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**RULES GOVERNING APPOINTMENTS, REAPPOINTMENTS, PROMOTIONS, AWARDS OF TENURE, AND REVIEWS**

**I. Board of Trustees' Authority for Making Appointments, Reappointments, Awarding Promotions and Tenure, and Approving Five-Year Reviews**

The authority for making appointments and reappointments, awarding promotions and tenure, and approving five-year reviews of Full Professors shall rest with the Board of Trustees of Claremont Graduate University. The Board of Trustees shall act upon recommendations made by the School faculty, the School Dean, the Appointment, Promotion, Tenure and Review Committee (hereinafter, "the APT Committee") of the Graduate University and by the President, and Provost and Vice President for Academic Affairs (hereinafter, the "Provost").

**II. The APT Committee**

**A. Composition, Election, Terms, and Duties of APT Committee**

**1. Regular Members**

The APT Committee shall consist of five regular members, all of whom must hold the rank of tenured Full Professor. Diverse representation on the committee shall be sought; both male and female faculty members shall be included as regular members of the committee.

**2. Alternate Members**

Two alternate members who hold the rank of tenured Full Professor shall be elected for three-year terms by the Claremont Graduate University faculty.

These alternate members shall fill vacancies under the following circumstances:

**The first and second alternates shall replace any regular members of the APT Committee:**

1. Who are granted leave of absence or who resign from the Committee during his/her three-year term.
2. Whose dossiers have been referred to the APT Committee for a Full Professor Five-Year Review during the regular member's terms on the Committee.
3. Who have served on a Candidate's Nominating Committee (as defined in Article V) or voted on the Candidate's case for review, promotion or appointment at the School level during that Candidate's APT review.

**RULES GOVERNING APPOINTMENTS, REAPPOINTMENTS, PROMOTIONS, AWARDS OF TENURE, AND REVIEWS**

4. To ensure familiarity with procedures of the APT Committee, preference shall be given to Professors who have previously served on the APT Committee, but who have not served during the last three years

In the event that additional committee members are needed to achieve a quorum, the Chair of the APT Committee shall request temporary service on APT of former regular committee members. The next alternate shall default to the most recently elected former member of APT. If that individual is unable to meet the requirements necessary to serve, the position shall then default to the next most recently elected former member. The selection process shall continue in this manner until the need for temporary replacements is satisfied.

If either or both alternates are called to serve under the circumstances just described, or if any previous member is asked to serve temporarily, the chair of the APT Committee shall inform the Provost or his or her designees.

**B. Term Limits**

No individual may serve as a regular member of the APT Committee for more than three years in any six-year period.

**C. Election of Chair and Annual Jurisdiction of the Committee**

The APT Committee shall elect annually its own Chair in a timely fashion at its first meeting of the fall term. The APT Committee members serving during the spring semester shall continue to have jurisdiction over APT Committee matters arising or continuing beyond the spring semester until the beginning of the fall semester. At that time, the new APT Committee members shall take office. Any APT Committee that takes up a case which is not completed by the end of its term shall continue as the committee for that particular case.

**D. Scheduling Committee Meetings**

Prior to the start of each semester, the Committee members shall schedule the meetings for the upcoming semester at dates and times satisfactory to all members and in reasonable number and frequency to process the Committee's business. Any member who misses two regularly scheduled APT meetings, except for reasons of health or other emergencies, shall be treated as having resigned from the Committee.

**III. The APT Committee's Timetable for Academic Review**

**A. Provost Notifies APT Committee and Deans of the Next Academic Year's Schedule of Review**

**RULES GOVERNING APPOINTMENTS, REAPPOINTMENTS, PROMOTIONS, AWARDS OF TENURE, AND REVIEWS**

By April 1 prior to the academic year in which current faculty members are to be reviewed by the APT Committee (for reappointment, promotion, and/or award of tenure, as well as for Five-Year Full Professor Review), the Provost or his or her designee shall notify in writing the Chair of the APT Committee of the complete schedule of reviews to be conducted in the next academic year. At that time, the Provost also shall notify in writing all school Deans whose faculty members are to be reviewed.

