



CALIFORNIA STATE UNIVERSITY, LONG BEACH

OFFICE OF FACULTY AFFAIRS

August 31, 2009

TO: RTP Candidates
College Deans
College Associate Deans
Department Chairs
College and Department RTP Committees

FROM: Holly Harbinger
Associate Vice President for Faculty Affairs

RE: INSTRUCTIONS FOR REAPPOINTMENT, TENURE AND/OR PROMOTION CANDIDATES 2009-10

The purpose of this memorandum is to provide information on procedures and deadlines governing the Reappointment, Tenure, and Promotion (RTP) process for 2009-2010.

1. Workshops

If you are a candidate undergoing evaluation for reappointment, tenure, or promotion, or if you will be involved as an evaluator during 2009-10, you are strongly encouraged to attend an RTP workshop. Two all-University RTP Workshops will be conducted for all interested faculty in the Anatol Center (AS 110):

- **Tuesday, September 22, 10:30 AM-12:00**
- **Wednesday, September 23, 3:00 PM-4:30**

These workshops will address issues pertinent to candidates and reviewers. Each workshop will cover the same content. In addition, the AVP for Faculty Affairs will be providing college-specific RTP workshops for college and department evaluators. Notices regarding these sessions will be sent by the Deans.

2. Deadlines

Deadlines have been established for:

- Open period (the period when faculty, students, academic-administrators, and the President may contribute information to be included in the candidate's file)
- Submission of files
- Completion of reviews at each level of evaluation
- Final decision notification to the candidate

All deadlines are listed on the “**DEADLINES FOR REAPPOINTMENT, TENURE, AND/OR PROMOTION ACTIONS**” schedule (available on the Faculty Affairs website.) *These deadlines are intended to allow sufficient time for careful review at each level, and they cannot be extended.* If at any level of review the evaluation of a candidate has not been completed by the deadline indicated, the candidate's RTP file must nevertheless be forwarded to the next level of review or appropriate administrator. In such cases, the candidate must be notified that the file has been moved to the next level of review.

Deadlines for notification of final actions are set by the CSU-CFA Collective Bargaining Agreement. *These deadlines may not be changed:*

- Reappointment for probationary faculty who have served *more than two years of probation*:
June 1
- Tenure: **June 1**
- Notification of a terminal year appointment: **June 1**
- Promotion (or denial of promotion): **June 15**

Notification will be mailed to the candidate's home address by the deadline. Since home addresses will be obtained from CMS records, candidates should go to "My CSULB" to verify that their records are correct.

3. Eligibility

Mandatory Reviews vs. Optional Reviews

Reappointment or Tenure: Faculty members scheduled for reappointment or tenure review as per the guidelines below *must* submit an RTP file and *must* be evaluated:

- All reviews for reappointment of a faculty member for 1-3 years
- Consideration for tenure in the *sixth* probationary year (includes years for which probationary credit was awarded for prior service at another institution)

Promotion: *Reviews for promotion are considered optional.* Faculty members who do not wish to be considered for promotion must notify the Office of Faculty Affairs in writing or return the Non-Consideration form provided to the Associate Vice President for Faculty Affairs by **Tuesday, September 15.**

Salary Advancement with Promotion

The following policies govern salary increases following promotion:

- Successful candidates receive a 7.5% increase in salary.
- In cases of exceptional merit, additional salary advancement may be granted at the time of promotion.
- The candidate *must request to be considered* for additional salary advancement, in writing, at the time she/he submits the RTP file. The request *must include a detailed rationale.* Each reviewing body must make a recommendation (positive or negative) regarding the request. Final decisions regarding the amount of any such increase will be made by the Provost.

Normal vs. Early Consideration

- A *probationary* faculty member is normally considered for promotion at the same time he/she is considered for tenure.
- A *tenured* faculty member is normally eligible to be considered for promotion during the *fifth* year in his/her current rank.

Early Tenure

Early tenure is tenure granted *before* completion of six probationary years; *early promotion* is promotion in advance of tenure or before completion of the fifth year in rank. Standards for early consideration for tenure and/or promotion are significantly higher than those for consideration at the normal time, as described in Section IV.C of the University RTP Policy (PS 96-12). The University RTP Policy can be found on the Academic Senate website: http://www.csulb.edu/divisions/aa/grad_undergrad/senate/policy/.

