

**FORMAT GUIDELINES**  
**RETENTION, TENURE, AND PROMOTION (RTP) FILES**  
**Academic Year 2010-2011**

**A. GENERAL GUIDELINES**

1. Evaluations, recommendations, and supporting documentation shall be bound in a standard binder, which shall have plastic pockets on the front cover and spine.
  - (a) A copy of the Title Page shall be inserted in the pocket on the front cover of the binder, and a copy of the Spine Identification Information shall be inserted in the pocket on the binder's spine. Forms for the Title Page and Spine Identification Information Form are available on the Academic Personnel Services website at [www.csufresno.edu/aps/forms/rtp\\_forms.html](http://www.csufresno.edu/aps/forms/rtp_forms.html).
  - (b) Each major section and sub-section (i.e., Sections 1 through 4, Section 4A, Sections 5 through 6, Section 6A, and Sections 7 through 12) shall be separated by tabbed index dividers with descriptive labels which shall include, at minimum, the section or sub-section number.
2. The Chair of the Department Review Committee is responsible for ensuring compliance with these Guidelines.
3. The Chair of the Department Review Committee is also responsible for ensuring that all materials listed in the RTP File Checklist have been included and are in the prescribed order. The Department Review Committee chair shall complete and sign the RTP Checklist and place it in Section 1.
4. The Department is responsible for performing a complete and accurate evaluation of the candidate's performance. The probationary faculty member or candidate for promotion is primarily responsible for preparing an adequate and accurate file in cooperation with his/her mentor(s). The Department Chair and Department Review Committee may request additional information and may generate additional evidence through their own actions, provided that the faculty member is provided a copy of the evidence and an opportunity to review and comment on it.
5. All pages in the RTP file shall be sequentially numbered and shall include the date of entry into the File.
6. All RTP files must contain the following items, in the following order:
  - (a) Title Page and Spine Identification Information inserted in plastic pockets on the outside cover of the binder.
  - (b) Inside Title Page.
  - (c) Access Log (Section 1).
  - (d) RTP File Checklist (Section 1).
  - (e) RTP Application Form/Request for Probationary Plan Amendment (Section 2) with proposed amendment to Probationary Plan (if applicable).
  - (f) Updated Curriculum Vitae (Section 2).
  - (g) Approved Probationary Plan (Section 3).
  - (h) Provost's Letter Approving Probationary Plan (Section 3).

- (i) Department Chair's Letter of Intent (Section 3).
- (j) Description of Non-Instructional Assignments (Section 3).
- (k) Retention and Tenure Review Form (Section 4).
- (l) Written Assessment/Analysis and Evaluation for Retention and Tenure Candidates, including Assessment/Analysis of Proposed Probationary Plan Amendment (if applicable) (Section 4A).
- (m) Candidate's Response or Rebuttal, if any (Section 5).
- (n) Promotion Review Form (Section 6).
- (o) Written Assessment/Analysis and Evaluation for Promotion Candidates (Section 6A).
- (p) Candidate's Response or Rebuttal, if any (Section 7).
- (q) Documentation of Teaching Effectiveness (Section 8).
- (r) Documentation of Professional Growth and Scholarly/Creative Activities (Section 9).
- (s) Documentation of University and Community Service (Section 10).
- (t) Prior RTP and Off-Year Review Recommendations from all levels of review, in reverse chronological order (Section 11).
- (u) Inventory of Candidate's Materials (Section 12).

**B. SECTION BY SECTION DESCRIPTION OF FILE**

1. **TITLE PAGE:** The Title Page shall be the first item in the File. (Provided by Candidate.)
3. **SECTION 1:**
  - (a) **ACCESS LOG:** The Access Log is the first item in Section 1. Every individual who reviews the File must so note in the Access Log, along with the date (including year). (Form to be provided by Dean's Office.)
  - (b) **RTP FILE CHECKLIST:** The Checklist requires signoff by the Chair of the Department Review Committee, indicating that each applicable item has been included in the RTP File, in the order specified. (Provided by Department Peer Review Committee Chair.)
4. **SECTION 2:**
  - (a) **APPLICATION FORM:** The Application Form is to be completed and signed by the Candidate. If the candidate is seeking a Probationary Plan Amendment, the appropriate information should be entered in Sections 1 and 3 of the Application Form. (Provided by Candidate.)
  - (b) **PROBATIONARY PLAN AMENDMENT** (if applicable). The proposed Probationary Plan Amendment, if any, is to be attached to the Application Form along with a written justification for the requested amendment. (Provide by Candidate.)
  - (c) **UPDATED CV** (Provided by Candidate.)

5. **SECTION 3:**

- (a) **APPROVED PROBATIONARY PLAN, INCLUDING APPROVED AMENDMENTS, IF ANY:** The approved Probationary Plan, and any approved Amendments, are to be included in Section 3. Signature pages must be included. If the approved Plan or any Amendment does not include UBORT's signature, include UBORT's written recommendation as an attachment to the Approved Probationary Plan. The Provost's final decision letter on the plan and any amendments is also to be included. The Probationary Plan should be placed in this section of the file in this order: (1) clean copy of most current approved version; (2) copies of all approved amendments, if any, along with Provost's approval letter for each (in reverse chronological order); (3) original approved Probationary Plan with Provost's approval letter. (Provided by Candidate.)

**Note:** If a Probationary Plan Amendment is sought, it belongs in Section 2 of the Binder, attached to the Application.

- (b) **DEPARTMENT CHAIR'S LETTER OF INTENT:** A copy of the Department Chair's Letter of Intent, electing whether to sit as a member of the Department Peer Review Committee or write an independent review, belongs in Section 3. (Provided by Department Chair.)
- (c) **DESCRIPTION OF NON-INSTRUCTIONAL ASSIGNMENTS:** Section 3 shall contain a description of the Candidate's non-instructional assignments, including assigned time responsibilities, if any. (Provided by Candidate.)