**B. Time Table for Dossier Submission to APT Committee**

**Reappointments, Promotions, and Awards of Tenure to Current Faculty Members**

**Dossiers for reappointments, promotions, and awards of tenure shall be**

**submitted to the APT Committee in the fall semester, no later than November 15.<sup>1</sup>**

**1. Dossiers for New Appointments with Tenure**

Dossiers for new appointments with tenure may be submitted to the APT Committee at any time during the year.

**IV . Provost’s Authorization of Searches to Fill New Faculty Positions**

Before initiating a search for a new faculty member to fill: a) a regular tenure-track faculty position; b) a regular faculty position with tenure; or c) a visiting faculty position of more than one year’s duration, the appropriate School Dean shall request authorization from the Provost. The Provost shall give written notification to the Dean that she/he has authorized such a position. This provision applies to full and part-time regular positions, but does not apply to adjunct positions.

**A. Composition of the Faculty Search Committee**

Composition of faculty search committees is determined by the Dean of the School in consultation with the faculty of the department or school and must be approved by the Provost. It is expected that the core faculty from the department or school will constitute the majority or entirety of a search committee’s membership. A small number of faculty from the other Claremont Colleges, particularly those who have courtesy appointments in

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<sup>1</sup> The APT Committee recognizes that rigid deadlines cannot be applied to the preparation of dossiers for appointment, reappointment, promotion, tenure, or review. Nevertheless, the APT review procedure is time-consuming, and scheduled dossiers received late from Candidate Nominating Committees cannot be guaranteed action by the end of the academic year. Candidate’s Nominating Committee chairs should anticipate the lead-time necessary for

## **RULES GOVERNING APPOINTMENTS, REAPPOINTMENTS, PROMOTIONS, AWARDS OF TENURE, AND REVIEWS**

the department or school, may be invited to serve on the search committee. If deemed helpful, non-voting external members (e.g., a student representative, faculty from other schools or colleges, etc.) may also be appointed to the committee. However, situations that pose a conflict of interest or appearance thereof must be avoided. Examples include faculty at other institutions who might be competing for the same candidates and donors whose financial relationship with the institution might influence or be influenced by the outcome of the search process. The search committee must follow the current Affirmative Action and Diversity guidelines provided by the Provost. The search committee's process culminates in a presentation to the faculty of the department or school of a short list of candidates (perhaps only one) from among whom the final candidate is to be selected. It is the faculty of the department or school who will, by their majority vote, formally select the finalist (or a rank-ordered set of finalists) to be recommended to the Provost for appointment.

Upon selection of the finalist by the faculty of the department or school, an appropriate nominating committee (in accordance with APT guidelines) is selected to prepare the appointment and/or tenure dossier for review by the Provost and/or APT, as appropriate.

Note: The vote by the faculty of the school is on the appointment only; for candidates who are to be recommended for tenure, the tenure committee of the department/school will have a separate vote.

### **V . The Candidate's Nominating Committee**

#### **A. Appointment of Candidate's Nominating Committee**

The School Dean shall recommend, and the Provost shall appoint, the group of faculty members in the Claremont Colleges to be designated as the Candidate's Nominating Committee and the Chair of this Committee.

##### **1. Eligibility for Membership on Candidate's Nominating Committee**

All members of this Committee must have full-time appointments at a rank equal to or higher than that proposed for the Candidate. However, assistant or associate professors who do not have tenure should not serve on the nominating committees of candidates of rank equal to themselves. Faculty who do not have tenure may not serve on a Candidate's Nominating Committee for a Candidate being considered for tenure. This Committee shall include faculty members with knowledge of and the

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preparing a completed dossier. This includes time required for faculty and student involvement,

## **RULES GOVERNING APPOINTMENTS, REAPPOINTMENTS, PROMOTIONS, AWARDS OF TENURE, AND REVIEWS**

ability to evaluate the merit of the Candidate's scholarly or creative activity, teaching, and service.

### **2. Composition of Candidate's Nominating Committee**

The Candidate's Nominating Committee shall normally include at least all tenured Full Professors with full-time appointments in the Candidate's program (or school where there are no programs in a school) at Claremont Graduate University. Each Candidate's Nominating Committee shall have at least three faculty members, including the Committee Chair. Any APT member who is a member of the Candidate's Nominating Committee may not participate in the APT's consideration of that case. The Dean of the school may serve on the Nominating Committee, in which case he or she will not submit any supplemental letter to the APT (see V.E.).