The following rules apply to candidates seeking early tenure and/or promotion:

- Candidate must submit a statement of intent to the Office of Faculty Affairs and to the department by **5:00 PM, Tuesday, September 15.**
- A candidate scheduled for a reappointment review who is requesting consideration for early tenure and/or promotion must submit a *single RTP file* by the earliest deadline for any of these actions. Evaluators must make a recommendation on *each action* under consideration.
- A candidate may rescind a request to be considered for early tenure/promotion by giving a written notice to all parties in the process. Written recommendations that have been completed will be returned to the candidate and will not become part of the Personnel Action File.
- **Exception:** If there are multiple actions involved and only one action is being rescinded, the recommendations will go forward and remain part of the file since such recommendations normally appear as a single memorandum. A candidate who is being reviewed for reappointment as well as early tenure and/or promotion must proceed with the review for reappointment.
- A candidate for *early promotion to Professor* must have a positive recommendation from the department RTP committee in order to have the possibility of a positive final decision (see article 14.4 of the Collective Bargaining Agreement). This rule does *not* apply to early promotion to Associate Professor.

4. Evaluators

Who participates in evaluation?

- Elected Department RTP Committee
- Department Chair (Optional)
- Elected College RTP Committee
- Dean
- Provost

Who serves on RTP Committees?

The Collective Bargaining Agreement establishes rules for selection of RTP committees. Only full-time tenured faculty members are eligible to be elected to department and college RTP committees. The tenure-track (probationary) and tenured members of the department elect the members of the committee.

At the request of a department, the President may agree to permit faculty participating in the Faculty Early Retirement Program to run for election for membership on any level peer review committee. However, these committees may not be comprised solely of faculty participating in the Faculty Early Retirement Program.

Committee members must have higher rank than those under consideration for promotion. If promotion is not involved, tenured faculty of any rank may serve as members of a committee to consider candidates for reappointment and/or tenure. (Example: a tenured associate professor may serve on a committee considering tenure and promotion for an assistant professor and/or a committee considering tenure for an associate professor who is not being considered for promotion to full professor.)

Faculty who are being considered for any RTP action may not serve on an RTP committee. No faculty member may serve on RTP committees at two different levels of review. However, a tenured promotion candidate may serve on a reappointment review if committee members are different from those serving on the promotion review.

Tenured faculty members are expected to make themselves available to serve on RTP committees as part of their normal responsibilities. In some circumstances, however, a department may not have enough eligible members to serve on the RTP committee. In this situation, the department shall elect members from a related academic discipline, according to applicable college and department policies.

Special rules apply to the formation of RTP committees for faculty members on joint appointments. See Academic Senate Policy Statement 94-11 (University Joint Appointments for Faculty Personnel Policy and Procedures) on the Senate website.

Policy on External Evaluation

External review and evaluation of a candidate's materials may be requested by any party in the process – the candidate, the department committee, the department chair, the college committee, the dean, or the Provost – and may be requested at any point during the review. However, in order to complete the review on time, requests for external evaluation should be made as early as possible in the evaluation process, ideally prior to submission of the RTP file. The process is governed by PS 86-07 (University Procedures for External Evaluation), which is available on the Academic Senate website. A request for an external evaluation must have the concurrence of the candidate. The request must describe the circumstances requiring the external evaluation, the specific criteria involved, and the nature of the materials needing evaluation. *External evaluations of scholarship are recommended in cases in which the candidate is seeking early tenure or promotion.* The Provost has delegated authority to the Deans to approve requests for external evaluation and to select one or more external reviewers from the list of experts generated according to the policy. During semester prior to the submission of the candidate file, the Dean and Department Chair are encouraged to consult about which candidates should be considered for external review.

5. The RTP File

The Working Personnel Action File, or RTP file, consists of materials collected and prepared by the candidate, materials submitted to the file during the Open Period, previous evaluations during the period under review, the evaluation reports at each stage of the process, and any rebuttals or responses to the evaluations by the candidate. The Candidate Status Sheet should be the first page of the file. The file is divided into the "Primary File" and the "Supplemental File". See the Faculty Affairs website for guidance on preparing these files.

The Period under Review

- For reappointment, tenure, and/or initial promotion, the candidate will be evaluated on activities since the beginning of the probationary period, including any years of service credit.
- For subsequent promotion, the candidate will be evaluated on activities since the last promotion.

Open Period

Per section 15.2 of the Collective Bargaining Agreement:

Faculty unit employees, students, academic administrators, and the President may contribute information to the evaluation of a faculty unit employee. Information submitted by the faculty unit employee and by academic administrators may include statements and opinions about the qualifications and work of the employee provided by other persons identified by name. Only tenured faculty unit employees and academic administrators may engage in deliberations and make recommendations to the President regarding the evaluation of a faculty unit employee.

To provide this opportunity to contribute information, an Open Period has been established from September 15 through October 2, 2009.

