COLLEGE OF ARTS AND MEDIA

RTP Evaluation Guidelines

1. PROCESS

A. General Principles

These Procedural Guidelines rely upon several principles:
(1) Decisions granting or denying tenure or promotion should be based on a documented record of achievement.
(2) The content of the record that will be relied upon should be known by the candidate and the decision-makers.
(3) Except for variation related to the nature of the candidate’s academic activity, the content of the record should be the same for all candidates in the same academic unit.
(4) The governing procedures should be the same for all candidates across the University except where conditions or academic cultures justify variation among colleges or among departments within a college.
(5) University and college procedures should be applied consistently to all candidates.
(6) In order to preserve the objectivity of the process, confidentiality should be of utmost importance at all levels.

B. SEQUENCE: (see Appendix A: RTP Timetable)

(1) Office of the Dean Candidate Notification Procedures
(2) Formation of Primary Unit
   Formation of the Evaluation Committee
(3) Primary Unit Phase
   Evaluation Committee Phase
(4) Dept. Chair Review
(5) College RTP Committee
(6) Dean's Level Review

C. Statements of Evaluation by Review Committees

Evaluative statements assessing the candidate's strengths and weaknesses shall be provided at the department, college, and university levels. Each of these evaluative statements shall be inserted in the candidate's dossier at each step in the review process in the following order:

• Primary Unit Committee;
• Department Chair's letter
• College RTP Committee;
• College Dean;

When a candidate has not received a unanimous committee vote, the evaluation must include a discussion of the reasons for the divergent opinions. All committee reports must list the entire membership and be signed and dated by all members.

The numerical vote of each committee must be reported.

II. PROCEDURES:

A. OFFICE OF THE DEAN NOTIFICATION PROCEDURES

1. Informing the Candidate of Materials to Be Submitted

   • The Office of the Dean will send candidates written notification at several points in time of the material that the candidate must compile and submit for the promotion dossier, (see Appendix A: RTP Timetable). The notice must also inform the candidate that the promotion dossier is due by September 4 in the academic year of the tenure and promotion decision.

B. PRIMARY UNIT:

University of Colorado Regents Policy. Definition of The Primary Unit:

"Primary Unit": This term refers to the unit composed of professional colleagues most directly involved with the candidate and having authority to make recommendations concerning appointment, reappointment, tenure, and promotion. In schools and colleges with departmental organizations, each department will constitute a primary unit. In a school or college without such organization all full-time faculty members shall have the responsibility for developing the terms of their own working structure whereby the primary unit is defined. The primary unit might be a division, or might be the school or college as a whole. In some instances the primary unit may involve cognate departments or institutes. The dean of the school or college and the chief academic officer shall be informed in writing of the determined structure of the primary unit. Only members of the primary unit holding tenure shall vote on decisions relating to tenure, except that non-tenured members of the primary unit may be permitted to vote on decisions relating to tenure when authorized by the dean of the school or college and the chief academic officer when circumstances, in their discretion, so justify.
Primary Unit Responsibilities

Function of Primary Unit.
The primary unit conducts the initial review. The primary unit has a strong voice in
personnel decisions: it selects information; it emphasizes; it analyzes and evaluates; it
votes and makes recommendations. Thus, it has an impact on the eventual outcome of
the review process. The information gathering and selection process in the Primary Unit
will culminate in a meeting to discuss the candidate’s qualifications and to vote by secret
ballot for or against the reappointment and/or granting of promotion.

Membership of the Primary Unit.
Per Regents Policy (above), Only members of the primary unit holding tenure shall vote
on decisions relating to tenure.

CAM procedures dictate that the Primary Unit shall be comprised of tenured faculty at or
above the academic rank of the candidate. When the number of tenured faculty at or
above the academic rank of the candidate is insufficient in a particular department, the
Executive Committee of the College will propose the membership of the Primary Unit to
the CAM faculty for vote.

Faculty not included are those who serve on either the CAM or college wide RTP
committees, and the department chair of the candidate's resident department.

Tasks of The Primary Unit

1. Appointment of Primary Unit Chair: In the College of Arts and Media, the chair of
the Primary Unit is nominated and appointed by the Dean. The Dean may also
recommend the chairs of the Evaluation subcommittee(s).
2. Responsibilities of Primary Unit Chair: The chair of the Primary Unit is responsible
for the following:
   • Focusing and leading the discussion of the Primary Unit.
   • The chair of the Primary Unit committee will see that those attending meetings of
     the Primary Unit sign in, so that there is a record of who were present for the
discussion and therefore voted.
   • The summary report of the meeting must list those eligible faculty who were not
     present for the discussion and therefore did not vote, with the reason for the
     absence.
   • Submission of the report summarizing the discussion and vote of the Primary
     Unit in the appropriate CAM format.
2. **Appointment of Evaluation Subcommittee:**

**EVALUATION COMMITTEE**

University of Colorado Regents Policy. Definition of the Evaluation Committee:

"Evaluation Committee": This term refers to the group within the primary unit that is delegated by the primary unit the responsibility of initially reviewing the qualifications of candidates for appointment, reappointment, tenure, and promotion. In a small primary unit, all members of the unit may constitute such a committee. Administrators who will review candidates at later stages of the review process shall not serve on primary unit evaluation committees.

