Appendix A

Process and Format for Assembling 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 Belk College and the University in evaluating his or her request. This Appendix describes the procedures the candidate for reappointment, promotion, or tenure must follow when assembling the dossier and describes the format for the 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.

Administrative Support

The Associate Dean for Faculty and Research (ADFR) does not vote on any RPT decision. As such, the ADFR 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 ADFR directly.

A candidate’s RPT dossier must follow the standard Belk College format. The ADFR’s office shall provide administrative and logistical support for faculty members that are assembling dossiers, including providing to all candidates the materials necessary to assemble a dossier that is in compliance with this document. These materials shall include all needed binders, tab-files, electronic media, and other assorted supplies. The ADFR’s office shall be responsible for photocopying of the candidate’s dossier and for distribution to external and internal reviewers. The ADFR’s office shall maintain the original copies of all documents that constitute the dossier.

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.

It shall be the responsibility of the ADFR 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 following guidelines.
April 15 – Meeting with potential RPT applicants

Between April 1st and April 15th of each academic year the ADFR 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 pursuing 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.

May 15 – Dossier Kits Available to Faculty

By no later than May 15th, or the first business day afterwards if May 15th falls on a weekend, the ADFR shall have available for candidates a kit for use in assembling their dossiers. This kit will contain instructions, a binder, pre-labeled tab folders, and electronic media.

July 1 – Selection of External Reviewers

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 ADFR.

July 10 – Materials for External Review Due to ADFR

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 shall submit to the ADFR those materials to be sent to the external reviewers. By that same date the Department Chair shall submit to the ADFR standard external reviewer letters (see Belk College “Standardized External Review Letters” policy.) These standard review letters should request that each reviewer complete his or her evaluation by no later than September 1st. The ADFR’s office shall have the materials copied and prepared for distribution to the external reviewers. The ADFR’s office will keep the original materials, but will return clearly identified copies to the candidate.
July 17 – Materials Sent to External Reviewers

For those cases that College and/or University policy require external review, by no later than July 17th, or the first business day afterwards if July 17th falls on a weekend, the ADFR shall send to the external reviewers the research portion of the candidate’s dossier.

September 1 – Complete Dossiers Due

Candidates must submit completed dossiers by no later than September 1, or the first business day afterwards if September 1st falls on a weekend. The ADFR’s office shall then have copies of the complete dossier made. The candidate will be given one copy of the completed dossier. The original dossier shall remain in the ADFR’s office.

September 10 – Dossier Available to DRC and Department Chair

The ADFR shall make available to the relevant Department Review Committee (DRC) and Department Chair the candidate’s 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 ADFR. The ADFR shall add the original letter to the original dossier and make a copy for the Department Chair.

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 ADFR. The ADFR shall add the original letter to the original dossier and make copies for the College Review Committee (CRC.)

November 2 – Dossier Available to CRC

The ADFR shall make available to the CRC 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 ADFR. The ADFR
will add the original letter to the original dossier and provide the completed original dossier to the Dean of the Belk College of Business.

Materials for Dossier

The ADFR shall provide the candidate a set of materials to use in compiling the dossier. This list of materials includes but is not limited to:

1. An appropriately sized binder for the dossier.
2. A written format guide for the dossier. Candidates must follow this format guide.
3. A set of divider tabs, arranged in correct order, for use by the candidate in organizing the dossier.
4. An AACSB Faculty Data Sheet generated by the La Jolla system. The purpose of this is to provide a standardized format for all RPT actions in the College. The candidate may correct any errors in the AACSB Faculty Data Sheet, update the AACSB Faculty Data Sheet, and add any additional material to the AACSB Faculty Data Sheet that he or she thinks is relevant. These additions/updates will be done through the La Jolla system and the AACSB Faculty Data Sheet will remain in the standard format.
5. Copies of the candidate’s summary teaching evaluations for the past five years.
6. All administrative forms to be included in the dossier.

The ADFR shall make these materials available no later than May 15th.

Format of Dossier

The purpose of the dossier is to provide reviewers with enough information to evaluate the candidate’s record. By conforming to a standard format, candidates ensure that reviewers focus on the merits of the case and not on the dossier format.

The dossier consists of five broad sections: an administrative area, a candidate professional history area, a teaching section, a research section, and a service section. The sections below discuss the contents and format of each of these areas. These sections must be organized in the dossier in the order listed below.

