Appendix A
Electronic RPT Dossiers

Tenure-track faculty members seeking reappointment, promotion, or tenure (RPT), are required to assemble a dossier of materials to be used by the college and university in evaluating his or her request. Beginning with the 2017-2018 academic year these dossiers will be electronic and stored in a web-accessible system. The purpose of this Appendix is threefold. First, it defines the minimum functionality the system which hosts the RPT dossiers must possess as well as the technical and administrative support with which candidates will be provided. Second, it defines the RPT timeline within the college. Third, it defines the materials which must be included in the electronic dossier.

Several items within this document require the candidate to provide data since the candidate's "last RPT action." For the purposes of this document the phrase "last RPT action" is defined to mean promotion, granting of permanent tenure, or original hiring by the university, however it does not mean RPT requests that end in a negative decision nor does it mean a successful reappointment request for an untenured Assistant Professor.

Responsibility for Electronic RPT System

Because computer systems and standards change rapidly, the Faculty of the Belk College leaves to the discretion of the dean or the dean's designee the selection and implementation of the specific software that will host the electronic RPT dossiers, subject to the following minimum standards listed below.

1. The software must be accessible through the web to candidates, external reviewers, Departmental Review Committee (DRC) members, department chairs, College Review Committee (CRC) members, and the dean.
2. The software must conform to relevant UNC Charlotte data security standards. The system will maintain comprehensive audit logs.
3. The candidate must be able to upload, delete, and modify content within the dossier during the upload period (defined below.) The candidate must not be able to alter their dossier, except within certain prescribed conditions outlined in this document, after the upload period has been completed.
4. The Senior Associate Dean or his/her designee will automatically prepopulate the dossier with certain official data, such as teaching evaluations, annual reviews, and certain other items defined below.
5. The software will only allow access to the candidate's dossier to external reviewers, members of the DRC, appropriate departmental faculty, CRC, and department chairs during the times prescribed below.

6. The dean and the dean's designee, including the college information technology staff, will have access at all times to the dossiers in the system for technical and administrative support purposes.
7. It is understood that the electronic dossiers are part of the candidate's personnel file and are subject to all laws, rules, and regulations relevant to personnel files.
8. The system will retain dossiers permanently. Faculty will be able to retrieve copies of documents in the dossier but will not be able to modify a completed dossier.

Administrative Support

The Senior Associate Dean (SrAD) does not vote on any RPT decision. As such, the SrAD is the administrative officer in the college that is in the best position to offer advice to candidates about the RPT process. Should a candidate have a question about the RPT process they should contact the SrAD directly. The SrAD's office, acting as the dean's designee, will also provide administrative, logistical, and technical support to candidates.

Timeline

By necessity, the RPT process is very formal. This formality is designed to ensure that candidate rights are protected and that the college and university receive sufficient information to allow for informed RPT decisions. There are several critical dates in the RPT process that drive the timeline to which a candidate must adhere when assembling his or her dossier.

A particularly critical period in the process is the "upload period" which is defined to be from May 15th through September 1st. During this time the candidate will have the ability to edit, upload, and otherwise modify material in their dossier, with certain exceptions discussed below. After the end of the upload period, the candidate will generally not be able to modify their dossier directly and will have to work with the SrAD to make permitted changes to the dossier.

It shall be the responsibility of the SrAD to publish by no later than April 15th of each year a list of deadlines for the various RPT events that will occur over the next twelve months. Although the dates shall vary slightly from year to year, in general they shall conform to the guidelines listed below.

April 15 – Meeting with potential RPT applicants

Between April 1st and April 15th of each academic year the SrAD shall conduct an information session that shall be open to any tenure-track member of the Belk College that is required to or is considering applying for any RPT action. The purpose of this meeting shall be to explain the mechanics of the RPT process, to explain how to assemble a dossier, and to provide the exact RPT timeline for that year. This meeting is for informational purposes and does not commit the candidate to pursing the RPT decision. Faculty members that do not attend are not precluded from requesting an RPT decision that year. The

information made available at that meeting shall also be made available through alternative means.