6. **SECTION 4:**

- (a) **RETENTION AND TENURE RECOMMENDATION FORM:** For retention and tenure candidates and those requesting a Probationary Plan Amendment, this form must be completed at each level of review. It is to be signed by each member of the peer review committee, department chair, and appropriate administrator. All applicable information requested on the form must be included at each level. (Provided by Department Peer Review Committee Chair.)
- (b) **RETENTION AND TENURE ASSESSMENT/ANALYSIS AND EVALUATION:** Each peer committee, department chair (if making a separate recommendation), and appropriate administrator, shall provide written reasons for each recommendation made, including recommendations on proposed Probationary Plan Amendments. The written evaluations shall be placed in **Section 4A**. Each level of review is responsible for ensuring that copies of the recommendations are provided to the candidate and all prior levels of review.

7. **SECTION 5:**

- (a) **CANDIDATE'S RESPONSES TO RETENTION AND TENURE RECOMMENDATIONS:** At each level of review, the candidate is entitled to place in his/her RTP File a written response/rebuttal to the recommendations on his/her application. While the candidate has ten days in which to file a response/rebuttal for entry into the File before it moves to the next level, she/he may file it at a later date, even if the process has moved forward. All responses/rebuttals to retention and

tenure recommendations shall be placed in Section 5. The candidate is responsible for ensuring that copies of any response/rebuttal are provided to the reviewing level and all prior levels of review.

8. **SECTION 6:**

(a) **PROMOTION RECOMMENDATION FORM:** For promotion candidates, this form must be completed at each level of review. It is to be signed by each member of the peer review committee, department chair, and appropriate administrator. All information requested on the form must be included at each level.

(a) **PROMOTION ASSESSMENT/ANALYSIS AND EVALUATION:** Each peer committee, department chair (if making a separate recommendation), and appropriate administrator shall provide written reasons for each recommendation made. The written evaluations shall be placed in **Section 6A**. Each level of review is responsible for ensuring that copies of the recommendations are provided to the candidate and all prior levels of review.

9. **SECTION 7:**

(a) **CANDIDATE'S RESPONSES TO PROMOTION RECOMMENDATIONS:** At each level of review, the candidate is entitled to place in his/her RTP File a written response/rebuttal to the recommendations on his/her application. While the candidate has ten days in which to file a response/rebuttal for entry into the File before it moves to the next level, she/he may file it at a later date, even if the process has moved forward. All responses/rebuttals to promotion recommendations shall be placed in Section 7. The candidate is responsible for ensuring that copies of any response/rebuttal are provided to the reviewing level and all prior levels of review.

10. **SECTIONS 8, 9, and 10:**

(a) **DOCUMENTATION:** Candidates for Retention, Tenure, and/or Promotion are primarily responsible for submitting documentation of their Teaching Effectiveness (**Section 8**), Professional Growth and Scholarly/Creative Activity (**Section 9**), and University and Community Service (**Section 10**). While the candidate is primarily responsible, the Department Peer Review Committees, the Department Chair, and/or the appropriate administrator are not precluded from entering pertinent information, so long as that information has been placed in the Open Personnel File by the dates specified in the Academic Personnel Calendar.

At the beginning of Section 8, the candidate should place a copy of the updated Teaching Effectiveness grid normally used for Off-Year Review pursuant to college/school policy. The updated grid for Scholarly/Creative Activity should be placed at the beginning of Section 9, and the updated grid for University and Community Services should be placed at the beginning of Section 10.

(b) **SCOPE OF DOCUMENTATION:** Documentation shall be provided for the current review cycle only, but teaching evaluations should be summarized and carried forward in the RTP file from year to year to establish a pattern of teaching effectiveness. All documentation from previous RTP cycles shall be deemed incorporated by reference by

virtue of the Inventories provided for each such cycle in Section 12 of the RTP File.

11. **SECTION 11:**

- (a) **PRIOR RTP RECOMMENDATIONS – RETENTION AND TENURE:** A candidate for retention or tenure must include all prior RTP recommendations and forms relating to the Retention and Tenure process, including written evaluations from all levels. These forms are to be included in Section 11, and shall be placed in reverse chronological order.
- (b) **PRIOR RTP RECOMMENDATIONS – PROMOTION:** A candidate for promotion must include all prior recommendations and forms, including written evaluations, if the candidate has been previously denied promotion to the rank she/he seeks in the current review cycle. These forms are to be included in Section 11, and shall be placed in reverse chronological order.

12. **SECTION 12:**

- (a) **INVENTORY OF CANDIDATE'S MATERIALS – CANDIDATES FOR RETENTION, TENURE AND PROMOTION:** A candidate for retention or tenure must include an Inventory of all materials the candidate submitted during the current review cycle. All Inventories from previous RTP cycles shall be included in Section 12 as well. The Inventories shall be placed in reverse chronological order. All materials listed shall be deemed incorporated by reference into the RTP file, and shall be made available to any level of review upon request. (Provided by Candidate.)
- (b) **INVENTORY OF CANDIDATE'S MATERIALS – CANDIDATES FOR PROMOTION ONLY:** A candidate for promotion only must include an Inventory of all materials s/he has submitted since his/her last promotion or the award of tenure. If a candidate has been previously denied promotion to the rank sought in the current review cycle, s/he shall also include in Section 12 all Inventories from previous applications for promotion to that rank. The inventories shall be placed in reverse chronological order. All materials listed shall be deemed incorporated by reference into the RTP File, and shall be made available to any level of review upon request. (Provided by Candidate.)