I. Administrative Record Area

This area is where the various administrative forms relating to the RPT request are stored as the case progresses through the various levels of review. Items that will go in this area include:

a. Administrative forms;

b. Belk College RPT standards;

c. Belk College Vision statement;

d. Belk College Mission Statement;

e. Dean’s Evaluation and Recommendation;
f. CRC Evaluation;  
g. Department Chair’s Evaluation;  
h. DRC Evaluation;  
i. External review letters;  
j. Biographies of the external reviewers;  
k. Copies of letters sent by Department Chair to external reviewers.

II. Candidate Professional History Area  

Within the Candidate Professional History Area, the candidate will place the following materials:  
a. A current CV provided by the candidate.  
b. An AACSB data sheet generated from the La Jolla system;  
c. An introduction/personal statement. This is optional and may be omitted if the candidate so desires. This statement should be relatively brief;  
d. All annual evaluations since the candidate’s last RPT action.

III. Teaching Section  

In this section the candidate provides a history of his or her teaching experience at UNC Charlotte and elsewhere since the last RPT action. Some of these materials are to be provided in paper format in the RPT binder. The candidate may provide optional material on the USB drive provided by the ADFR’s office. Teaching materials provided electronically should be stored in a directory labeled “Teaching” on the USB drive.

The data that must be provided on paper in the binder are as follows:  
a. 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;  
b. A list of all UNC Charlotte for-credit classes taught by the candidate since the last RPT action. This list shall be generated from the La Jolla and/or Banner systems and shall be provided to the candidate for inclusion by the ADFR’s office. This list shall not include non-credit courses such as continuing education, professional training, or executive education courses;  
c. 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;  
d. 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;
e. 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;
f. Numeric results from the Student Evaluation of Teaching survey for each class listed in subsection III.b. These results shall be provided to the candidate by the ADFR’s office.
g. Any “Peer Review of Teaching” reports that have been completed on the candidate since his or her last RPT action.
h. A very brief description of any materials relating to teaching which are included electronically. This section should clearly describe where the materials are located on the USB drive and how they should be accessed.

The following are optional materials that the candidate may include electronically on the ADFR-supplied USB drive in the “Teaching” folder. These materials shall not be included as hardcopy in the binder.

a. Class teaching materials such as PowerPoint slides or links to instructor web-sites.
b. Copies of final exams;
c. Copies of other exams, projects, or other classroom assignments;
d. Written evaluation comments from students. The ADFR’s office shall arrange for scanning of these documents if needed;
e. Emails or letters from students relating to the candidate’s teaching effectiveness;
f. 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. Research Section
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. Some of these materials are to be provided on paper in the RPT binder. The remainder shall be provided electronically on the ADFR-supplied USB drive.

Please note that all published materials must be presented as either photocopies or pdf scans of the material as it appeared in the publication outlet. Materials that are listed as “forthcoming” should have attached to them a copy of the official notification from the publisher that unambiguously states that the work is accepted for publication without qualification. Materials that have been accepted for publication pending minor copy-editing changes should be labeled as “conditionally accepted.”
The data the candidate shall provide on paper in the RPT binder are:

a. 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;

b. Ten published works or working papers selected by the candidate arranged in reverse chronological order;

c. A list of citations that each of the candidate’s works have received;

d. 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;

e. A list of research materials included on the USB drive. This section should clearly describe where the materials are located on the USB drive and how they should be accessed.

The following materials must be included on the USB drive under a folder labeled “Research.” Candidate may create subfolders under the “Research” folder as necessary.

a. PDF copies of all published works by the candidate not included in the binder;

b. PDF copies of all works in progress of the candidate not included in the binder;

c. PDF copies of external grant reports of the candidate;

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

V. Service Section

In this section the candidate provides evidence of his or her service to the Department, the Belk College, the University, and the profession.

The data that the candidate shall provide on paper in the RPT binder is:

a. 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.

b. A list of materials provided on the USB drive relating to service.

The candidate shall provide the following materials on the USB drive in a folder labeled “Service.”
a. Materials that document activities mentioned in the Self Assessment of Service.
b. Any other materials or documentation that the candidate feels provide relevant information relating to service performance.

**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 must be sent the following materials:

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 CV and AACSB Data Sheet;

III. The “Research Section” of the candidate’s RPT dossier. This shall include a USB drive containing the electronic research materials submitted by the candidate.

Should the candidate request that the external reviewer be asked to assess his or her teaching and service accomplishments, the candidate shall work with the ADFR and the Department Chair to compile a list of materials to be included. The expectation is that all of these additional materials shall be included in electronic format via the USB drive.

*Appendix adopted by Belk College Faculty 3/18/2011*