In cases where a program has fewer than four full-time faculty members, or if the proposed action affects the Dean or Program Chair or a faculty member of a higher rank, the Provost may appoint an appropriate faculty member from outside of the program to chair the Candidate's Nominating Committee. In cases where an individual has or is to be awarded a joint appointment in two programs, faculty members from both programs who meet the criteria specified above shall be included on the Candidate's Nominating Committee

### **3. Provost's Authority vis-à-vis the Candidate's Nominating Committee**

The Provost appoints the Candidate's Nominating Committee upon the recommendation of the School's Dean. In his or her recommendation to the Provost, the Dean shall specify whether he or she would like to serve on the Nominating Committee, or not serve on the Committee but instead submit a separate and supplemental letter with the Candidate's dossier (see V.E.) The Provost shall explain in writing to the School Dean (with a copy to the APT chair) any changes to the Dean's recommendation and shall explain as well the reason for excluding any tenured Full Professors, with full time appointment, within the Candidate's Program who have not been included on the Nominating Committee.

### **B. Meeting of the Candidate's Nominating Committee**

The Candidate's Nominating Committee's recommendation regarding appointment, reappointment, promotion, tenure, or review shall be made after at least one meeting of

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as well as for identification of and correspondence with referees.

## **RULES GOVERNING APPOINTMENTS, REAPPOINTMENTS, PROMOTIONS, AWARDS OF TENURE, AND REVIEWS**

all members of the Candidate's Nominating Committee. All materials and supporting documents shall be submitted to the APT Committee in a complete package after they have been considered and commented upon in writing by the Candidate's Nominating Committee. Under special circumstances, additional materials may be forwarded to the APT Committee; however, these new materials must previously have been considered and commented upon in writing by the full Candidate's Nominating Committee.

### **C. Dean's Notification to Provost and APT Committee that Candidate's Dossier is Being Prepared**

The Dean of the School in which the Candidate is to be appointed, reappointed, promoted, and/or granted tenure shall give written notification to both the Provost and the Chair of the APT Committee that a Candidate's dossier is being prepared by the Candidate's Nominating Committee for submission to the APT Committee. The Dean shall indicate the approximate timetable for submission of the dossier.

### **D. Letter of Evaluation from the Candidate's Nominating Committee**

The Candidate's Nominating Committee shall submit a letter of evaluation to the APT Committee (except in the case of an initial appointment without tenure for a term of three years or less, in which case the letter shall be sent to the Provost rather than the APT), the School's Dean, and, except in the case of an initial appointment at CGU, the Candidate. It shall include the following components:

1. A list of faculty members constituting the Candidate's Nominating Committee.
2. A detailed statement describing the process by which the Candidate's Nominating Committee met and conducted its review of the case.
3. A detailed assessment of the Candidate's scholarly activity, teaching and supervising, and service and professional activity (see Section VI). This shall include: a) an assessment of the impact of the Candidate's scholarly work on his/her field; and b) an appraisal of the Candidate on a national basis compared with others of similar experience in the relevant field of specialization.

**RULES GOVERNING APPOINTMENTS, REAPPOINTMENTS, PROMOTIONS, AWARDS OF TENURE, AND REVIEWS**

4. A description of the qualifications of external referees from whom letters evaluating the Candidate have been solicited (i.e., the referees' qualifications as nationally prominent scholars or professionals, including their academic degrees, positions, major publications, and other relevant achievements). The nature of any personal association that a referee may have with the Candidate shall be specified.
5. In the case of an initial appointment, a copy of the School's report to the Affirmative Action and Diversity Committee.
6. A description of the procedures followed by the Nominating Committee to assess the teaching quality and potential of the Candidate (see VI.B).
7. The vote of the Candidate's Nominating Committee, including the number and basis of dissenting votes.
8. In the case of dissenting votes, a section entitled "Minority Opinion, with written statements from those members casting minority votes who wish to provide such a statement.
9. The signatures of all members of the Candidate's Nominating Committee.
10. A copy of the Candidate's written response, if any, to the letter of the Candidate's Nominating Committee. The Candidate shall have two weeks after receiving a copy of the letter to respond or notify the School's Dean that he/she waives the right to respond.

