

California State University, Long Beach  
College of Health and Human Services

## **Guidelines to Assist CHHS Faculty through the RTP Process**

Prepared by the ad hoc RTP Review Committee of the College of Health and Human Services during the 2003-2004 academic year. The members of the committee were Veronica Acosta-Deprez, Bruce L. Berg, James A. Davis, Barry W. Lavay, Olfat S. Mohamed, Genevieve Monahan, John Oliver, and Wendy Reiboldt.

## Preface

In the summer of 2003, Barry W. Lavay (Kinesiology and Physical Education) developed a document for his department faculty that was designed to assist them through the Retention, Tenure, and Promotion (RTP) process. The ad hoc RTP Review Committee has modified the document with the goal of making it applicable to RTP candidates of any department in the College of Health and Human Services (CHHS). This document, referred to hereafter as the Guidelines, is designed to assist CHHS faculty through the RTP process.

## INTRODUCTION

- Throughout the academic life of a faculty member (RTP candidate), many documents are generated, e.g., syllabi, examinations, and journal articles. But no document generated is more important for future employment at the University than the candidate's working RTP file (narrative, Professional Data Sheet (PDS), and supplemental documentation). These Guidelines provide information that will assist the faculty member in the generation of this important document.
- These Guidelines do not replace the RTP policy documents at the department, College, and University levels. The purpose of the Guidelines is to assist faculty members through the RTP process.
- For more information about the RTP process, please refer to the web sites listed at the end of the Guidelines. The web site with the most information specific to the RTP process is entitled Retention, Tenure, and Promotion. It has links to the University RTP Document, all of the CSULB College RTP Documents, and all of the CSULB Department RTP Documents. It also has links to RTP forms, the Professional Data Sheet categories, and RTP instructional memoranda.

## Getting Started

- The following RTP terms appear in these Guidelines.
  1. Candidate's working RTP file: a file the candidate assembles for a pending RTP evaluation, e.g., promotion to associate professor. That file includes a narrative, a Professional Data Sheet, and supplemental documentation.
  2. Professional Data Sheet (PDS): the candidate's description of his/her performance in the three categories to be evaluated, namely, teaching, scholarship, and service.
  3. Open period: period of time that is open for submission of information by persons other than the candidate according to Article 15.2 of the Collective Bargaining Agreement. See the link entitled "main instructional memo" at the web site entitled Retention, Tenure, and Promotion; the open period is described under "III. Procedures".
  4. Collective Bargaining Agreement: A Memorandum of Understanding between the California State University (CSU) and the California Faculty Association that sets forth the terms and conditions of employment for the CSU faculty. Article 15 of the Collective Bargaining Agreement deals with RTP.
  5. University RTP Document: the official RTP policy document at the University level.
  6. College RTP Document: the official RTP policy document at the College level.
  7. Department RTP Document: the official RTP policy document at the department level.
  8. Periodic Review: "mini" periodic reviews, and "full" performance reviews that require an action of retention, tenure and or promotion.
- Download the University RTP Document, the College RTP Document, and your Department RTP Document from the web sites provided at the end of the Guidelines. Contact the Chair of your Department's RTP Committee for a copy of the Departmental RTP Evaluation and Recommendation Form (Green Form).
- An excellent resource person for RTP issues is Irene Wood, Academic Personnel Manager in Academic Affairs. Her contact information is as follows: 5-8263 and [iwood@csulb.edu](mailto:iwood@csulb.edu).
- Contact the CHHS Dean's Office (5-4194) to determine the membership of the College RTP Committee. Find out the membership of your Department's RTP Committee. Feel free to contact members of both of these committees with your questions.

- Early in the fall, each RTP Candidate will receive general information regarding RTP instructions from Academic Affairs. If this has not been received, it is the responsibility of the candidate to seek out this information from Academic Affairs.
- Attend University, College and department RTP orientation meetings. Ask for clarification if you are uncertain about any requirements.
- Carefully read all RTP materials.
- Use these RTP materials as guides in the preparation of the paper work for your RTP evaluation. Use of these RTP materials in this way will allow more efficiency as you build your working RTP file. Refer to your department policies regarding guidelines for the mini review.

