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I. GENERAL STATEMENT

GSEP's Rank, Tenure, and Promotion (RTP) Committee ensures faculty involvement in matters related to faculty rank, step, promotion, and the policies and procedures of the School's *Rank, Tenure, and Promotion Manual* and the Tenure Policy of the University. The Committee's primary responsibility is to review and make recommendations to the administration regarding candidates for promotion and tenure. Other duties include notifying faculty of eligibility for advancement, promotion, tenure, and review; making recommendations to administration regarding the initial placements of new faculty; conducting five-year reviews; and making recommendations regarding the updating and revision of the *Rank, Tenure, and Promotion Manual* as needed. The members of the RTP Committee are elected by the faculty.

The procedures and policies set forth herein are designed to ensure that all faculty are treated fairly in matters dealing with faculty rank, tenure, and promotion. It is understood that all policies and procedures must be in harmony with the *University Tenure Policy* adopted by the Board of Regents in September 1981 and revised in September 1984, December 1986, June 1993, and December, 2006. (see *Appendix A, page 28*).

II. POLICIES AND PROCEDURES FOR CONDUCTING BUSINESS

A. Composition and Election of the RTP Committee

The RTP Committee is composed of five faculty members. Three members are tenured, and at least two of the tenured faculty are full professors. The other two members are non-tenured, tenure-track. Two are faculty members of the Education Division and two are members of the Psychology Division.

Committee members are elected for two year terms at the end of the academic year on a rotational basis so that each year two or three members will be serving their second year and two or three new members will join the committee. Election to the RTP Committee is by anonymous ballot and by a majority, not a plurality vote. The members of the RTP Committee will meet

and elect the Chairperson at the first meeting of the newly elected Committee (see *Section II.B.1.a.*).

Faculty members who are eligible for *tenure, promotion, or five-year review* may not serve on the RTP Committee during the year in which their case is being considered, except in special circumstances. In those exceptional cases where faculty members are eligible for tenure, promotion, or five-year review and must also serve on the Committee, they must excuse themselves from the deliberation and voting of their case.

B. Committee Policies

1. Officers

- a. *Chairperson.* Only tenured faculty members are eligible to serve as Chairperson. The Chairperson will be elected by a majority vote of the Committee members. In the event that the elected Chairperson must be replaced, the Dean will call a special meeting of the Committee to elect a replacement.
- b. *Secretary.* To elect, rotate, or dispense with the position of secretary will be a decision left to the Committee.

2. Voting Privileges

Only the three tenured faculty members may vote on Recommendations for tenure while all Committee members may vote on recommendations for promotion and other RTP related business.

3. Meetings

- a. *Dates and Locations.* The Chairperson, in consultation with the Committee members, sets the date and location for meetings. Either the Chairperson or secretary notifies members of the date before each meeting.
- b. *Quorum.* A quorum is required to conduct official business, i.e., discussions of initial placement, tenure, promotion, and five-year

review. A quorum of the Committee consists of four Committee members.

c. *Decision-Making.*

- i. For all decisions, a majority vote is required. In the event official business is conducted with a quorum of four members, and a split vote occurs, the Chairperson is responsible for contacting the absent Committee member to reach a majority vote.
- ii. For decisions of tenure, all three tenured Committee members must vote. If only two of the three tenured Committee members are present at the meeting when candidates for tenure are discussed, the Chairperson is responsible for contacting the absent tenured Committee member for his or her recommendations.
- iii. Individuals who are not Committee members may be invited to specific meetings; however, such individuals may not be present when the Committee enters into final deliberation and voting.
- iv. Information which may be considered relevant for decisions of tenure or promotion must come out of the process delineated in the *Tenure Policy of Pepperdine University, Section VII: Dismissal for Cause*. The RTP Committee is not responsible for investigating information obtained through unsolicited sources.

4. Responsibilities of Committee Members

- a. *Representation.* RTP Committee members represent the faculty of GSEP. Communication with the Committee by a faculty member may be initiated by contacting any of the Committee members.

- b. *Recommendation for Initial Placement.* The RTP Committee recommends initial placement of rank, step, and years for prospective faculty members, including merit accelerations for outstanding achievement or contributions in the academic community.
- c. *Verification of Eligibility for Tenure, Promotion, and Five-Year Review.* During the spring semester, the Dean of GSEP and the RTP Committee (generally through the Chairperson) review the eligibility for promotion, tenure, and five-year review of faculty members. The Dean notifies faculty members of their eligibility to apply for promotion and tenure in the following academic year. Copies of these notices are given to the Chairperson of the RTP Committee. This same procedure applies to notifying faculty members scheduled for a five-year review.
- d. *Recommendations for Promotion and Tenure.* The RTP Committee reviews the application materials of faculty members and makes recommendations for promotion in rank and tenure to the Dean of GSEP during the fall semester.
- e. *Five-Year Reviews.* The RTP Committee reviews the five-year review portfolios of faculty who hold tenure and have received the rank of full professor, and provides input to faculty members regarding their performance and growth since their last review. The information is also reported to the Dean. The input to the faculty members and Dean will be provided by the end of the academic year.
- f. *Manual Review and Revision.* Each year the RTP Committee reviews the *Rank, Tenure, and Promotion Manual* and suggests revisions. It presents such recommended revisions to the GSEP faculty for approval no later than the final faculty meeting of the academic year. Upon receipt of faculty approval, the revisions and/or changes are submitted to the Dean of GSEP for review and

action. The proposed changes and/or revisions will then be forwarded to the University administration for final approval.

- g. *Arranging Annual Informational Meeting for Tenure-Track Faculty Members.* Each year, the RTP Committee Chairperson will be responsible for contacting the Dean to arrange for an informational meeting for all tenure-track faculty members (see *Section VIII.B.2*).

5. Professional Conduct

- a. *Conflict of Interest.* As indicated in Section II.A, except under exceptional circumstances, faculty members who are being considered for promotion, tenure, and five-year review may not serve on the RTP Committee. If an RTP matter arises that involves a Committee member, the member will be excused during the deliberations. In the event of a conflict of interest between an applicant and an RTP Committee member, the applicant and/or Committee member may raise the issue with the Dean.
- b. *Confidentiality.* All consideration of specific individuals concerning matters of initial placement, promotion, tenure, and five-year review are confidential; that is, they shall not be discussed by either members of the Committee or those consulted other than with those privileged to have such information. This also means that Committee members may not discuss any information from Committee deliberation with the specific individuals whose cases are under review. Any violation of confidentiality is considered unprofessional conduct and may result in censure of the offending Committee member. The following security procedures are to be followed so as to ensure the confidential treatment of RTP matters.