**E. A Statement from the Candidate's Dean, supplemental and in response to the Letter of the Candidate's Nominating Committee.**

A letter from the Candidate's Dean, supplemental and in response to the letter of the Candidate's Nominating Committee, shall form part of the Candidate's Dossier unless the Dean is a member of the Nominating Committee, in which case the Dean shall not write a separate letter (see V.A. 2).

**RULES GOVERNING APPOINTMENTS, REAPPOINTMENTS, PROMOTIONS, AWARDS OF TENURE, AND REVIEWS**

**F. Candidate's Opportunity to Respond to the Draft Letter of the Candidate's Nominating Committee**

In the case of current faculty, the Chair of the Candidate's Nominating Committee shall send the Candidate the letter it proposes to send to the APT Committee plus the Statement of the Candidate's Dean. If the Dean of the Candidate's School is not on the Nominating Committee and writes a separate letter, the Dean shall send the Candidate the letter she or he proposes to send to the APT Committee. The Candidate may correct in writing any factual errors and identify differences of interpretation. The Candidate's response shall be in writing and shall be delivered to the Chair of the Candidate's Nominating Committee within two weeks of receiving the Committee's letter. If the Candidate's Dean has sent the Candidate a letter, the Candidate may correct in writing any factual errors and identify differences of interpretation; the Candidate's response shall be in writing, and shall be delivered to the Dean within two weeks of receiving the Dean's letter.

**G. Moratorium on Nominating Committee Members' Discussions with the Candidate**

After the Nominating Committee is formed, members of the Nominating Committee shall not discuss the review with the Candidate until the Nominating Committee's and the Candidate's letters have been submitted. However, when the Candidate is formulating his or her response, he or she may ask the Chair of the Nominating Committee to clarify questions regarding the Nominating Committee's letter. The request and response shall both be in writing and made part of the file.

**VI. Criteria for Evaluation**

The criteria on which appointment, reappointment, promotion, tenure, and review at each level of evaluation shall be based are:

**A. Scholarly Activity**

First and foremost, within the period of review, Candidates must have produced scholarly work that distinguished them in their field. Each faculty member is expected to have produced a strong record of professional achievement that must include published research or other scholarly or creative products appropriate to her/his discipline or of a transdisciplinary nature subsequent to the Ph.D. dissertation or the product of her/his

## **RULES GOVERNING APPOINTMENTS, REAPPOINTMENTS, PROMOTIONS, AWARDS OF TENURE, AND REVIEWS**

terminal degree. The faculty member's record may also include substantive activities in their profession. -

In the case of initial appointments of untenured junior faculty, the Candidate's publication record shall normally include products of the Ph.D. dissertation or terminal degree project. Efforts to acquire extramural funding for research and scholarship are valued. These efforts shall be evaluated according to professional expectations in the Candidate's field. In all cases, the Candidate's scholarly work shall be compared to that of other academics in the same field at corresponding ranks at comparable institutions.

Some tenured faculty members may subsequently assume administrative appointments that comprise a major proportion of their professional time. In evaluating the scholarly work of these faculty members, comparisons shall be made with other faculty members with similar administrative duties. In conjunction with the reduced scholarly expectations, greater weight shall be given to the teaching, service, and professional activity of these Candidates.

### **B. Teaching and Supervising Students**

The Candidate must show evidence of being an effective teacher. Most particularly, but not exclusively, this shall include demonstrated competence in course instruction and supervision of graduate students' research and scholarship.

#### **1. Evidence of Teaching Effectiveness**

In assessing the Candidate's teaching effectiveness, the APT Committee shall consider evidence from three sources: a) letters solicited from current and former students, b) quantitative and qualitative summaries of course evaluations and c) course syllabi, new courses developed, and courseware.