#### Seek Advice and Guidance

- Two statements in the University RTP Document (Policy Statement 96-12) that are pertinent to this section are as follows:

#### ***University RTP Document Statement***

*The Candidate has the primary responsibility for collecting and presenting the evidence of her/his accomplishments to those charged with the responsibility of reviewing and evaluating the faculty member. However, candidates should make every effort to seek advice and guidance on the RTP process so that they understand how criteria and standards are applied. Regular discussions with department chairs and experienced colleagues are necessary if candidates are to understand the process and participate in it effectively.*

#### ***University RTP Document Statement***

*The Department Chair has a number of responsibilities, particularly with regard to probationary faculty, that require her/him to be the primary source of information regarding department procedures and deadlines. But the Chair must also provide guidance to candidates over time as to whether their performance is consistent with department expectations. The Chair must initiate collegial discussions with candidates about their overall career development and provide professional mentoring, as appropriate. Chairs have the responsibility for communicating department, college, and university policies to candidates. Chairs also have the option of writing an independent evaluation of RTP candidates under the provisions of our current Memorandum of Understanding. They should consult this document for the appropriate procedures to be followed.*

- Meet with your Department Chair on a regular basis to receive guidance through the RTP process. Your Department Chair may be particularly helpful in identifying service opportunities for you at the department, College, and University levels.
- Meet with the Chair of your Department's RTP Committee to discuss RTP matters.
- The University, College, and Department RTP Documents provide examples and lists of activities to be considered when developing your working RTP file.
- Consider examining the materials of faculty members in your department and/or other faculty members outside your department who have recently gone through the RTP process.
- Do not hesitate to contact members of your Department's RTP Committee if you have questions.
- The personnel in the Faculty Center for Professional Development (5-5287) will be able to answer general questions about RTP files. Also, they can assist you in finding samples of different organizational styles.

## Evaluation

- You will be evaluated in three major areas: instruction and instructionally related activities, scholarly and creative activities, and professional service. Each of the RTP documents (University, College and department) explains the three major areas of evaluation in detail.
- The University, College and Department documents include similar information and follow the same format. Your Department's RTP Document, however, provides lists of activities that are specific to your discipline in each of the three areas of evaluation.
- Carefully read the Departmental RTP Evaluation and Recommendation Form (Green Form) before assembling your materials as your Department's RTP Committee members will use this form in their evaluation of you.
- In addition, you will be evaluated in each area by essential criteria and enhancing criteria. The essential criteria describe the nature and level of performance required of all faculty. The enhancing criteria establish standards by which faculty, following diverse career paths, are evaluated beyond the essential criteria.
- Refer to the University, College, and Department Documents for more information on the essential criteria and the enhancing criteria.

## Organization and Documentation of Materials

- Good organization and good documentation of your work are both important virtues of a well-designed working RTP file and the responsibility of the RTP candidate.
- Early in your career, develop an organizational system that works for you and allows you to organize your instruction, scholarship, and service materials such as class materials and journal articles. This system will make it easier to locate materials when it is time for you to organize these materials for your RTP notebooks.
- Develop a system that is easy for evaluators to follow for referencing work. Include instructions in your narrative as to the location of support materials in your appendices. Make it easy for the evaluators to locate support materials by including a detailed table of contents with an easy-to-follow system of appendices.
- Although not required, the College and University preference is to have four separate files: one for the narrative (considered your primary file) and one for each of the three areas being reviewed (your supplemental files). These must be indexed and referenced by index in your narrative, e.g., a copy of this journal article appears in Appendix 2a. Candidates are not obligated to supply the "raw written comment data" from their student evaluations. However, if they wish to include this material, then ALL (including non-favorable ones) must be included. Appendix A, shown at the end of this document, provides an outline of the primary file and the supplemental file.

## DEVELOP THE NARRATIVE AND PROFESSIONAL DATA SHEET (PDS)

### The Narrative

- This is your opportunity to "tell your story" and describe the development of your teaching philosophy and expertise, your teaching responsibilities, your scholarly and creative work, and your service. This is one of the most important ways you can communicate your contributions to your Department and College RTP Committee members, to the Dean, and to the Provost.
- A clearly written narrative that can be easily understood by someone outside your discipline is critical! This point is extremely important when your RTP file is being evaluated outside of your department. Your Department's RTP

Committee members know your discipline. However, the members of the College RTP Committee are mostly, if not totally, outside of your department. Hence, they are likely not to have a full understanding of your specific discipline.