<u>May 15 – Upload Period Begins: Electronic Dossier System Opened to Faculty</u>

By no later than May 15th, or the first business day afterwards if May 15th falls on a weekend, the SrAD shall make the electronic dossier system available to candidates and shall provide the candidates with documentation on how to use the system. The electronic dossier will be pre-filled with certain university and personnel documents listed below.

<u>July 1 – Selection of External Reviewers</u>

For those cases that require external review, by no later than July 1st, or the first business day afterwards if July 1st falls on a weekend, the candidate and department chair shall have followed the procedure outlined in Section 7.2.2 of this document and have selected a list of mutually acceptable external reviewers. The department chair shall have contacted the external reviewers and determined their willingness to serve. The department chair must fill out the "External Letters Grid" (Appendix B of this document) and submit it to the SrAD.

<u>July 10 – End of Upload Period for External Reviewer Materials</u>

For those cases that require external review, by no later than July 10th, or the first business day afterwards if July 10th falls on a weekend, the candidate must complete the uploading of materials which will be available to external reviewers. After that date the candidate will not be able to alter the materials that were made available to external reviewers.

Also by that same date the department chair shall submit to the SrAD standard external reviewer letters (see Belk College "Standardized External Review Letters" policy.) These standard review letters should request that each reviewer complete and return his or her evaluation by no later than September 1st.

<u>July 16 – Materials Available to External Reviewers</u>

For those cases that require external review, by no later than July 16th, or the first business day afterwards if July 16th falls on a weekend, the SrAD shall make available to the external reviewers the research portion of the candidate's dossier. The SrAD's Office will send by email the department chair letters to the external reviewers along with instructions on how to access the electronic dossiers.

<u>September 1 – Upload Period Ends</u>

Candidates must complete the assembly of their dossier by the close of business on September 1st, or the first business day afterwards if September 1st falls on a weekend. After September 1st the system will now allow the candidate to add, delete, or edit content

in the dossier. The candidate will continue to be able to review their dossier upon making a request to the SrAD, and under the supervision of the SrAD. Candidates that receive notification of status changes of papers under review, such as publications, acceptances, revise and resubmits, etc., will be allowed to provide the SrAD with materials with which to update their file and will be able to review the updated materials for correctness.

September 10 – Dossier Available to DRC and department chair

The SrAD shall provide the relevant DRC and department chair with access to the candidate's electronic dossier by no later than September 10th, or the first business day afterwards if September 10th falls on a weekend.

October 1 – DRC Evaluations Due

By no later than October 1st, the DRC shall complete its written evaluation of the candidate's dossier. While the letter should be addressed to the department chair, the Chair of the DRC shall turn in the original letter to the SrAD who shall upload it to the electronic dossier. The SrAD shall keep the original letters in a hardcopy folder. After October 1 the DRC shall no longer have access to the candidate's dossier.

November 1 – department chair Evaluations Due

By no later than November 1st, the department chair shall complete a written evaluation of the candidate's case. While the letter should be addressed to the Dean of the Belk College of Business, the department chair shall turn in the original letter to the SrAD who shall upload it to the electronic dossier. The SrAD shall keep the original letters in a hardcopy folder. After November 1st the department chair shall no longer have access to the candidate's dossier.

Note that should the department chair determine that the candidate should not be reappointed, promoted, or tenured, then university procedures require that the chair meet with the candidate to provide a copy of that determination and its rationale and to explain the faculty member's right of rebuttal. Within fourteen days after receiving a copy of the department chair's determination, the faculty member may submit to the dean and the chair his or her written rebuttal to the chair's determination. Upon receipt of this rebuttal the SrAD will place an electronic copy of the rebuttal into the dossier. All dates listed below will be adjusted by the fourteen day period.