#### **2. Letters from Students**

In all cases except for Candidates new to CGU, letters from students shall be solicited by the secretary to the APT Committee from all students supervised or taught by the faculty member since coming to Claremont Graduate University or over the past five years, whichever is shorter. Letters from *all* students who took courses with the faculty member shall be solicited, and this sample shall be of sufficient size to be expected to produce a reasonable number of letters to provide a sufficient basis for evaluation, as judged by the Nominating Committee

## **RULES GOVERNING APPOINTMENTS, REAPPOINTMENTS, PROMOTIONS, AWARDS OF TENURE, AND REVIEWS**

and the APT. The secretary to the APT shall use a single, standard letter in soliciting students' comments. The secretary shall enclose a return envelope addressed to the secretary of the APT Committee.

Four weeks after the first letter of solicitation has been mailed, if the response rate is insufficient to provide a representative evaluation, additional letters of solicitation shall be sent from the secretary of the APT Committee to all non-respondents. If necessary a third and final solicitation shall be sent four weeks after the second solicitation to all non-respondents. There will be no further student solicitation, and there is no requirement of a minimum number of student letters before an evaluation can be conducted. All letters from students must be signed. Anonymous letters from students shall be discarded. Student letters shall be treated confidentially. The secretary to the APT Committee shall forward to the Chair of the Candidate's Nominating Committee (and to all subsequent reviewers throughout the review process) the student letters in their entirety. All identifying information (including signatures and letterhead) shall be removed by the APT secretary, before she/he forwards the letters to the APT Committee and to the Nominating Committee.

### **C. Service and Professional Activity**

The Candidate must have shown evidence of service and professional activities. The following types of activities shall be considered relevant:

1. Service on academic program or university committees;
2. Service in academic program development;
3. Outside service, including paid or *pro bono* consulting;
4. Participation in professional meetings and service to professional organizations, including leadership roles in such organizations;
5. Review of manuscripts or other scholarly or creative products.

## **VII . Dossier for Candidates for Appointment, Reappointment, Promotion, and Award of Tenure**

The Dossier to be transmitted to the APT Committee shall consist of six copies of the components identified below in paragraphs A, B, C, E, F, G, H, and I. Two copies of publications (paragraph D) shall be provided.

### **A. Statement Authorizing Action**

## **RULES GOVERNING APPOINTMENTS, REAPPOINTMENTS, PROMOTIONS, AWARDS OF TENURE, AND REVIEWS**

If required, a statement from the Provost certifying that a position exists within that program.

### **B. Letter of the Candidate's Nominating Committee**

A letter stating the recommendation from the Candidate's Nominating Committee, with the Statement of the Candidate's Dean, as well as a copy of any written response by the Candidate (see Section V.E).

### **C. Curriculum Vitae**

A complete and up-to-date vita of the Candidate, including full and complete biographical and bibliographical details.

### **D. Publications**

Publications or materials appropriate to the visual or performing arts to be considered in evaluating the Candidate's scholarly activity.

### **E. Letters from Referees Evaluating Candidate's Scholarly/Creative Work**

1. Letters from external referees evaluating the Candidate's scholarly/creative work are required in certain instances. For initial appointments, promotions, re-appointments and tenure recommendations, the **dossier shall include** the original copies of letters obtained by the Chair of the Candidate's Nominating Committee from at least five qualified scholars from other institutions (normally excluding the Claremont Colleges, see VII, E, 2, and normally at or above the rank and tenure status for which the Candidate is being considered). The Candidate shall suggest a list of at least four referees to the Chair of the Candidate's Nominating Committee. The Dean, in consultation with the Nominating Committee, shall choose at least two referees from the Candidate's list. At least three of the letters shall be from individuals who have no close personal or close professional association with the Candidate. The Dean, in consultation with the Nominating Committee, shall decide on the full list of references. The letter from the Nominating Committee to the referees shall request that the referee describe his/her relationship with the Candidate.
2. For re-appointment at the same rank, letters from scholars at other institutions are not required unless they were not obtained for the initial appointment.

**RULES GOVERNING APPOINTMENTS, REAPPOINTMENTS, PROMOTIONS, AWARDS OF TENURE, AND REVIEWS**

3. All letters from external referees shall address the specific case of appointment, promotion, re-appointment, or tenure under review, shall be signed and dated and preferably shall be printed on official letterhead. Letters shall be sent directly to the chair of the Nominating Committee or the Dean. Electronically signed e-mail letters shall not be accepted.