- i. **Minutes**

The members of the Committee will review and approve the minutes for the previous meeting. All Committee members will retain a copy of the minutes in a secure manner until the end of the academic year, when all hard copies and computer files of the minutes will be destroyed, with the exception of the Chairperson's file copy.
- ii. **Evaluation Forms**

After the Committee reaches a decision on a candidate, it must destroy all Committee evaluations. The peer and administrative evaluations and all supporting materials are turned over to the Dean of GSEP. The Dean forwards the appropriate materials to the Office of the Provost. After final administrative action has been taken on each candidate, the original set of evaluation forms and the faculty data form are retained in the Office of the Dean of GSEP in a sealed envelope.
- iii. **Retiring Committee Members**

At the conclusion of a Committee member's term, he or she gives all files relating to Committee business to the Chairperson. Committee members should delete all computer files and emails related to RTP business.
- iv. **Retiring Chairperson**

When a new Chairperson is elected, the outgoing Chairperson purges his or her files except for the previous year's minutes and the document that relates to the location of faculty on the *Eligibility for Advancement and Promotion Table* (see Appendix B, page 30). These are placed in a sealed envelope and turned over to the newly elected Chairperson.
- c. **Censure.** The committee has the power to recommend to the

Dean of GSEP that one or more of its members be removed from the Committee when a member violates the policies or procedures of the Committee. All Committee members, except the member(s) in question, must vote on this recommendation and the decision must be unanimous among the remaining members.

III. INITIAL PLACEMENT

All prospective tenure-track faculty members must undergo evaluation by the RTP Committee for a recommended initial placement on the *Initial Placement Table* (see *Appendix C-1, page 32*). To aid the Committee in evaluating credentials, all candidates must fill out an *Initial Placement Form* (see *Appendix C-2, page 33*). The candidate obtains this form from the appropriate division Associate Dean and sends it to the Dean of GSEP. The Dean then forwards the file(s) to the RTP Chairperson. Failure to submit this needed information will result by default in a Committee recommendation of the lowest rank or step. The following guidelines ensure that treatment of the faculty in the placement process remains consistent.

A. Guidelines

1. Official evaluation and placement in rank, step, and years of experience are recommended by the RTP Committee to the Dean, with final approval given by the administration.
2. The RTP Committee evaluates candidates for initial placement on the basis of years of experience **and** scholarly activity.
3. In highly exceptional circumstances, such as severe budgetary constraints, a candidate for a faculty position might be offered a position at a rank and step lower than that for which the candidate qualifies according to his or her years of experience and scholarly activity, as outlined in the *RTP Manual*. In all such situations, the RTP Committee and the administration will discuss the matter before the position is offered to the candidate and come to a mutually satisfactory agreement. The situation will be carefully explained to the prospective faculty member. If the candidate chooses to accept the placement and signs the

contract, he or she will then advance according to the normal rules of the *RTP Manual*.

4. Candidates for faculty positions are given an initial placement based on their years of experience **and** scholarly activity as outlined in the *RTP Manual*. Any exception to this principle (e.g., outstanding achievement in one's discipline as in *Section III.B.4*) must be reviewed by both the administration and the RTP Committee before the position is offered to the candidate. The Provost must concur with the exception.
5. The RTP Committee, based on its review of a candidate's materials, will recommend to the Dean of GSEP the initial rank, step, and year at which the candidate should be placed. To ensure that the candidate understands his or her exact placement, initial contracts offered to and signed by successful candidates shall include an attachment specifying the rank, step, and year level of the candidate's placement.
6. To ensure that candidates for faculty positions understand the criteria and procedures used in determining initial placement and future advancement at GSEP, the Dean shall provide all top candidates a copy of the *Initial Placement Table* and the *Eligibility for Advancement and Promotion Table* from the *RTP Manual* upon making an offer for a position.

New faculty members, whose first year at GSEP would normally be the year in which they would be eligible to apply for step or promotion, must wait until their second year to apply. If successful in this application, they will be advanced to the new step and/or rank at the beginning of their third year and will also be credited with one year at the new step.

B. Evaluation of Years of Experience for Initial Placement

1. Full-time college teaching is the only kind of experience that counts one year as one year. Any two semesters, or three quarters of full-time college level teaching may be counted. Every 2 years of part-time college teaching will count as 1 year.

2. In general, two years of related full-time experience, such as secondary or elementary school teaching, school psychology, counseling, or administration is equal to one year of approved experience; two years of full-time employment in an area of psychology is equal to one year of approved experience.
3. No experience prior to the receipt of the doctoral degree may be counted.
4. Outstanding achievement related to the applicant's discipline may be considered for initial placement if applicant has also met requirements for experience and scholarly activity. For example, a candidate who is a Rand Corporation scholar on education policy or an NIMH scholar on mental health issues might qualify as outstanding achievement.
5. After calculating the total cumulative years of experience, one-half of a year is rounded up to the next full year. At least two of the five RTP Committee members should perform the calculations to determine each applicant's initial placement for review by the entire Committee.
6. No more than one year of experience may be granted during a calendar year.

C. Evaluation of Scholarly Activity for Initial Placement

In addition to years of experience, scholarly activity is evaluated for initial placement. Scholarly activity requirements for each rank are specified in *Section V.D.2* of this manual; these same requirements are used as criteria for scholarly activity requirements in initial placement. Candidates who possess the required number of years of experience to be placed at a certain rank, but lack the minimal scholarly activity required for that rank, are placed at the rank for which they are qualified according to their scholarly activity. In other words, their initial placement will be the highest rank, step, and year based on their scholarly activity. Candidates who possess the required scholarly activity to be placed at a certain rank, but lack the minimal years of experience required for that rank, are placed at the rank for which they are qualified according to their years of experience.

IV. STEP ADVANCEMENTS

The Dean notifies faculty members who are eligible for step advancements at the time they receive their annual contracts. Included with the notification is information on the application procedures and materials that are required to apply for step advancement. For faculty members who are eligible for step advancements, the annual reviews conducted by the Associate Deans and an updated *Faculty Data Form* completed by the eligible faculty member (see *Appendix D-1*) are submitted to the Dean, generally in the month of January. The Dean reviews these materials and determines whether or not to recommend the step advancement. Notification of the outcome of the review process is included with the next succeeding year's annual contract. Annual reviews cover the criteria used for tenure and promotion evaluations. These criteria are teaching effectiveness, scholarly activity, service, and support for Christian values.

A faculty member may be advanced only one step at a time (see *Appendix C-1, page 32*), except under merit acceleration considerations (see *Section VIII.A.*). After review, the Dean shall notify the faculty member in writing of his or her decision. If the Dean decides against the step advancement, the faculty member may consult with his or her Associate Dean regarding the decision and plan an appropriate course of action in response to the decision. If a faculty member is denied step advancement, he or she forfeits that year for purposes of future advancement considerations. Thus, if a faculty member is denied step advancement one year but is successful in a subsequent year, he or she must remain at the new step for the number of years specified in the RTP Manual before becoming eligible to apply for further advancement.