November 2 – Dossier Available to CRC

The SrAD shall provide the CRC with access to the candidate's dossier by no later than November 2nd, or the first business day afterwards if November 2nd falls on a weekend.

December 5 – CRC Evaluations Due

By no later than December 5th, the CRC shall complete its written evaluation of the candidate's case. While the letter should be addressed to the Dean of the Belk College of Business, the Chair of the CRC shall submit the original letter to the SrAD who shall upload it to the electronic dossier. The SrAD shall keep the original letters in a hardcopy folder. After December 5th the CRC shall no longer have access to the candidate's dossier.

Format of Dossier

The dossier consists of a main folder with six subfolders. The sections below discuss the contents of each of these areas. The software will automatically organize the dossier in the order listed below.

Note that certain elements of the dossier can most easily be supplied by the college on behalf of the candidate. These elements are denoted by an asterisk (*) in the list below. Note that the candidate should not edit or delete these items. Should there be a factual error or other material problem with such items the candidate can work directly with the SrAD to resolve the problems.

I. Main Folder
    The main folder should contain four subfolders, where each is discussed below (in alphabetical order):
    a. All Items for External Review of Research
    b. All Items for Internal Review
    c. External Review Letters and Reviewer Biographies
    d. Internal Review Evaluations

II. All Items for External Review of Research
    In this section the candidate provides evidence for external reviewers that his or her research record meets the standard described by the relevant section of the Belk College RPT Standards document. This folder should remain empty for individuals being considered for Reappointment, as it is not applicable. This folder should contain the following files from the main folder: 1) the College's Mission and Vision,* 2) the Belk College of Business Policies and Procedures for Reappointment, Promotion, and Grant of Permanent Tenure,* 3) the candidate's personally constructed CV, and 4) the candidate's Personal Statement.

    The other materials to be provided in the "Research – External Reviewers" folder are as follows:
    a. A copy of the candidate's CV from the Digital Measures system.
    b. A Self-Assessment of Research. In this statement the candidate should briefly discuss his or her research philosophy and research agenda. In this statement the candidate should carefully discuss why he or she believes the research record meets

the appropriate standard described in the Belk College RPT Standard Document for the RPT action being sought.

    c. Publications of the candidate. These will be categorized in the following way:

        i. Accepted papers – PDFs or PDF scans of the material as it appeared in the publication outlet.

        ii. Forthcoming papers – PDFs of the manuscript to be published along with the official notification from the editor/publisher that unambiguously states that the work is accepted for publication <u>without qualification</u>.

        iii. Conditionally accepted papers – PDFs of the manuscript that has been conditional accepted along with the official notification from the editor/publisher that the paper has been accepted pending minor editorial or grammatical changes.

    d. Papers under review. These will be categorized as follows:

        i. Papers under initial review – PDFs of the manuscript under review along with a date that the paper was submitted for review.

        ii. Papers that are being revised for re-submission – PDFs of the manuscript that is being revised along with the complete list of referee reports, and a letter from the editor/publisher that clearly states the paper may be re-submitted for consideration.

    e. Papers not under review. These will be categorized as follows:

        i. Working papers – PDFs of completed or substantially completed papers that are not under review at a publication outlet yet.

        ii. Works-in-Progress – Less than completed papers but that nevertheless have some material that can be entered into the dossier.

    f. A list of citations that each of the candidate's works have received.

    g. A summary of external grant activities. This summary should include dollar amounts for each grant as well as whether the grants were earned while at UNC Charlotte.

    h. PDF copies of external grant reports of the candidate.

    i. Any other materials or documentation that the candidate feels provide relevant information relating to research performance.

