

Appendix A

Electronic RPT Dossiers

A tenure-track faculty member seeking reappointment, promotion, or tenure (RPT), is 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 computer 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.

I.A. 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:

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 as May 15 to September 1). The candidate must not be able to alter his or her dossier, except within certain prescribed conditions outlined in this document, after the upload period has been completed.
4. The software will automatically pull certain official data, such as teaching records, annual reviews, and certain other items from official university computer systems.
5. The software will only allow access to the candidate's dossier to members of the DRC, CRC, and department chairs during the times prescribed.
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. Should the candidate undergo a subsequent RPT action, the system will have a mechanism for creating a second dossier from a pre-existing dossier.

I.B. 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 provide administrative, logistical, and technical support to candidates.

II. 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. Several critical dates in the RPT process 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 his or her dossier, with certain exceptions discussed below. After the end of the upload period, the candidate will generally not be able to modify his or her dossier directly and will have to work with the SrAD to make permitted changes to the dossier.

The SrAD has the responsibility of publishing, 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 who 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 who 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 – Upload Period Begins: Electronic Dossier System Opened to Faculty

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.

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 selected a list of mutually acceptable external reviewers. Prior to July 1, 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.

July 10 – End of Upload Period for External Reviewer Materials

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.

By that same date, the department chair shall submit to the SrAD standard external reviewer letters (see Belk College “Standardized External Review Letters” policy); the SrAD’s Office will send by both email and postal mail the department chair letters to the external reviewers along with instructions on how to access the electronic dossiers. These standard review letters should request that each reviewer complete and return his or her evaluation by no later than September 1st.

July 16 – Materials Available to External Reviewers

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.

September 1 – Upload Period Ends

Candidates must complete the assembly of his or her dossier by the close of business on September 1st, or the first business day afterwards if September 1st falls on a weekend or holiday. After September 1st the system will not allow the candidate to add, delete, or edit content in the dossier. The candidate will continue to be able to review the dossier upon making a request to the SrAD, and under the supervision of the SrAD. Candidates who 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 to update the 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, other tenured departmental faculty eligible to review the dossier, 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 1, the DRC shall complete its written evaluation of the candidate's dossier. Although 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 1, the department chair shall complete a written evaluation of the candidate's case. Although 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 1 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 with 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 system. 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. Although 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.

III. Dossier Materials

The dossier consists of five broad areas: an administrative section, a candidate professional history section, a teaching section, a research section, and a service section. The paragraphs below discuss the content for each of these areas. The software automatically organizes the dossier in the order listed.

Note that certain elements of the dossier can most easily be supplied by the college on behalf of the candidate and be pre-loaded into the section. These elements are denoted by an asterisk (*) in the list below. Note that the candidate may not edit or delete these items. Other materials are added to this section as they become available during the review process. As well, the candidate is not allowed to 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.

A. Administrative Record

Various administrative forms relating to the RPT request are stored as the case progresses through the various levels of review. Items that will be inserted in this section include:

1. Administrative forms.*
2. Belk College RPT standards.*
3. Belk College Vision statement.*
4. Belk College Mission Statement.*
5. Dean's evaluation and recommendation.
6. CRC evaluation.
7. Department chair's evaluation.
8. DRC evaluation.
9. External review letters.
10. Biographies of the external reviewers.
11. Copies of letters sent by department chair to external reviewers.*

B. Candidate Professional History

The candidate will place the following materials into the Professional History area:

1. A current CV generated from the current Belk College information management and storage system.*
2. A personal CV provided by the candidate (optional and may be omitted if the candidate so desires).
3. An introduction/personal statement (optional and may be omitted if the candidate so desires). This statement should be relatively brief.

4. All UNC Charlotte annual chair evaluations since the candidate's last RPT action.*

C. Teaching

The candidate provides a history of his or her teaching experience at UNC Charlotte and elsewhere since his or her last RPT action. The data that must be provided include:

1. 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.
2. A list of all UNC Charlotte for-credit classes taught by the candidate since the last RPT action.*
3. 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.
4. Most recent copies of syllabi for classes listed in 2 and 3, above. 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.
5. 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.
6. Numeric results from the Student Evaluation of Teaching survey for each class listed in 2 above.*
7. 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 he or she desires.

1. Class teaching materials such as PowerPoint slides or links to instructor web-sites.
2. Copies of final exams.
3. Copies of other exams, projects, or classroom assignments.
4. Written evaluation comments from students.
5. Emails or letters from students relating to the candidate's teaching effectiveness.
6. Any other materials or documentation required by section 7.2.1 of this document or that the candidate believes is relevant information relating to teaching effectiveness.

D. Research

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.

The materials to be provided are:

1. 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 Standards Document for the RPT action being sought.
2. Publications of the candidate categorized in the following way:
 - a. Published/pre-printed papers – PDFs or PDF scans of the material as it appears in the publication outlet.
 - b. Accepted/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 without qualification.
 - c. Conditionally accepted papers – PDFs of the manuscript that has been conditionally accepted along with the official notification from the editor/publisher that the paper has been accepted pending minor editorial or grammatical changes.
3. Papers under review will be categorized as follows:
 - a. Papers under initial review – PDFs of the manuscript under review along with a date that the paper was submitted for review.
 - b. 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.
4. Papers not under review will be categorized as follows:
 - a. Working papers – PDFs of completed or substantially completed papers that are not yet under review.
 - b. Works-in-Progress – Less than completed papers but that nevertheless have some material that can be entered into the system.
5. A list of citations that each of the candidate's works has received.
6. A summary of external grant activities including funding agency, federal/state/local grant, and dollar amounts for each grant as well as whether the grants were earned while at UNC Charlotte.
7. PDF copies of external grant reports of the candidate.
8. Any other materials or documentation that the candidate believes is relevant information relating to research performance.

E. 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.

1. 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, the Belk College and the university. In addition, the candidate should discuss service duties performed for academic associations and professional organizations.
2. Materials that document activities mentioned in the Self Assessment of Service.
3. Any other materials or documentation that the candidate believe is relevant information relating to service performance.

IV. Materials Sent For External Review

As noted elsewhere in this document, external reviewers are asked to assess the quality and significance of the scholarly activity of the candidate. As a result all external reviewers will have electronic access to the following sections of the candidate's dossier:

- A. A standardized cover letter from the department chair (See the Belk College of Business "Standardized External Review Letters" policy);
- B. A copy of the candidate's CV from the current Belk College information management and storage system, and the candidate's personal CV should they elect to provide one.
- C. The "Research Section" of the candidate's RPT dossier.

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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