V. PROMOTIONS IN RANK

A. Eligibility

A faculty member is eligible for a promotion in rank when he or she has met the faculty rank criteria stated in the *Initial Placement Table* (see *Appendix C-1, page 32*) or the *Eligibility for Advancement and*

Promotion Table (see *Appendix B, page 30*). The candidate must have completed a full year of teaching at GSEP before applying for promotion in rank. Those who have attained eligibility are notified by the Dean. This notification will be included in the packet that contains the faculty member's annual contract. The Dean also notifies the RTP Committee Chairperson of those who are eligible. If a faculty member fails to apply for promotion when eligible, or if a faculty member applies but is denied promotion, he or she forfeits that year for future promotion considerations.

B. Application Procedures

Faculty members who are eligible and wish to apply for promotion must notify the Dean in writing that they intend to apply, and the Dean, in turn, will notify the RTP Committee Chairperson of the candidates who intend to apply. The candidate must then complete the *Faculty Data Form* (see *Appendix D-1, page 36*) and supply the necessary supporting documentation for all areas of evaluation.

C. Application Materials

Electronic copies of the Faculty Data Form should be sent to the Dean. When possible, supporting materials should be copied into pdf files and sent to the Dean. Two hardcopy sets of the application materials are required. Each set of the materials should be presented in a binder with a table of contents that is divided into the following sections:

- Completed *Faculty Data Form*
- Supporting documentation for Teaching Effectiveness such as course syllabi, curriculum outline, notes/handouts, and other relevant instructional materials. A separate section may be included for each course taught.
- Supporting documentation for Scholarly Activity such as copies of published articles, books (at least the title page and table of contents for

lengthier volumes), papers presented at professional conferences, optical or magnetic products, etc.

- Any additional supporting documentation that the faculty member wishes to submit in support of his or her application, e.g., letters of support from colleagues at other universities or other professionals who are familiar with his or her work.

The two sets of application materials should be submitted to the Dean's office where they will be kept in a secure manner. The materials are usually due in the Dean's office in mid-October, but eligible candidates should use the date indicated on the memo sent by the Dean that notifies them about the review process.

D. Areas of Evaluation

The candidate for promotion in rank is evaluated in each of the following areas:

1. Teaching Effectiveness

Teaching effectiveness includes competence of the instructor in classrooms and in the supervision of individual projects, research, and field work. The candidate must describe how he or she prepares students for working with diverse populations in the community. Furthermore, the candidate must also address how he or she assesses student learning. In other words, how does the faculty member attempt to ascertain if the course objectives are being met for each of his/her students? Since the Committee regards excellence in teaching to be of prime importance, teaching effectiveness will be given greater weight than any of the other performance areas.

2. Scholarly Activity

Scholarly activity includes those activities that demonstrate the achievement and dissemination of knowledge which advance the fields of education and/or psychology and support the primary function of teaching. Scholarly activities clearly assist the faculty member in his or

her own professional growth, and additionally result in some product that advances the profession as well as enhances the reputation of the School and the University. Examples of such activities are listed below. Except for a, b, and c, the examples of activities are not listed in order of importance or weight.

For purposes of promotion consideration, the following requirements apply:

- i. *Associate Professor*. Criteria considered as necessary are three scholarly activities within the past six years, with at least one from categories a or b. In addition, considerations of quality are essential in the evaluation process.
 - ii. *Professor*. Criteria considered as necessary are five scholarly activities within the last eight years, with at least three from categories a or b. In addition, considerations of quality are essential in the evaluation process.
- a. *Publication of articles* as author or co-author in peer reviewed journals that target professionals in education, psychology, or related fields. The publications must make a contribution to training/education, practice, and/or research.
 - b. *Publication of professional books* as editor or co-editor or the publication of professional books or chapters as author or co-author in education, psychology, or other related fields (e.g., social policy, forensics, public health, etc.). The books themselves or the edited volumes in which the faculty member has a chapter must have undergone an independent review by peers and/or acquisition editors of publishing corporations. Books may be written for the following audiences: students, clients, teachers, therapists, parents, administrators, school board members, and colleagues from diverse professional disciplines.

- c. *Delivery of papers, posters, and panels* at local, state, regional, or national conferences of professional groups.
- d. *Presentations* to knowledgeable public groups.
- e. *Development of a new academic program, development of a substantial number of new courses, and/or development of a structural model for a course* for dissemination to other instructors. Such program development activities should comply with state and/or accreditation standards.
- f. *Significant contribution to the development of optical or magnetic products* such as software, audio, video, laser disc, or CD-ROM.
- g. Consideration is given to areas such as instructional design, purpose, use in an instructional setting, and effectiveness.
- h. *Service on editorial and/or review boards* for journals and professional books.
- i. *Publication in the fields of education and psychology* that appear in the mass or popular media, such as an editorial or articles in general audience magazines, newspapers, or professional newsletters.
- j. *Participation in colloquia or panels* at one's own or other institutions.
- k. *Professional achievement that leads to and/or results in significant advancement in one's profession.* Such achievement would include presentations to one's colleagues and some form of associated peer review. Examples would include the diplomate in psychology (ABPP) and advanced formal training.
- l. *Scholarly activities of a broadly based professional nature* that are within the faculty member's specialty discipline, including consultantships, grant applications, and/or contracted services that produce a written report.

3. Service

- a. *Professional Services.* Professional service includes advisory and consultative positions of recognized stature; active participation in local, state, regional, and/or national professional organizations; and holding Committee membership at national, regional, state, or local level.
- b. *Graduate School of Education and Psychology and University Service.* Graduate School of Education and Psychology and University service includes Committee work at the division, School, and/or University level as well as administrative responsibility and program development.
- c. *Community Service.* Community service is demonstrated by active participation in religious, civic, or other nonprofit organizations, as well as service in speaker's bureaus,

4. Support for Christian Values

The candidate is expected to display a consistent pattern of support for generally accepted Christian values and the mission of Pepperdine University (see the Pepperdine University Mission Statement printed in the *Faculty Handbook, page 2*). Candidates are expected to actively participate in a community of faith. If possible, the candidate is encouraged to discuss the integration of faith and learning in the classroom.

E. Evaluation Sources

The evaluation forms provided for peers, the Associate Dean, and RTP Committee members assess the candidate in the four areas of teaching effectiveness, scholarly activity, service, and support for Christian values and the mission of Pepperdine University. Rating scales are provided for the first three areas. They are patterned in the following fashion:

Poor Marginal Adequate Good Very Good Outstanding

Please comment:

For the fourth area, support for Christian values, peer evaluators, the Associate Dean, and members of the RTP Committee are asked to comment on the candidate's standing without using a scale.