The Professional Data Sheet (PDS)

The second item in your working RTP file is the PDS. It has four categories, namely, Academic Preparation and Honors; Teaching Activities; Scholarly and Creative Activities; and University and Community Service Activities. For more information regarding the PDS, see the web site at the end of the Guidelines entitled "Professional Data Sheet Categories". Note that the candidate might wish to combine the narrative and the PDS.

### **Academic Preparation and Honors**

- Provide a description of your degrees, institutions, years that your degrees were earned, majors, and other education.
- Provide a description of your academic awards and honors.

### **Teaching Activities**

- Instruction and instructionally related activities are evaluated in four dimensions: (1) Pedagogical Approach and Methods; (2) Student Response to Instruction; (3) Ongoing Professional Development as a Teacher; and (4) Ongoing Professional Development in the Discipline. Your PDS needs to clearly address all four areas.
- Pedagogical Approach and Methods: discuss and include documentation of your philosophy and methods of teaching subject content, currency in the field, materials used in teaching (e.g., syllabus, notes, and technology), and your criteria for grading.
- Student Response to Instruction: provide an analysis of your summarized student evaluation of teaching. If some of your mean scores were below department and/or College means, discuss possible reasons. If you have other forms of student input, include that information as well.
- Peer evaluations represent another assessment of your teaching effectiveness. They are in-class observations of your teaching performed by faculty colleagues.
- Ongoing Professional Development as a Teacher: discuss and include documentation that shows evidence designed to improve instructional effectiveness. For example, attending various Faculty Center for Professional Development seminars, participation in teaching development seminars or conferences sponsored by the department, College, University or professional organizations; giving or receiving of formal or informal pedagogical coaching, and/or other activities which contribute to professional development of teaching effectiveness.
- Ongoing Professional Development in the Discipline: discuss and include documentation that shows evidence to improve in your specific discipline by participating in conferences, reading of discipline-appropriate materials such as journal articles and books, interaction with practitioners in the field, electronic communications with colleagues, and/or other activities.

### **Scholarly and Creative Activities**

- It is the responsibility of the candidate to demonstrate the significance of the scholarly activities he or she presents for the RTP review. It is the duty of the department RTP committee to evaluate both the documents submitted by the candidate, and the arguments offered by the candidate concerning the significance of the scholarly activities.
- In your narrative you will have discussed your specific area of scholarship and your scholarly plan in the creation, integration, application and/or dissemination of knowledge. For example, early in your career (first three years of the process), your narrative can present evidence of ongoing

scholarship and an outline of your research agenda throughout the probationary period

- In narrative form, for each scholarly activity accomplished (e.g., refereed journal article publication), consider providing the following specific information.
  1. The quality and significance of the publication to your discipline, e.g., scholarship effectiveness or practical implications to the discipline and or/public.
  2. The actual refereed review process involved. Be specific when explaining this process, e.g., the journal review process included a blind review by three reviewers.
  3. The readership of the journal, e.g., who reads the journal and how many readers exist?
  4. Acceptance rate of each journal in which you have published.
  5. Regarding joint authorship, identify the specific extent of your actual participation, e.g., conceptualization, writing, and data analysis.
  6. Discuss if your journal manuscript is accepted (publisher agrees to publish with no further changes) or is in press. This can be proven with a letter on letterhead from the publisher. Discuss if a manuscript has been submitted and where it is in the process, e.g., conditionally accepted or revised and resubmitted.

NOTE: Some of the above information can be located in the journal or by contacting the publication journal editor. You can also consult Ulrich's Periodical Directory in the west reference area of the library (call# AP2.U5). In addition, each department has an assigned librarian. That person can assist you in obtaining information about journal circulation, journal impact factors, professional standing, etc.

#### University and Community Service Activities

- These activities involve service to the University, the community, and the discipline. Service activities outside the university must be directly related to the academic expertise of the faculty member.
- Discuss the specific extent and quality of your service with specific examples, e.g., Chair of the College Grade Appeals Committee and lead author of a committee document.
- University service includes service to the University, College and department. Discuss if you were nominated but not elected to a committee.

NOTE: There are many opportunities to serve the University. For example, the Academic Senate both solicits and appoints faculty to committees. There are periodic calls for faculty volunteers on special projects, e.g., Odyssey, University Athletics, and 49er Shops. In addition, the Dean may have special projects or committees that require faculty appointment. Faculty are encouraged to let their Department Chair and Dean know that they are willing to serve on additional committees as needed.