**F. Teaching Qualifications**

**1. Students' Letters**

See Section [VI.](#)

**2. Course Evaluations**

See Section [VI.](#) For Candidates with no prior teaching experience, letters of recommendation shall speak directly and substantively to the Candidate's promise as a teacher.

**3. Course Content**

Syllabi, new courses developed, and courseware.

**G. Service and Professional Activity**

Evidence of service and professional activity (see Section VI.).

**H. Information from Relevant Institutional Files**

When a Candidate is to be considered for reappointment, promotion, tenure, or five-year review, the Provost shall provide the Chair of the Candidate's Nominating Committee with any information in all Claremont Graduate University institutional files concerning the Candidate that relates to the Candidate's: (1) scholarly activity, (2) teaching and supervising of students, (3) service and professional activity, and (4) any grievances filed against the Candidate that have been substantiated and adjudicated.

**I. Affirmative Action and Diversity Committee's Certification**

When a Candidate is being considered for an initial appointment, the School Dean, utilizing forms provided by the Provost, shall include in the dossier a report from the Affirmative Action and Diversity Committee.

This report shall describe how the search was conducted, as well as how the process met Claremont Graduate University's Affirmative Action policy and state and federal laws. A letter of approval from the Affirmative Action and Diversity Committee certifying that the procedures met the Claremont Graduate University's Affirmative Action Policy and federal requirements shall also be part of the dossier.

**RULES GOVERNING APPOINTMENTS, REAPPOINTMENTS, PROMOTIONS, AWARDS OF  
TENURE, AND REVIEWS**

**VIII . APT Committee's Process**

**A. APT Committee's Decision and Report**

**1. The APT Committee's Decision**

The APT Committee shall evaluate critically and act upon the recommendations of the Candidate's Nominating Committee. All five members shall participate in the discussion, although a member may, if necessary, participate through a teleconference. The APT Committee shall reach its decision by majority vote. Abstentions are not allowed.

**2. The APT Committee's Report**

The APT Committee shall notify the Provost in writing of the results of its deliberations. The letter shall explain explicitly the basis for the APT's recommendation in terms of the appropriate criteria. APT members who dissent from the majority opinion may file their own statements, which shall be included as part of the APT Report. Any such dissenting statements shall be shared with other APT Committee members before the APT Committee's Report is submitted to the Provost. The statements shall be included as part of the APT Report. All members of the APT Committee shall sign the report.

**a. The APT Report shall include:**

- i) The APT Committee's letter of recommendation, as well as dissenting statements. Dissenting statements then shall become part of the APT Report;
- ii) The letter of recommendation from the Candidate's Nominating Committee;
- iii ) The Candidate's curriculum vitae;
- iv) Any response by the Candidate to the Candidate's Nominating Committee.

**B. Communication with the Provost During the Committee's Deliberations**

From the time the APT Committee receives a case until it issues its decision communication between the committee and the Provost shall be documented in writing and included as part of the official file.

**C. Distribution of the APT Committee's Report**

The APT Committee shall simultaneously transmit copies of the APT Committee's letter of recommendation and any dissenting statements, to the Candidate if s/he is a current

**RULES GOVERNING APPOINTMENTS, REAPPOINTMENTS, PROMOTIONS, AWARDS OF TENURE, AND REVIEWS**

Claremont Graduate University faculty member, and to the Chair of the Candidate's Nominating Committee, and copies of the full APT report to the other recipients (the Dean, the Candidate's Program Chair (if any), and the Provost.) Candidates for initial appointment shall not receive the report.

**D. Disposition of the APT Committee's Report by the Provost and President**

**1. Provost's Recommendation**

The Provost shall forward a copy of the APT Committee's Report to the President, along with his/her written recommendation regarding the case.

**2. President's Recommendation**

The President shall forward a copy of the APT Committee's Report to the Board of Trustees, including his/her written recommendation regarding the case. If the President disagrees with the Provost's recommendation, he/she shall provide the Board with a written explanation of his/her recommendation. The President shall also forward the Provost's recommendation to the Board of Trustees.

**3. Disagreement by Provost or President with APT Committee**

If the President and/or the Provost do not agree with the APT Committee's recommendation, the following procedures shall be followed:

- a.). Before forwarding the APT Committee's Report and their own statements to the Board of Trustees, the President and/or Provost shall inform the APT Committee in writing what the basis is for his/her or their dissenting recommendations.