1. Peer Evaluations

The candidate in conjunction with the Dean and the Chairperson of the RTP Committee selects five "peers" from among the GSEP tenured and tenure-track faculty members to evaluate him or her. These peer evaluators should be conversant in the field of the person to be reviewed. Members of the RTP Committee cannot serve as peer evaluators. It is recommended that at least one of the peer evaluators be from the division other than the one to which the candidate belongs. The colleagues selected to serve as peer evaluators review the *Faculty Data Form* <http://www.pepperdine.edu/provost/policies/> and supporting documentation of teaching effectiveness, scholarly activity, and any additional materials that support the candidate's application. After reviewing all materials, the evaluators will complete the *Peer Evaluation Form* <http://www.pepperdine.edu/provost/policies/> and submit the completed form to the Dean's office. Peer evaluations are reviewed by members of the RTP Committee and the Dean. These evaluations may be sent to the Provost if he or she requests the material. They are not viewed by the candidate.

Peer evaluators may be requested to appear before the RTP Committee for the purpose of clarifying evaluations, but evaluators are not requested to justify their evaluations. When designated a peer evaluator, a person should recognize that it is both a compliment and a responsibility that carries the obligation of providing an honest and impartial evaluation. Both the strengths and weaknesses of the candidate should be reviewed with an eye toward positive recognition and also feedback on weaknesses for further growth opportunity.

2. Student Evaluations

The Associate Dean provides the Dean's office with a summary of all student evaluations for the candidate during the period at which the candidate has been at the present rank as well as have available the course evaluation forms for the courses taught over the last 3 years. The RTP Committee may request, from the appropriate Associate Dean, any or all student evaluations and/or computerized summaries from the time the candidate commenced teaching at the University.

3. Supervisor Evaluation

After reviewing all materials provided by the candidate, the appropriate Associate Dean completes the *Supervisor's Evaluation Form* (see <http://www.pepperdine.edu/provost/policies/>) and submits this completed form to the Dean's office. The supervisor's evaluation of the candidate is reviewed by members of the RTP Committee, the Dean, the Provost, and the President. It is not viewed by the candidate.

4. Committee Evaluation

After Committee members have reviewed the candidate's application materials, peer evaluations, teaching evaluations, and supervisor evaluation, each member evaluates the candidate by completing the *Committee Member's Evaluation Form* (see Appendix D-5, page 37).

The Committee as a group then reviews the forms of all Committee members and makes a recommendation regarding the candidate's application.

All *Committee Members' Evaluation Forms* are destroyed after the Committee has concluded its deliberations. These forms are provided for expediting the decision process of the Committee and are disclosed only

to the Committee. This provision safeguards the confidentiality of the vote of the Committee members.

After deliberation and voting on whether or not to recommend the candidate, the Chairperson of the Committee writes a summary letter to the Dean that delineates the Committee's assessment of the candidate in the areas of teaching effectiveness, scholarly activity, service, and support for Christian values as well as the Committee's recommendation. This letter is approved by the other members of the Committee prior to being forwarded to the Dean. The Chairperson will maintain a copy of the letter forwarded to the Dean in a secure manner until the end of the academic year, at which time, it will be destroyed. The letter from the RTP Committee is forwarded by the Dean to the Provost.

5. Dean's Evaluation

The Dean conducts his or her independent review of the candidate's application materials, evaluations from peers and the Associate Dean, and the summary letter submitted by the RTP Committee. The Dean then writes a letter with his or her recommendation that is forwarded to the Provost along with the candidate's *Faculty Data Form* (see <http://www.pepperdine.edu/provost/policies/>), the evaluation of the Associate Dean, and the summary letter of the RTP Committee. The Dean will meet with the candidate to provide him or her feedback from the GSEP review process as soon as it is feasible.

6. Evaluation Process After Candidate's Application Leaves GSEP

Promotion can be denied at the internal level if both the RTP Committee and Dean recommend against promotion. If the outcome of the independent reviews by the RTP Committee and the Dean is a split decision, the candidate's materials are still forwarded to the Provost and

President. The Provost and President review all candidates for promotion and make the decision as to whether or not to grant the promotion.

See *Appendix D-6 page 39* for the flowchart of the promotion process.

F. Candidate Notification

Each candidate for promotion will be notified of his or her status in writing prior to the issuance of the next succeeding year's faculty contract.

Candidates who are successful in their application for promotion will be notified by the University administration. Candidates who are unsuccessful will be notified by the Dean of the School. The Dean will meet with a candidate who has not been recommended for promotion and counsel the individual. The Dean and candidate, together, will set goals so that the candidate may understand what he or she must do to improve his or her performance prior to reapplying for promotion.

VI. TENURE

A. Eligibility

A faculty member will be reviewed for tenure when he or she has met the criteria stated in the *Tenure Policy* of Pepperdine University (see <http://www.pepperdine.edu/provost/policies/>). Faculty will normally apply to be reviewed for tenure during the sixth year of service in a probationary appointment. In the event of failure to apply for tenure or if tenure is not granted, the seventh year will be the terminal year. Tenure review, however, may be deferred to the seventh year if, prior to making recommendation with respect to the granting of tenure, the school tenure committee or the Dean recommends deferment and the faculty member and the Chief Academic Officer concur. In any event, the seventh year will be the terminal year if tenure is not granted, except under the circumstances described in section VIC of the *Tenure Policy Statement*.

Those who have attained eligibility are notified by the Dean. The

notification will be included in the packet that contains the faculty member's annual contract. The Dean also notifies the Committee Chairperson of those faculty members who are eligible. In the event of exceptional circumstances, the faculty member may request to postpone the tenure review for one year if approved by the Provost, the Dean, and members of the RTP Committee.

Section V.A of the *Tenure Policy Statement* states that "ordinarily there is no early tenure unless the faculty member has previous service elsewhere at a comparable professional level. In situations involving such prior service, the prospective faculty member and the University may agree in writing at the time of appointment on the length of the probationary period and the time of tenure review. Section V.E states that a faculty member may request an early tenure review by setting forth the case for early review in writing to the Dean. If the Dean and the RTP committee recommend early review and the Chief Academic Officer concurs, early review will be granted. If the early tenure review does not result in granting of tenure, the following year will be the terminal year unless the Dean and RTP recommend an additional review, and the Chief Academic Officer concurs.

B. Application Procedures

The candidate for tenure must complete the *Faculty Data Form* (see <http://www.pepperdine.edu/provost/policies/>) and supply the necessary supporting documentation for all areas of evaluation.

C. Application Materials

Electronic copies of the Faculty Data Form should be sent to the Dean. When possible, supporting materials should be copied into pdf files and sent to the Dean. Just as is the case with applications for promotion in rank, two hardcopy sets of the application materials are required for the tenure process. The materials and method of presentation required for the tenure application are the same as those required for promotion (see *Section V.C*).

