shall notify the candidate and department and CRTPCs in writing of his/her final recommendation. The candidate has ten (10) calendar days following receipt of the dean's final recommendation to appeal the action to the URTPC in accordance with Section 305.802 of this appendix. In addition to, or in lieu of, a formal appeal to the URTPC, the candidate may submit a response or rebuttal statement to the dean's final recommendation to be included in his/her RTP package.

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

The URTPC has five (5) functions in RTP processes: (1) Monitor the general operation of the RTP process, ensure compliance with the spirit and intent of Appendix 16, Appendix 10 and the CBA and take appropriate remedial actions to protect the rights of the candidate. (2) Hear appeals of actions taken by the Library RTPC, by the Collins School of Hospitality Management RTPC, by the CAPS RTPC, and by any dean (consistent with 305.802). (3) Provide advice and assistance on RTP matters to candidates, chairs, deans, DRTPCs, and CRTPCs. (4) Request and/or respond to requests to add new supporting material to an RTP package after the closing date. (5) Make its own recommendation on RTP requests made by candidates.

The URTPC shall receive all personnel RTP recommendations for action including: recommendations of the dean, recommendations from the department and CRTPCs, supplementary reports, and records of requests and meetings for reconsideration.

The URTPC shall consider all relevant documents, including those listed above, and make its own recommendations for or against the RTP action requested by the candidate. The URTPC recommendations shall be based solely on the approved department RTP criteria. Recommendations not in concurrence with the RTP action requested by the candidate or not in concurrence with recommendations by the DRTPC, the department chair, the CRTPC, and/or the dean shall include explicit references to the approved department RTP criteria.

Before forwarding its recommendation, the URTPC shall notify the DRTPC, the department chair, the dean, and the candidate of its recommendation. Such notification shall consist of a copy of the URTPC's written recommendations. Within ten (10) calendar days from the date of the notification by the URTPC, the candidate may submit a written response or rebuttal statement to the URTPC. The candidate's response shall include a detailed written statement clarifying all alleged misapplication, misinterpretation, and/or procedural violations that are believed to have resulted in denial of the requested RTP action. The candidate's written response shall be included in his/her RTP package.

All candidates who have received a negative recommendation from the URTPC are entitled to a hearing with the URTPC. The request for a hearing must be submitted in writing to the URTPC within ten (10) calendar days after the receipt of the recommendations. The hearing shall be arranged before the URTPC with the concerned candidate. The candidate may invite the department chair or a member of the DRTPC to participate in the hearing and provide further evidence on behalf of the candidate.

The URTPC shall weigh the evidence and determine whether there has been a violation of procedure or misapplication of the department RTP criteria and notify the candidate accordingly. If the URTPC decides that there has been a violation of procedure or misapplication of criteria, it shall change its recommendation.

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

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

305.709 Before decisions on promotion and tenure are announced, the President and the Vice President for Academic Affairs will meet with the URTPC to discuss those cases where there have been conflicting recommendations during the process, or where the proposed action is in conflict with the unanimous recommendations of the RTP committees involved.

305.800 APPEALS

305.801 Appeal of Department Recommendations

- A. Only when a candidate has requested reconsideration (see 305.704E) and believes the final recommendation of the DRTPC to have been based upon a violation of department RTP procedures and/or upon a misapplication of department RTP criteria may he/she appeal as indicated in B below.
- B. Within ten (10) calendar days after receiving notification of the DRTPC's final recommendation, the candidate may submit his/her appeal to the CRTPC. The appeal shall consist of a written statement, with supporting evidence that addresses violation(s) of department procedures and/or misapplication(s) of department RTP criteria by the DRTPC.
- C. The CRTPC, after receipt of all documentation on the candidate and from the DRTPC, shall weigh the evidence and shall arrange, upon request of the candidate, for a meeting with the DRTPC and the candidate.
 1. If the CRTPC determines that there has not been a violation or misapplication, the candidate and the DRTPC concerned shall be so informed.
 2. If the CRTPC determines that there has been a violation or misapplication, the CRTPC will notify the DRTPC of the nature of the violation.
 - a. If the DRTPC acknowledges the alleged error, it shall take the necessary steps to correct the violation or misapplication and shall forward to the CRTPC all pertinent data, including corrections in procedures involving criteria or changes in recommendations.
 - b. If the DRTPC alleges that no error exists, the CRTPC will forward its recommendation along with the DRTPC's recommendation to the URTPC via the dean.

305.802 Appeal of Dean's Recommendations

- A. Only when a candidate has requested reconsideration (Section 305.706) and believes the final recommendation of the dean to have been based on a violation of RTP procedures, or a misapplication of department RTP criteria, may he/she appeal as indicated in B below.
- B. Within ten (10) calendar days after receiving notification of the dean's final recommendation, the candidate may submit his/her appeal to the URTPC. The appeal shall consist of a written statement that addresses violation(s) of RTP procedures and/or misapplication(s) of department RTP criteria by the dean.
- C. The URTPC, after receipt of all documentation on the candidate from the dean, shall weigh the evidence, and shall arrange, upon request of the candidate, for a hearing before the URTPC with the candidate, the dean, the chair of the CRTPC, and the chair of the DRTPC.
- D. The URTPC shall determine if there has been a violation of procedure or misapplication of department RTP criteria.
 1. If the URTPC determines that there has not been a violation of procedure or a misapplication of department RTP criteria, then the candidate, the dean, the CRTPC, and the DRTPC shall be so informed.

2. If the URTPC decides that there has been a violation of procedure or misapplication of department RTP criteria, then the URTPC will notify the candidate, the Vice President for Academic Affairs, the dean, the CRTPC, and the DRTPC.
 - a. If an alleged error is acknowledged, the appropriate party shall take the necessary steps to correct it and shall forward all pertinent data, including corrections in procedure, criteria, or changes in recommendations to all persons who had been notified of the error.
 - b. If the appropriate party alleges that no error exists, the URTPC will forward to the Vice President for Academic Affairs its recommendations (with copies to all persons who had been notified of the error) and all material relevant to the appeal, along with all other material originally received.

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

305.804 The Appeals Section 305.800 applies to all RTP recommendations.

305.900 AMENDMENTS TO THIS APPENDIX

305.901 Changes mandated by the Collective Bargaining Agreement shall be implemented by the Vice President for Academic Affairs or his/her designee with the concurrence of the URTPC.

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