Departments will be provided with a list of the candidates who are eligible for consideration; **this list must be posted in each department office on or about September 15, 2009**. Departments may additionally disseminate this list to faculty, students, and academic administrators electronically. Templates for the Open Period notification are available on the Faculty Affairs website. The names of candidates seeking early tenure or early promotion will be added to this list **on or about September 15** upon receipt of their statement of intent. Each posted list shall contain the following statement, which specifies the nature of the information that can be submitted:

Faculty, students, academic administrators and the President may contribute information to the evaluation of a faculty unit employee. Information submitted by the faculty unit employee and academic-administrators may include statements and opinions about qualifications and work of the candidate by other persons identified by name.

All information must be submitted in written form to the Department RTP Committee Chair with a copy to the candidate, by October 2, 2009.

The following rules apply to material submitted during the Open Period:

- Information provided must be submitted in written form to the Department RTP Committee Chair, with a copy to the candidate.
- Anonymous information will not be accepted.
- The candidate must be given five (5) days notice before any such materials are placed in his/her file by the RTP Committee Chair. At any time before the file is closed, the candidate may respond to or rebut information provided during the Open Period, as described below.
- Such materials shall be placed in a separate section of the file identified as "Open Period Information." **An index of this information shall be prepared by the department RTP committee** and included in the RTP file.
- Requests for removal of Open Period information on the ground of inaccuracy - and only on that ground - may be made under the terms of the Collective Bargaining Agreement.

Additions to the File by the Candidate after the Submission Deadline

New Materials: Occasionally, either the candidate or evaluators may request to have new materials placed in the file after the Open Period. Typical examples are reports from peer observation of teaching that took place after the Open Period or supplemental information on scholarly or creative activities (such as acceptance of a peer-reviewed publication). Such requests shall normally be limited to items that become available after the file was submitted. In all such cases, the college RTP committee must approve the request.

Missing Material: At any point in the review, if materials that are required for the evaluation are discovered to be missing, evaluators at that level of review may request the missing materials. However, when the missing materials have been provided, the RTP file must be returned to the level at which the requisite documentation

should have been provided. Such material shall be provided in a timely manner.

Removal or Correction of Materials after Submission by the Candidate: Under the terms of the Collective Bargaining Agreement, on the ground of inaccuracy – and only on that ground – a candidate may request materials in the file be removed or corrected.

Prior Reviews

The candidate must include in the file copies of all prior evaluations, which include:

- **Reappointment file:** all evaluations since appointment, including previous Mini Reviews (including a Professional Development Plan, if applicable) and prior reappointment reviews, if any.
- **Tenure file:** all reviews since appointment, including previous Mini Reviews (including a Professional Development Plan, if applicable) and previous reappointment reviews.
- **Promotion file:** all reviews since appointment or since the last promotion, whichever is more recent. In the case of tenured faculty members being considered for promotion, this would include any periodic Evaluations of Tenured Faculty (ETF).

Candidate Responses/Rebuttals

At all levels of review, candidates shall receive a copy of the evaluation report including its recommendation. Candidates are entitled to write a response/rebuttal to the report at each level of review. Therefore, every effort should be made to provide this report to the candidate at least ten (10) calendar days before the deadline for completion at each level of review. The candidate's response shall be included in the file.

Regardless of when the candidate receives the evaluation, the candidate still has ten (10) calendar days after receipt of the review to submit a written response to be forwarded with the review. A copy of the response or rebuttal statement shall accompany the RTP Action File and shall also be sent to all previous levels of review (Dean, College RTP Committee Chair, Department Chair, Department RTP Committee Chair, as appropriate). Any resulting responses or rebuttals shall not require that evaluation timelines be extended. The candidate may also request a meeting with the reviewers to discuss the recommendation (whether or not the candidate plans to write a rebuttal).

The following rules apply to candidate responses:

- Responses may not include new materials or supplemental documentation not included in the original file. (There is a separate process for the inclusion of new materials.)
- A written response should be addressed to the *next* level of review, with copies to all previous levels of review. A copy of the response or rebuttal statement must be placed in the RTP file.
- If the candidate receives the evaluation with fewer than (10) calendar days before the file is due to be forwarded to the next level, the candidate still has (10) calendar days to respond. The file, however, must still be forwarded on schedule. The committee chair will forward the response to the next level, where it will be placed in the RTP file.

Mandatory Documentation

The following items are mandatory components of the RTP file, and should be provided by the candidate.