D. Areas of Evaluation

The candidate for tenure is evaluated in the same four areas that are considered for promotion in rank (*see Section V.D.1-4*).

In the area of scholarly activity, faculty who apply for tenure will be evaluated at the rank they have attained at the time of application (*see Section V.D.2*).

For example, if a faculty member is an Associate Professor when he or she applies for tenure, he or she will be evaluated in terms of the scholarly activity criteria stated for Associate Professor. If the faculty member is a Professor, he or she will be evaluated in terms of the scholarly activity criteria stated for Professor. Furthermore, tenure applicants at the rank of Assistant Professor will be evaluated using the scholarly activity criteria stated for Associate Professor.

E. Evaluation Sources

1. Peer, Student, Associate Dean, and RTP Committee Evaluations

The evaluation forms provided to peers, the Associate Dean, and RTP Committee members are the same as those forms used in the evaluation for promotion in rank (*see Section V.E*).

The procedures for peer evaluations, obtaining data from student evaluations, supervisor (Associate Dean) evaluation, and RTP Committee member evaluations that are delineated for promotion in rank are also followed for a candidate's tenure review (*see Section V.E.1-4*).

2. Dean's Evaluation

As is the case for promotion in rank, the Dean conducts his or her independent review of the candidate's application materials, evaluations from peers and the Associate Dean, and the summary letter submitted by the RTP Committee. The Dean then writes a letter with his or her recommendation that is forwarded to the University Tenure Committee along with the candidate's *Faculty Data Form*,

the evaluation of the Associate Dean, and the summary letter of the RTP Committee. The Dean will meet with the candidate to provide him or her feedback from the GSEP review process as soon as it is feasible.

3. Evaluation Process After Candidate's Application Leaves GSEP

The candidate for tenure undergoes a review by the following University bodies if he or she was not denied tenure by the RTP Committee and Dean.

1. University Tenure Committee.
2. President and Provost.
3. Board of Regents, which is composed of the following subcommittees:
 - a. Academic Affairs.
 - b. Religious Standards.

Tenure can be denied at the internal level only if the RTP Committee **and** Dean recommend against tenure. If the outcome of the independent reviews by the RTP Committee and the Dean result in a split decision, the candidate's application materials are still forwarded to the University Tenure Committee for review. Please refer to the *University Tenure Policy* (see <http://www.pepperdine.edu/provost/policies/>) for what transpires once the candidate's application materials leave GSEP.

See *Appendix D-6 page 39* for the flowchart of the tenure process.

F. Candidate Notification

Each candidate for tenure will be notified of his or her status in writing prior to the issuance of the next succeeding year's faculty contract. Candidates who are successful in their application for tenure will be notified by the University administration. Candidates who are unsuccessful will be notified by the Dean of the School. The Dean will meet with a candidate who has not been recommended for tenure and counsel the individual. The

individual will have one additional year prior to his or her University service being terminated. According to the *University Tenure Policy* (see section V.D.) if Tenure is deferred, the seventh year will be the terminal year if Tenure is not granted.

VII. FIVE-YEAR REVIEW

The *Tenure Policy Statement* of Pepperdine University (see <http://www.pepperdine.edu/provost/policies/>)

VI.D states:

All faculty with tenure will be subject to a thorough review of performance every five years by the tenure committees of the schools. This review will serve to identify areas of strengths and weaknesses of faculty performance and to identify means to improve that performance.

In accordance with this requirement, the following will serve as guidelines for the five-year review of tenured faculty members at GSEP.

A. Eligibility

All faculty members who hold tenure, have received the rank of full professor within GSEP, and are assigned to teaching will undergo a five-year review. However, in order to avoid duplication of review processes, tenured faculty members who have not yet reached the rank of full professor are not subject to a five-year review if they apply for promotion within the normal years of movement from one rank to the next. Faculty members who choose to remain at a rank for longer than five years when this length of time is not required, according to the *Eligibility for Advancement and Promotion Table*, will also be subject to a review at the end of five years. Tenured faculty members eligible for a five-year review will be notified by the Dean in the Spring of the year prior to review. Five-year reviews for faculty members who are full-time administrators, i.e., Associate

Deans and Dean, are suspended until they are reassigned to full-time teaching. During one's tenure as a full-time administrator, the review process for Associate Dean is overseen by the Dean, and the review process for the Dean is overseen by the Provost.

B. Portfolio Materials

Faculty members under review will demonstrate how they have maintained acceptable performance since their last review. They will do so by creating a **portfolio** reflecting their performance or growth and development in the critical areas of teaching, scholarly activity, and service. They will also describe their continued support of Christian values and the mission of the University. **Portfolio** is broadly defined to include any related materials. Its purpose is to provide the vehicle for faculty to illustrate their accomplishments in an individualized fashion. One set of review materials is required. The portfolio should include the version of the *Faculty Data Form* labeled "Five-Year Evaluation of Tenured Faculty" (see *Appendix D-2, page 36*). All faculty are also required to address how they prepare students for working with diverse populations in the community. Furthermore, the candidate must also address how he or she assesses student learning. In other words, how does the faculty member attempt to ascertain if the course objectives are being met for each of his/her student? The Associate Dean of the division with which the faculty member is affiliated will be requested to submit a summary of the candidate's teaching evaluations.

Although faculty should demonstrate performance or growth and development in the three areas of teaching, scholarly activity, and service, and describe continued support for Christian values, they may wish to focus, in large part, on one area. For example, they may choose to illustrate creative work in technology or a facet of clinical work. A faculty member may also elect to write a more broadly defined personal reflections paper in which he or she contemplates his or her career achievements and future aspirations. They should keep in mind, of course, that since Pepperdine is principally a teaching

institution, the areas of teaching and scholarly activity are of primary importance in demonstrating performance or growth and development.

The portfolio may be as simple as a binder containing relevant materials or embody a more elaborate design as long as it contains materials that fall within the critical areas used to evaluate faculty performance.

Faculty who are submitting five-year review materials will be excused from the annual administrative review conducted by the Associate Deans. Peer reviews are not required; they are optional.

C. Evaluation Process

The process will be an in-house faculty review; that is, faculty will conduct the review through their elected RTP Committee. The RTP Committee will review the materials submitted and determine whether or not they demonstrate acceptable performance or growth and development on the part of the faculty member. The Committee Chairperson will write a letter that summarizes the the outcome of the Committee's review. The letter will be approved by the other Committee members prior to forwarding it to the faculty member and the Dean, before the end of the academic year.