**The functions of the Evaluation Committee:**

NOTE: The Evaluation Committee is primarily charged with organizing and summarizing the dossier for examination by the Primary Unit, and does not as such render a vote or judgment regarding the quality of the candidate's work or progress.

**Membership of the Evaluation Committee:**

The Evaluation Committee is a subset of the Primary Unit, composed of a minimum of three members. When circumstances are justified, tenured faculty from outside of the College of Arts and Media may be called upon to serve on the Evaluation Committee.

**Tasks of The Evaluation Committee**

1. Verify and confirm that dossier has been assembled in the appropriate format and order. Insure that citations and contents appear in the appropriate section, without duplication across sections. The Evaluation Committee may return the dossier to the candidate for format and content revision.
2. A description of how the summary information was assembled as well as the process for selecting external letters of assessment, including a sample letter.
3. Compile summaries of the dossier in the areas of Teaching, Research/Creative Work and Service.

**Teaching**

a. Insure that FCQ summaries have been calculated reflecting the appointment term being reviewed. A list of FCQ student comments should be placed by the candidate in this section with a supplemental notebook of actual FCQ forms for the term under review placed by the CAM administration, (NOT the candidate).
b. Review course materials, including syllabi, assignments, etc. in terms of departmental or college prescribed format and preparation. (See Appendix B: CAM RTP Criteria).
c. Compile and coordinate peer evaluation of the candidate.

Research/Creative:
a. Insure that external evaluator's comments are received and noted. Include a description of how the letters of assessment were solicited, including a sample letter of request. The report should also indicate how and why the pool of evaluators were selected and solicited.
b. Summarize in order of prominence the research/creative work listed for the appointment period.

Service:
a. Confirm the candidate's participation in listed committee or service activity
b. Confirm prominence of listed committees or other service activity.
c. Summarize statements of committee members and other service-based awards or citations.

2. Primary Unit Summary Report(s). The chair of the Primary Unit is responsible for submitting the report summarizing the discussion of the Primary Unit. The report must record the number voting to grant tenure and/or promotion and the number voting to deny it. The summary report must reflect the range of opinions expressed in the meeting and must include the Primary Unit analysis of the external evaluations of the candidate's scholarship. The report must be written in a way that does not violate the expectation of confidentiality on the part of members of the Primary Unit, external evaluators of the candidate's scholarship/creative work, students who submitted letters of evaluation, or others who wrote in expectation of confidentiality. The primary unit provides a thorough and accurate evaluation of the candidate in the three areas of teaching, research/creative work, and service. The primary unit report should reflect departmental as well as specific CAM criteria (Appendix B: CAM criteria). The primary unit's role is to evaluate, not to advocate for or against the candidate. It is essential that these evaluations carefully and thoroughly assess the candidate's strengths and weaknesses. Negative comments or votes must be explained. A statement such as "we do/do not recommend reappointment" is not sufficient. See Appendix B for sample primary unit letters.

Following college bylaws, the primary unit must vote on the action under consideration, prepare a summary of the evaluation by the unit and a recommendation for action, and include this information in the dossier. The vote must specify the number of faculty members present and the actual vote (e.g., six of eight faculty members were present and voted 4-2 in favor of promotion and tenure). Split votes must be addressed, with the inclusion of a minority report. A unanimous vote is not required. Again all committee reports must list the entire membership and be signed and dated by all members.
In the case of Tenure evaluation, the Primary Unit must state in their vote which of the following levels of accomplishment the committee recommends: "Excellent", "Meritorious", or "Non-Meritorious". Each of the areas of review, (Teaching, Research/Creative, and Service) is to be assigned one of the above levels of accomplishment.

In the case of the Pre-Tenure or Comprehensive Review, the Primary Unit must submit a statement to the file regarding the candidate’s level of accomplishment and current projection of potential tenure status.

Each review must provide a description of the criteria used to appoint and evaluate faculty in these respective units. Criteria for appointments to the several faculty ranks are complex. They reflect the rigorous preparation necessary for university teaching and research/creative achievement, the varied expectations directed to the faculty of a major university, and the diversity of missions performed by academic units. Each faculty position has its own distinctive requirements, but the University and the College of Arts and Media has established some minimal criteria (see Faculty Handbook and Appendix B: CAM RTP Criteria). Imbalances in some respects may be offset by unusual excellence in others.

A draft version of the summary report must be made available to the members of the Primary Unit. Individual faculty members will forward any comments and requested changes to the chair of the Primary Unit, who will then prepare a final version of the report and make that version available to members of the Primary Unit. Any faculty member eligible to participate in the tenure and/or promotion decision may submit a further confidential comment that will be appended to the report.