#### Develop the Supplemental Documentation

- The third item in your working RTP file is your supplemental documentation, sometimes called the supplemental RTP file.
- Provide documented evidence of teaching, scholarship, and service, e.g., syllabi, examinations, publications, and service commendation letters.
- Provide your student evaluation of teaching summaries. If raw data are submitted, all response sheets including blanks must be included for a given course.
- Provide prior RTP or Periodic "Mini" Evaluations.

### Mechanical Aspects of the Supplemental Documentation

There are many ways one might *package* his or her supplemental documents. It is important, however, to bear in mind that people will be reviewing materials, sometimes repeatedly, and the easier it is to access your documents the more effectively these materials will be evaluated. The following, therefore, are several suggestions:

- Place each of your four files (described above) into a separate three-ring binder. Be sure to use a binder sufficiently large enough to accommodate your materials, and to permit pages to easily turn. Overstuffing a binder just makes it hard to read and access materials. Conversely, do not use an oversized binder, which is almost empty. This unnecessarily takes-up room and makes the package more cumbersome than is necessary.
- Binders should be clearly marked to identify which file it contains, and indexed using a consistent indexing strategy.
- Binders should fit completely into a covered file-type box. This will assure that the files remain secure, during transit from departments to the college office, and when stacked in storage during review.
- Supportive documents should be limited to only those items that fall within the current window of the candidate's review.
- Items of support should be selected sparingly to highlight the qualities of the candidate, but not necessarily merely to provide bulk to the package. For example, include reprints of full copies of articles rather than copies of full journals containing the article; include signed title pages from all Theses you have chaired or read as a committee member, rather than the full Theses; before including all of your student evaluation comment sheets, consider whether they will significantly add to (and thereby enhance) your teaching evaluation when reviewed; if you have submitted the same grant proposal repeatedly to different agencies, do not include all of the copies of the same proposal. Rather, include one full proposal, and cover sheets indicating the various granting sources this proposal has been sent, etc.
- Be sure all binders and the file box clearly indicate the candidate's name and department.
- Web-based documents such as pages from Beach board, or other web sites should be downloaded onto a disk. Each disk should be clearly labeled with the program necessary for opening these page files (e.g., Word and Netscape Composer), and indexed to indicate what files are located where on the disk (in what directories, and so forth). This would be preferred over supplying 200 or so pages of printed out web site materials.

### Consider Outside Letters of Support

- In certain situations, you may want to consider providing your RTP materials to a colleague(s) from another department or College within or outside the University. This person(s) should be a recognized scholar in your field. You may ask this person(s) to write a comprehensive evaluation letter to place within your RTP materials or to be submitted during the open period.
- This strategy should be discussed with the Department Chair and the Chair of the Department RTP Committee. Some departments may make more use of this strategy than others. Some may encourage it for consideration of promotion to full professor but not for other RTP considerations.

### Evaluations You Receive Throughout the Review Process

- Throughout the review process, carefully read the evaluations you receive at all levels of review. Respond and address those areas in future working RTP

files that you generate. For example, if your student evaluations of teaching are not as strong as you would like, you can attend a faculty development program (either through the CSU or the Faculty Center for Professional Development for mentoring/coaching in teaching effectiveness. These efforts should be documented in your file. Candidates have the responsibility to be proactive in seeking mentoring and locating other resources for addressing areas needing further development.

#### SUMMARY

Candidates have rights as well as responsibilities in the RTP process. They have the right to receive accurate information and mentoring from their Department Chair/Director and to seek advice from members of the Department and College RTP Committees and the staff of Academic Affairs in the preparation of their working RTP file. They also have the responsibility to carefully read the Department, College and University RTP Documents and to prepare their files in the required format. There are many resources on campus to assist candidates in successfully navigating the RTP process.

It is important for candidates to remember that they hold the ultimate responsibility in their RTP process. While these Guidelines provide much information, they by no means represent a definitive and complete information packet.