VIII. SPECIAL AREAS OF CONSIDERATION

A. Merit Acceleration

In order to recognize excellence in the academic community, the RTP Committee follows a procedure whereby faculty may progress through the academic ranks more rapidly than normal progression as shown on the *Eligibility for Advancement and Promotion Table* (see *Appendix B, page 29*). This procedure, called a "merit acceleration," involves a reduction of one year from the length of time normally spent at a particular step as stipulated by the *Eligibility for Advancement and Promotion Table*. To receive a merit acceleration, a faculty member must be judged by the RTP Committee to have achieved an exceptionally high ranking in the four areas of evaluation: teaching effectiveness, scholarly activity, service, and support for generally

accepted Christian values and the mission of Pepperdine University. A faculty member may be nominated for this high honor in any one of the following ways:

- By the faculty member's Associate Dean or the Dean
- By a colleague in GSEP
- By the faculty member himself or herself

Using the established procedure for tenure and rank increases, the RTP Committee then makes a thorough evaluation of each candidate before a final decision is reached. Faculty members may be accelerated through the *Eligibility for Advancement and Promotion Table* no faster than a one-year reduction at each step position with approval of the Provost.

B. Support of Tenure-track Faculty

1. Annual reviews of tenure-track faculty members should be conducted by the Associate Dean. The faculty member should be given feedback using guidelines from the *RTP Manual* to prepare him or her for future promotion and tenure evaluation. The Committee recommends that a form similar to the *Supervisor's Evaluation Form* be used for this purpose.
2. An annual informational meeting held early in the Spring semester will be conducted for tenure-track faculty by the Dean, Associate Deans, Provost, members of the RTP Committee, and when possible, recent successful candidates for tenure.

C. Pre-tenure-track Faculty Appointments

In the event there is interest in hiring someone who has not yet completed his or her doctorate degree, the faculty and Associate Dean of the division in collaboration with the Dean may make an administrative decision to hire the individual into a pre-tenure-track position with the condition that the position will change over to one that is tenure-track with the completion of the doctorate within a predetermined period of time. The starting rank will be

Assistant I: Section IIIB3 states that no experience prior to the receipt of the doctoral degree may be counted.

APPENDIX

APPENDIX A

UNIVERSITY TENURE POLICY STATEMENT

<http://www.pepperdine.edu/provost/content/TenurePolicy.pdf>

APPENDIX B

ELIGIBILITY FOR ADVANCEMENT AND PROMOTION TABLE



Eligibility for Advancement and Promotion Table		
Rank	Step	Years at Step
Assistant Professor	1	2
	2	2
	3	3
Associate Professor	1	2
	2	2
	3	4
Professor	1	3
	2	3
	3	N/A
Distinguished Professor		N/A
Notes:		
1. The rank, step and year of initial placement become the basis for eligibility for advancement and promotion.		
2. Candidates eligible for advancement or promotion during their first year of employment are evaluated in their second year, and if granted the advancement or promotion are credited a year of service at the new step or rank.		

APPENDIX C

INITIAL PLACEMENT

- 1. Initial Placement Table**
- 2. Initial Placement Form**

Initial Placement Table		
Rank	Step	Years of Experience
Assistant Professor	1	0, 1
	2	2, 3
	3	4, 5, 6
Associate Professor	1	7, 8
	2	9, 10
	3	11, 12, 13, 14
Professor	1	15, 16, 17
	2	18, 19, 20
	3	21+
Distinguished Professor		Distinguished Contribution
Notes:		
1. All Candidates must possess an earned doctorate.		
2. Initial placement is determined by years of experience and scholarly accomplishments according to the Rank, Tenure and Promotion Manual; and is specified according to rank, step and years within step.		
3. The dean may appoint individuals with outstanding accomplishments to the rank of Distinguished Professor.		

INITIAL PLACEMENT FORM

INSTRUCTIONS:

Translate information from your background into the specific categories below. Be brief and to the point, but thorough. This form is also available in computer format. Please contact the Dean's Office if you wish to use a computer to complete this form.

A. EDUCATION SUMMARY

Summarize your education, listing each school and dates attended, degrees conferred, major, and date on which you received your degree. Begin with the most recent, and skip a line between entries.

Example: Education Summary

<i>Pepperdine University</i>	<i>9/90 - 5/95</i>	Doctor of Psychology, Psy.D.	<i>May, 1995</i>
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EDUCATION SUMMARY

UNIVERSITY	DATES ATTENDED	DEGREE(S) CONFERRED	DATE DEGREE(S) CONFERRED

B. EMPLOYMENT SUMMARY

Please respond by translating your post-doctoral employment history into specific academic year blocks. It is important to indicate the number of hours per week formally required by each position. (As a rule: 40 hours = full time, 20 hours = half-time, etc.). For courses taught, indicate the number of units and either semester, trimester, or quarter system. Proceed in reverse chronological order, beginning with the most recent academic year and be specific in your description of duties.

Example: Employment after obtaining doctorate

1998 - 1999	Pepperdine University Faculty	9/98 to 9/99	FT	Taught 24 trimester units
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EMPLOYMENT AFTER OBTAINING DOCTORATE

YEAR	POSITION	DATES	F/T or P/T	DUTIES

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- C.** IF APPLICABLE, PLEASE NOTE ANY OUTSTANDING ACHIEVEMENTS, SUCH AS MERITORIOUS PROMOTIONS, RECOGNITIONS, AWARDS, AND SIGNIFICANT FELLOWSHIPS.

- D.** PLEASE ATTACH YOUR RESUME AND ANY OTHER MATERIAL THAT MIGHT BE OF INTEREST TO THIS COMMITTEE.

Thank you,
Rank, Tenure, and Promotion Committee

APPENDIX D

FORMS RELATED TO PROMOTION AND TENURE

- 1. Faculty Data Form**
<http://www.pepperdine.edu/provost/policies/>
- 2. Five Year Evaluation of Tenured Faculty**
<http://community.pepperdine.edu/gsep/faculty/forms.htm>
- 3. Peer Evaluation Form**
<http://www.pepperdine.edu/provost/policies/>
- 4. Supervisor's Evaluation Form**
<http://www.pepperdine.edu/provost/policies/>
- 5. Committee Member's Evaluation Form**
- 6. Flowchart of Rank, Tenure, and Promotion Process**

**COMMITTEE MEMBER'S EVALUATION FORM
GSEP**

This form should be completed by each committee member. Four performance areas of the candidate shall be evaluated: teaching effectiveness, scholarly activity, service, and support for generally accepted Christian values and the mission of Pepperdine University. The form should be filled out based on the committee member's review of all evaluation forms provided the committee and the committee member's own evaluation of the candidate in the four performance areas.