- Professional Data Sheet (and curriculum vitae if required by the College policy)
- Narrative
- Student evaluation summaries. University policy requires that a “minimum of two” courses be evaluated each semester, and at least that number must be included in the file. If they are not present, the department RTP committee should obtain them from department or University records and place them in the file. (Some colleges require that all courses be evaluated. Also note that, since all student evaluation summaries are part of the candidate's Personnel Action File, the President (or designee) may review all summaries.) If by error, or because of exceptional circumstances, the candidate was not reviewed for a minimum of classes required by the department, college, or University policy, the candidate should account for the error or circumstances in the narrative.
- Supplemental documentation providing evidence of instruction and instructionally related activity, scholarly and creative activity, and service
- Index to supplemental materials

Candidates should refer to the guidelines for the PDS and for preparation of the primary and supplemental files. These guidelines are posted on the Faculty Affairs website with all other RTP information. Similarly, candidates should consult all college and/or departmental guidelines regarding supplemental documentation and file

preparation. As a general rule, candidates should include materials that provide evidence of their accomplishments and growth in the areas of evaluation. The candidate should invest significant effort in organizing and presenting this material so that it supports the case for reappointment, tenure, and/or promotion, and so it corroborates the statements in the Professional Data Sheet and the narrative.

Candidates should keep copies of their PDS and narrative, as these materials will not be returned at the end of the process. They will be filed in the official Personnel Action File along with the index to supplemental materials. Supplemental materials will be returned to the candidate.

6. Evaluators' Responsibilities

Guiding Principles

Evaluators should not simply enumerate the candidate's accomplishments, but evaluate them according to the "essential" and "enhancing" criteria that have been established. The focus must always be on the quality of the contributions rather than just numerical tallies. In their reviews, evaluators are also responsible for providing guidance to candidates for future reviews, especially in areas where the need for improvement may have been noted.

Teaching Effectiveness

University Policy (PS 96-12) calls upon departments to "utilize systematic means for acquiring evidence of candidates' teaching accomplishments," including, for example, "in-class visitations... to support peer evaluation." Some college policies explicitly require such visitations. If peer committees carry out class visitations, the evaluators should prepare a written report for the file. If these are completed after the Open Period, the department committee must request permission from the college committee to add them to the file (see above). The department committee is expected to carry out additional peer evaluation, which may include, but is not limited to, critical assessment of syllabi, course materials, BeachBoard sites, assignments, student outcomes, and curriculum development efforts.

Evaluation of Scholarly and Creative Activity

Department and college RTP policies establish standards and criteria for scholarly and creative activity in the discipline. The department RTP committee, with its presumed disciplinary expertise, has a responsibility to evaluate carefully the quality and significance of the candidate's work in relation to these standards, and should consider evidence that the work has received positive peer evaluation. A list of accomplishments does not constitute evaluation.

7. Recommendation, Decision, and Approval Process

Department and College RTP committees must make a recommendation to approve or disapprove each of the following actions. The Department Chair may make a separate recommendation regarding each of these actions as part of a separate report if the chair is not on the department RTP committee.

- Reappointment
- Tenure
- Early Tenure
- Promotion
- Early Promotion
- Combined Tenure and Promotion
- Combined Early Tenure and Early Promotion
- Special salary increases beyond 7.5% for promotion

Deans make the final decisions on:

- Reappointment of faculty when reappointment is the only action under consideration, and when the decision is favorable.
- The number of years (1-3) of reappointment offered to the candidate.

Deans are to address decision letters to candidates with copies to the Provost and the Associate Vice President For Faculty Affairs, as well as the College RTP Committee Chair, the Department Chair, and the Department RTP Committee Chair.

The Provost makes the final decisions on:

- Non-reappointment of faculty
- Tenure
- Early Tenure
- Promotion
- Early Promotion
- Combined Tenure and Promotion
- Combined Early Tenure and Early Promotion
- Special salary increases beyond 7.5% for promotion and the specific amount of the increase

NOTE: All decisions are subject to the final approval of the President.

8. Applicable Policy Documents and Additional Information

Each candidate for RTP consideration should consult carefully the policy documents governing the process.

- Articles 13, 14, and 15 of the Collective Bargaining Agreement, available at:
http://www.calstate.edu/LaborRel/Contracts_HTML/CFA_CONTRACT/CFAtoc.shtml
- The University Reappointment, Tenure, and Promotion Policy (PS 96-12), which can be found in the on the Faculty Affairs website and on the Academic Senate website.
http://www.csulb.edu/divisions/aa/grad_undergrad/senate/documents/policy/1996/12/
- The Reappointment, Tenure, and Promotion policies of the candidate's college and department. Copies of these documents may be obtained from the department and/or college office or the Faculty Affairs website.
- Available at the Faculty Affairs website: **Deadlines for Reappointment, Tenure, and/or Promotion Actions, Professional Data Sheet Guidelines, and Preparation of Primary and Supplemental RTP Documents.**

Any candidate who is unable to obtain any of these documents should contact Kevin Butt, kbutt2@csulb.edu. Questions regarding the RTP process may be directed to Holly Harbinger at harbinge@csulb.edu or 54128.