The results of the Primary Unit vote and the summary report of its discussion (with any appended confidential comments from individual faculty) will be transmitted to the Department Chair as part of the candidate’s RTP Record.

a. The Primary Unit Report: The primary unit provides the following materials in the dossier:

(1) Primary Unit Criteria. Criteria used by the primary unit in evaluating the candidate’s record. In addition to traditional criteria, these criteria should include (1) evidence of productivity in the field to demonstrate that a candidate is at or above average in research/creative work productivity, (2) an explanation of how research/creative achievements that aren’t traditional (e.g., on the Internet) are considered and evaluated, and (3) a description of service expectations. Specific CAM criteria are found in Appendix B.

(2) Previous RTP and Personnel Action Letters. If the candidate has previously undergone RTP review, copies of the following must be included: (1) previous primary unit evaluations, votes, and recommendations; (2) previous first level review evaluations, votes, and recommendations; (3) previous Dean’s evaluations and recommendations; (4) previous Vice Chancellor’s letters.
(3) **Subcommittee Reports.** Reports of the Evaluation Committee and Evaluation letters prepared by faculty in the primary unit are included in the dossier with supporting material in the sections for teaching, research or creative work, and service.

(4) **Letters of Evaluation from External Reviewers.** This section should begin with a summary of the process and procedures by which the external evaluators were selected and solicited. The primary unit provides in the dossier full documentation concerning the selection of external reviewers and their credentials, including the evaluator’s vita, whether the candidate recommended the evaluator, and the relationship of the evaluator to the candidate.

*External letters of evaluation must be solicited by the Department Chair and/or the Dean, not by the candidate.* The primary unit must include in the candidate’s dossier a copy of the letter requesting evaluation letters. See Appendix C for the format for letters to external evaluators for comprehensive review and promotion and tenure.

The names and institutional affiliations of external reviewers and their letters of evaluation are confidential, must not be divulged or provided to the candidate, and are retained in the Office of Academic and Student Affairs. *The candidate is not to know which individuals have furnished evaluation letters.* A summary of the content of evaluation letters may be made available to the candidate.

The committee should also include the following information for inclusion in the report:

- A log showing the date on which each external letter was requested by the department/dean, and the date the letter was received. All requests should be entered regardless of whether a response was obtained;
- A description of the procedure used for selecting external evaluators;
- An identification of those who have written the assessments, including a brief statement of the referee’s standing in his/her discipline.

(a) **Comprehensive Review.** *External letters in these cases are to be of a constructive and counseling nature, rather than a rehearsal for tenure.*

For the comprehensive review, college policy stipulates a total of at least 3 external reviewers with at most 1 selected from the candidate’s list, and at least 2 selected outside the candidate’s list. Should the comprehensive review require more than the 3 minimum external evaluators, there shall be the stipulation of a 2 to 1 ratio of non-candidate to candidate chosen reviewers.

(b) **Promotion, Tenure, or Termination**

For promotion, tenure, termination, or any other review for which regental action is required, at least six (6) external letters of evaluation...
are required, with a 2 to 1 ratio of non-candidate to candidate chosen reviewers.

c. Statement of Responsibilities

A statement of the candidate's responsibilities in the academic department must be included. This statement should detail the candidate's contracted teaching load and any approved course releases or differentiated workload.

d. Primary Unit Summary, Vote, and Recommendation

The primary unit provides a thorough and careful evaluation of the candidate in the three areas of teaching, research/creative work, and service. The primary unit's role is to evaluate, not to advocate for, the candidate. *It is essential that these evaluations carefully and thoroughly assess the candidate's strengths and weaknesses. Negative comments or votes must be explained.* A statement such as "we do/do not recommend reappointment" is not sufficient. *Split votes must be addressed, with the inclusion of a minority report. A unanimous vote is not required.* In the case of Tenure evaluation, the Primary Unit must state in their vote and summary statement which of the following levels of accomplishment the committee recommends: "Excellent", "Meritorious", or "Non-Meritorious". Each of the areas of review, (Teaching, Research/Creative, and Service) is to be assigned one of the above levels of accomplishment. See Appendix B for a sample primary unit letter.

In the case of the Pre-Tenure or Comprehensive Review, the Primary Unit must submit a statement to the file regarding the committee's consensus regarding the candidate's current level of accomplishment and projection of potential tenure status.

**NOTE:** STUDENTS SHOULD NOT BE INVOLVED IN ANY WAY IN THE REVIEW OR PROCESSING OF DOSSIER MATERIALS, BEYOND SPECIFIC COMMENTS OR REVIEW SOLICITED BY THE PRIMARY UNIT.

C. Department Chair Procedures:

*University of Colorado Regents Policy:*

The chair is ultimately responsible for the recruitment, selection, and evaluation of both the academic and the staff personnel of the department. In consultation with colleagues, and in consonance with the appropriate departmental procedures, the chair recommends appointments, promotion, merit increases, and terminations. The chair has the explicit responsibility to ensure that faculty members are aware of the departmental, college, and campus criteria prescribed for appointment, reappointment, promotion, and tenure, and to make appraisals and recommendations in accordance with the procedures and principles stated in the Laws of the Regents.