Name of candidate _____ Date _____

Application for tenure in _____/promotion to _____

Respondent's name _____ Signature _____

Respondent's title _____

I. TEACHING EFFECTIVENESS (TE)

Poor Marginal Adequate Good Very Good Outstanding

Please comment:

II. SCHOLARLY ACTIVITY (SA)

Poor Marginal Adequate Good Very Good Outstanding

Please comment:

COMMITTEE MEMBER'S EVALUATION FORM PEPPERDINE UNIVERSITY

III. SERVICE

Poor Marginal Adequate Good Very Good Outstanding

Please comment:

IV. SUPPORT FOR CHRISTIAN VALUES AND THE MISSION OF PEPPERDINE UNIVERSITY (SFV)

Poor Marginal Adequate Good Very Good Outstanding

Please comment:

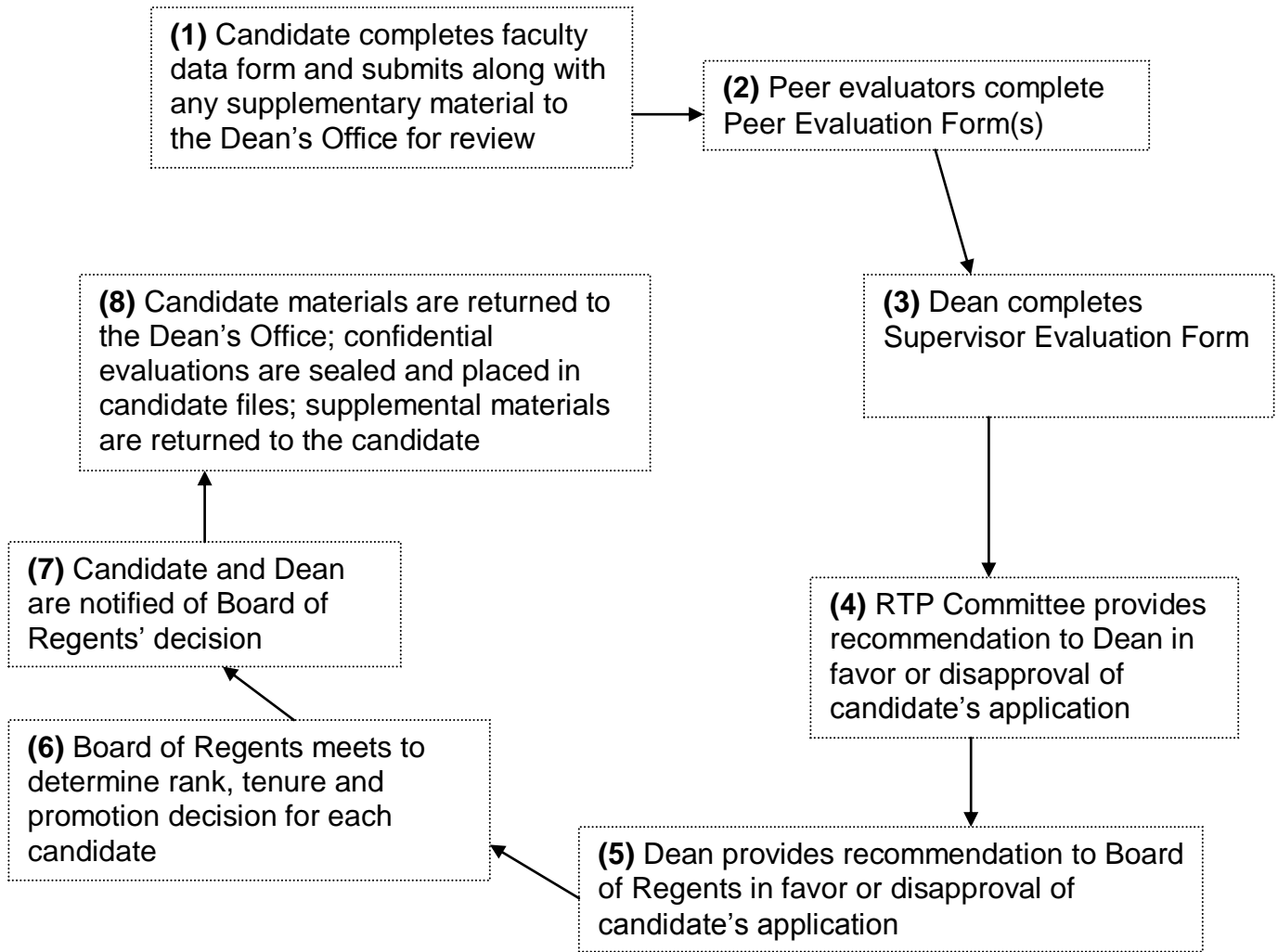
Flowchart of Rank, Tenure, and Promotion Process

Month	RTP Committee and Dean	Faculty
January	Dean's Executive Assistant forwards Five-Year Review electronic materials to RTP members.	<p>Five year review applications DUE: last Monday in January</p> <p>Data form and supplemental materials are sent electronically to Dean. Notebooks with supplemental material are placed in office of Dean's Executive Assistant</p>
February	<p>RTP Chair attends University Tenure Committee meeting in Malibu</p> <p>RTP Chair attends informational meeting for tenure-track faculty</p> <p>Committee reviews applications for 5 year review and prepares letters</p> <p>Committee reviews RTP manual and prepares recommendations for March meeting</p>	<p>Informational meeting for nontenured tenure-track faculty</p>
March	<p>Faculty Meeting: (3rd Tuesday of March)</p> <p>Committee presents recommendations to change RTP manual to the faculty.</p> <p>RTP sends letters regarding 5 year review to both faculty member and Dean.</p>	<p>Faculty Meeting: (3rd Tuesday of March)</p> <p>Election of RTP committee for next year 3 tenured (2 Full Profs) 2 tenure-track At least 2 from each division;</p> <p>Step increase application submitted to Dean (RTP committee not involved). Faculty can request "merit acceleration" to reduce the number of steps between promotions.</p>
March-April		<p>Notification of tenure and promotion decisions</p> <p>Candidates are notified in writing of tenure and promotion decisions prior to issuance of next year's contract. Dean will meet with unsuccessful candidate to counsel and set goals.</p> <p>Unsuccessful candidates for tenure have</p>

Month	RTP Committee and Dean	Faculty
		<p>30 calendar days to file a written grievance contesting nonrenewal of contract.</p> <p>Faculty requesting early or deferred tenure review should arrange a meeting with the Dean.</p>
May -July	<p>If there are new hires, the outgoing RTP committee meets to recommend initial placement.</p> <p>Newly elected committee elects Chair – must be tenured.</p> <p>Incoming Chair meets with Dean and reviews eligibility of faculty for tenure, promotion, and 5 year review.</p> <p>Dean requests approval of peer reviewers from Incoming Chair.</p>	<p>Packet with new contract contains notification of eligibility for promotion or tenure review. Faculty member must reply in writing, stating intention to apply.</p> <p>Dean and candidate select 5 peer reviewers, at least one from the other division.</p> <p>Packet with new contract contains notification of requirement to submit Five-Year Review application next year.</p>
September	<p>First meeting of academic year. Election of secretary is optional. Dean attends and reviews coming year.</p> <p>Committee establishes agenda and schedules meetings for academic year.</p>	
October	<p>Receive 1st Friday of October</p> <ul style="list-style-type: none"> • Faculty data form • Binder of supplemental material <p>Available 4th Monday of October</p> <ul style="list-style-type: none"> • Peer review evaluations • Associate dean evaluation • 3 years of student evaluations <p>All electronic materials forwarded by Dean's Executive Assistant to all RTP committee members.</p> <p>RTP committee begins review of applications for tenure and promotion, using the following materials:</p>	<p>Applicants for tenure or promotion (or both) submit materials: DUE: 1st Friday of October</p> <p>Data Form and supporting materials are sent electronically to Dean,</p> <p>2 copies of binders with supplemental material are submitted to Dean's Executive Assistant.</p> <p>Evaluators submit materials: DUE: 4th Monday of October</p> <p>Peer Reviewers send their evaluations electronically to the Dean.</p>