III. <u>All Items for Internal Review</u>

    a. <u>Annual Faculty Performance Evaluations*</u>

        i. This folder will contain annual faculty performance evaluations since the last RPT action.

    b. <u>Research - Internal Reviewers</u>

In this section the candidate provides evidence that his or her research record meets the standard described by the relevant section of the Belk College RPT Standards document, where the audience is internal reviewers. Candidates being considered

for Reappointment will populate this folder with the items outlined in the "other materials provided" list in Section II. Candidates undergoing external review may either 1) duplicate the items in the "Research – External Reviewers" folder or 2) otherwise revise the Research section of the dossier prior to the end of the upload period on or about September 1.

c. Service

In this section the candidate provides evidence of his or her service to the department, the college, the university, and the profession. This shall consist of the items listed below.

    i. A Self-Assessment of Service. In this statement the candidate should describe his or her service philosophy. The candidate should carefully discuss the service he or she has provided to the department, Belk College and university. The candidate should also discuss service duties performed for academic associations and professional organizations.

    ii. Materials that document activities mentioned in the Self Assessment of Service.

    iii. Any other materials or documentation that the candidate feels provide relevant information relating to service performance.

d. Teaching

In this section the candidate provides a history of his or her teaching experience at UNC Charlotte and elsewhere since their last RPT action. The data that must be provided are listed below.

    i. A Self Assessment of Teaching. In this statement the candidate should briefly summarize his or her teaching philosophy and interests, and why the candidate believes that he or she is an effective teacher.

    ii. A list of all UNC Charlotte for-credit classes taught by the candidate since the last RPT action.[*]

    iii. A list of relevant classes taught at other institutions since the candidate's last RPT action. This list shall not include non-credit courses such as continuing education, professional training, or executive education courses.

    iv. Most recent copies of syllabi for classes listed in sections III.b and III.c. No syllabi are expected for repeat sections of courses or courses that are administrative in nature, such as residency, thesis, or dissertation courses. Candidates shall treat "Topics" courses as distinct courses, and include a syllabus, only when there is a substantial change in topic.

    v. A list of any theses or dissertations with which the candidate is involved. The candidate should clearly discuss his or her role in each thesis and dissertation, and the status of that project.

    vi. Numeric results from the Student Evaluation of Teaching survey for each class listed in subsection III.b.[*]

vii. Any "Peer Review of Teaching" reports that have been completed on the candidate since his or her last RPT action.[*]

The following are optional materials that the candidate may include if they so desire.

i. Class teaching materials such as PowerPoint slides or links to instructor web-sites.
ii. Copies of final exams.
iii. Copies of other exams, projects, or other classroom assignments.
iv. Written evaluation comments from students.
v. Emails or letters from students relating to the candidate's teaching effectiveness.
vi. Any other materials or documentation required by section 7.2.1 of this document or that the candidate feels provide relevant information relating to teaching effectiveness.

IV. External Review Letters and Reviewer Biographies
This folder will contain the following:
a. The External Letters Grid (Appendix B).*
b. Letters from external reviewers.*
c. Copies of the standardized letters sent to reviewers.*
d. Biographies of the external reviewers.

V. Internal Review Evaluations

Materials Sent For External Review

As noted elsewhere in this document, external reviewers assess the quality and significance of the scholarly activity of the candidate. At the candidate's request the external reviewers may also assess the candidate's teaching and service accomplishments. As a result all external reviewers will be provided with the following items:

I. A standardized cover letter from the department chair (See the Belk College of Business "Standardized External Review Letters" policy);
II. A copy of the candidate's personally constructed CV (optional).
III. The College's Mission and Vision.
IV. The Belk College of Business Policies and Procedures for Reappointment, Promotion, and Grant of Permanent Tenure.
V. The items outlined above that are included in the "Research – External Reviewers" folder of the candidate's RPT dossier.

Should the candidate request that the external reviewer be asked to assess his or her teaching and service accomplishments, these sections will also be made available electronically to the external reviewers. The candidate should note, however, that the external reviewers will only have access to the materials that were in the dossier as of July 10th, and will not be able to see materials added after that date.

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