References/Internet Links to  
Academic Policies and Resources for Faculty at CSULB  
As of February 2, 2005

Division of Academic Affairs

<http://www.csulb.edu/aa/>

Academic Personnel web site

<http://www.csulb.edu/aa/personnel/>

Academic Personnel Retention, Tenure, and Promotion (RTP) web site

<http://www.csulb.edu/aa/personnel/evaluations/rtp/index.html>

University RTP Document

[http://www.csulb.edu/aa/grad\\_undergrad/senate/documents/policy/1996/12/](http://www.csulb.edu/aa/grad_undergrad/senate/documents/policy/1996/12/)

College and Department RTP Policies

<http://www.csulb.edu/aa/personnel/evaluations/rtp/policies/index.html>

Faculty Center for Professional Development

<http://www.csulb.edu/divisions/aa/personnel/fcpd/>

Office of Strategic Enrollment and Planning web site

[http://www.csulb.edu/aa/planning\\_enrollment/](http://www.csulb.edu/aa/planning_enrollment/)

CSULB Mission Statement

[http://www.csulb.edu/aa/grad\\_undergrad/senate/documents/mission/](http://www.csulb.edu/aa/grad_undergrad/senate/documents/mission/)

CSULB Strategic Priorities

[http://www.csulb.edu/aa/planning\\_enrollment/priorities/](http://www.csulb.edu/aa/planning_enrollment/priorities/)

Office of University Research

<http://www.csulb.edu/aa/research/our/>

Retention, Tenure, and/or Promotion  
Preparation of Primary and Supplemental Documents<sup>1</sup>

Primary File (prepared by candidate)

- RTP Status Sheet
- Professional Data Sheet (if required by College RTP Document)
- Vitae (if required by College RTP Document)
- Narrative
- Prior RTP or Periodic "Mini" Evaluations<sup>2</sup>
- Index of Supplemental Materials

Primary File (RTP reviewers continue to add the following to the file)

- Open Period Materials<sup>2</sup>
- Open Period Index of Materials
- Department Committee Recommendation
- Department Chair Recommendation (optional)
- College RTP Committee Recommendation
- Dean Recommendation (or final decision in some cases)
- Candidate Rebuttals and any revised/adjusted recommendations
- Provost Final Decision

Supplemental RTP File (prepared by the candidate)<sup>2</sup>

- Prior RTP or Periodic "Mini" Evaluations
- Student Evaluation Summaries (and raw data, if submitted)
- Documented evidence of teaching, scholarship and service (i.e., syllabi, exams, publication, books, manuscripts, articles, paper presentations, exhibits, service commendation letters, etc.)

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<sup>1</sup> Document found on the Academic Personnel RTP web site.

<sup>2</sup> Documents normally returned to the candidate following the review.

RETENTION, TENURE, AND/OR PROMOTION  
Professional Data Sheet Categories<sup>\*3</sup>

- A. Academic Preparation and Honors
  - 1. Degree, institution, year, major, other education.
  - 2. List academic awards and honors.
- B. Teaching Activities
  - 1. Current teaching and/or administrative assignment.
  - 2. Field of special competence. (Include areas of special competence bearing on teaching effectiveness.)
  - 3. Teaching assignment. (Include list of courses taught most frequently, statement of teaching methods and philosophy if not addressed in the narrative, innovations, preparation of course materials, special responsibility for classroom or lab facilities, curriculum development, etc.)
  - 4. Participation in student activities (advisement, sponsorship, etc. other than routine advisement during office hours or registration periods).
- C. Scholarly and Creative Activities
  - Publications (include bibliographical data and whether publication has been juried or refereed), papers delivered to scholarly organizations (indicate whether the paper was invited or refereed), exhibitions or shows of creative works, evaluated public performances, research grants, awards and recognition by learned societies, contributions and participation in organizations of state or national scope and other related activities reflecting credit in terms of professional standing and recognition to the University. ***Copies, or abstracts, of materials cited are to be included or other documentation of accomplishments as well as dates of activities.***
- D. University and Community Service Activities
  - 1. Membership and positions on faculty committees – University, College and Department. List dates and describe any unusual degree of participation or responsibility such as reports authored, programs or policies implemented, and offices held.
  - 2. Activities in community. (Include activities, dates of activities, positions held, etc., which are related to your professional field or which bring substantial beneficial recognition to the University.)
- E. Other contributions reflecting credit in terms of your professional standing and recognition which have an unusual bearing upon your University teaching, scholarship, or service.

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\* Documentation of activities is to be provided in binders listed as “Supplemental Documentation”.

<sup>3</sup> Document found on the Academic Personnel RTP web site.