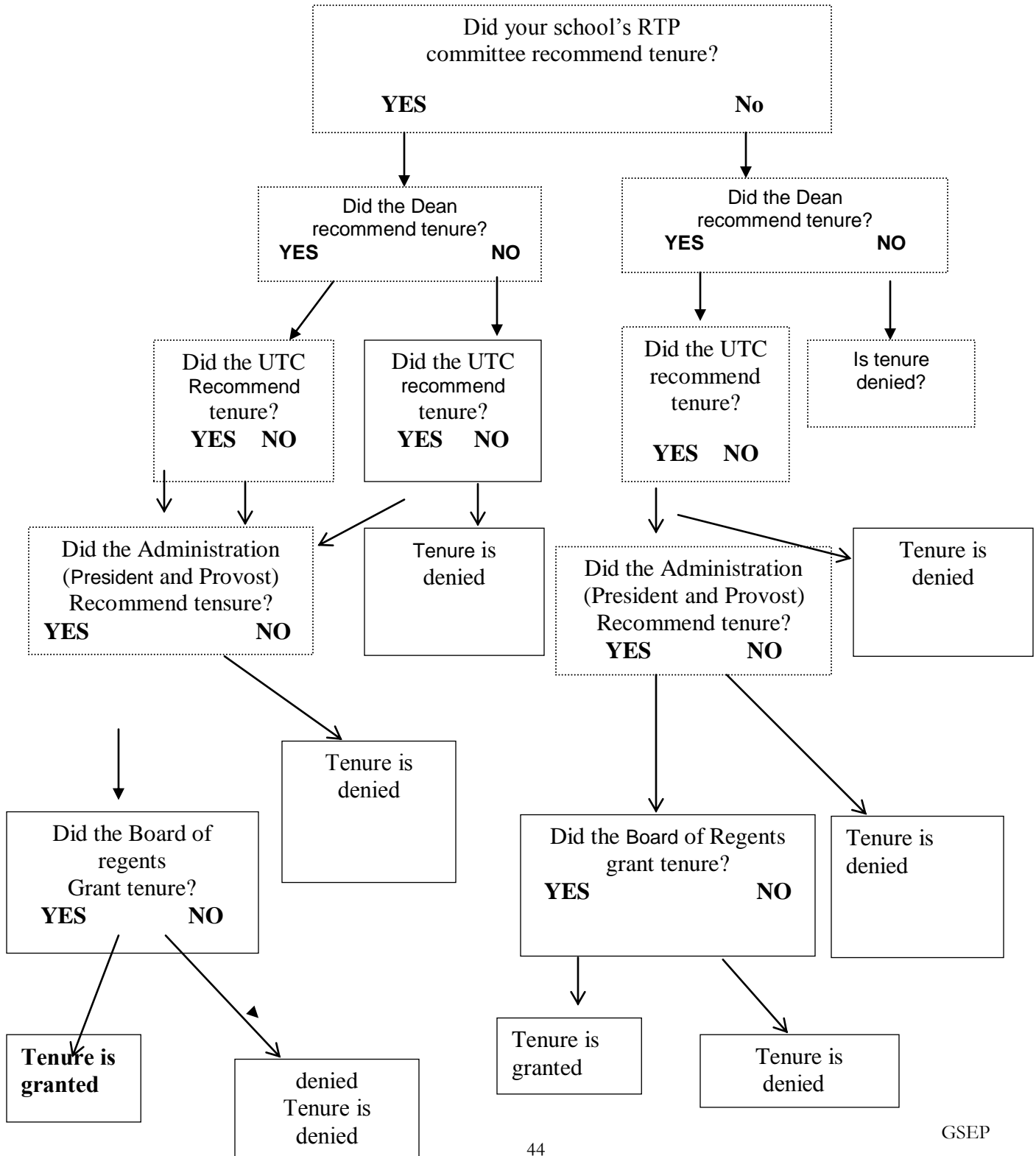
Month	RTP Committee and Dean	Faculty
		<p>The Associate Deans send their evaluations of the candidates to the Dean electronically.</p> <p>Associate Deans provide 3 years of student evaluations to Dean.</p>
November	<p>Committee completes review of materials.</p> <p>Committee votes on promotion and tenure. 4 members must be present. Decisions are made by majority vote. 5th member, if absent, will be contacted to break a tie. Only tenured faculty vote on tenure decisions.</p> <p>Letters with recommendations are prepared and approved by the committee.</p> <p>Dissenting member(s) may submit a separate letter.</p> <p>Chair sends letters to Dean DUE: Monday before Thanksgiving</p>	
Early December	<p>Dean conducts her review, prepares letter.</p> <p>If <i>either</i> the committee or Dean approve the application for tenure, the Dean sends the RTP letter, along with her own letter and Associate Dean evaluations, to the Provost. If <i>neither</i> approve, then materials do not get sent to Malibu.</p> <p>If <i>either</i> the committee or Dean approve the application for promotion, the Dean sends the RTP letter, along with her own letter and Associate Dean evaluations, to the Provost. If <i>neither</i> approve, then materials do not get sent to Malibu.</p> <p>Dean meets with candidates for promotion and tenure to give feedback before holidays.</p>	<p>Dean meets with candidates for promotion and tenure to give feedback.</p>

SUMMARY OF RANK, TENURE AND PROMOTION PROCESS



Additional notes: In general, an RTP application includes the following: Faculty Data Form; Peer Evaluation Form(s); Supervisor's Evaluation Form; RTP Committee recommendation for rank, tenure and promotion; summary of course evaluations; and any other supplementary material the candidate wishes to contribute. The Board of Regents does NOT review supplemental materials and Peer Evaluation Form(s) in conjunction with the RTP application decision. In the event that the candidate is not recommended for promotion and/or tenure, the Dean will counsel the candidate and review his or her professional goals.

THE TENURE REVIEW PROCESS



APPENDIX E

PROVOST POLICY STATEMENTS

<http://www.pepperdine.edu/provost/policies/>