**4. Disagreement between President's and Provost's Recommendations**

If the President's and Provost's decisions regarding the APT Committee's recommendations conflict with one another, all efforts shall be made to reconcile the disagreement. If no agreement can be reached, the President may override the Provost's recommendation; however, the President shall forward the Provost's recommendation to the Board, along with his/her own.

**RULES GOVERNING APPOINTMENTS, REAPPOINTMENTS, PROMOTIONS, AWARDS OF TENURE, AND REVIEWS**

**5. Distribution of President's/Provost's Recommendations Not in Agreement with APT Committee**

If the President and/or Provost forwards to the Board a recommendation not in agreement with the recommendation of the APT Committee, a copy of that (those) recommendation(s) shall be sent simultaneously to the Candidate, the Chair of the Candidate's Nominating Committee, the Candidate's Program Chair (if any), the Candidate's Dean, and to the Chair of the APT Committee.

**E. Maintenance of Files**

The APT Committee shall maintain its own files for active cases. The original dossier, including all letters, reports, and publications, shall be transmitted to the Provost when the case has been concluded. Copies or originals of case materials shall be made available only to the Provost, the President, and the Board of Trustees. No dossier materials on closed cases may be kept by any member of the APT Committee.

**Disposition of Materials at Conclusion of Review**

**Once the Board of Trustees has made its final decision, copies of the Candidate's publications shall be returned to the Candidate. The Candidate's file is then considered closed. The file, without publications, is then stored in the permanent APT files in the Provost's Office, along with the signed copies of the students' letters supplied by the secretary to the APT.**

**RULES GOVERNING APPOINTMENTS, REAPPOINTMENTS, PROMOTIONS, AWARDS OF TENURE, AND REVIEWS**

**F. APT Committee's Annual Reports to Faculty Executive Committee and Provost**

**1. Report to FEC**

Prior the first Faculty Executive Committee meeting of the fall semester, the previous year's APT Committee Chair shall send a brief written report of its activities for the previous academic year to the Chair of the Faculty/Faculty Executive Committee. The report shall be general in nature; that is, no names of Candidates or of external evaluators shall be included. The report shall include, however, the number of Candidates reviewed in each category, as well as the decisions within each category of Candidates.

**2. Report to the Provost**

Simultaneously, the Chair of the APT Committee shall send the Provost a brief written report of the Committee's activities for the previous year. This report shall document the list of Candidates whose dossiers were reviewed and the APT Committee's decision in each case.

**IX . Confidentiality**

Everyone concerned in all matters involving appointments, reappointments, promotions, awards of tenure, and five-year Full Professor reviews shall maintain confidentiality. The deliberations of the Candidate's Nominating Committee and the APT Committee, their papers, records, and their recommendations are strictly confidential.

Only after each step of the process is completed, shall the final recommendations of the Candidate's Nominating Committee, the APT Committee, the Provost, President, and Board of Trustees be sent to the Candidate, the Candidate's Program Chair (if any), and the School Dean. Breach of confidentiality in any respect shall be regarded as a serious affront to the dignity and integrity of the Faculty of Claremont Graduate University and shall be brought to the FEC as a censurable offense.

**X . Academic Appointments – Types and APT Approval**

**A. Types of Appointments and APT Approval Requirements**

## RULES GOVERNING APPOINTMENTS, REAPPOINTMENTS, PROMOTIONS, AWARDS OF TENURE, AND REVIEWS

Comment [p2]: Additional Appts

### 1. Types of Appointments

There are 11 types of contractual faculty appointments: a) Regular appointments (often termed "tenure-track") without tenure (section X.B); b) Regular appointments with tenure (Section X.C); c) Term appointments (Section X.D); d) Visiting appointments (Section X.E); e) Adjunct appointments (Section X.F); f) Research appointments (Section X.G); g) Clinical Professor or h) Professor of Practice (Section X. H); i) Named Chairs (X. I); j) Administrative appointments with coterminous, tenure-track, or tenured faculty appointments (Section X.J); k) scholar- or leader-in-residence appointments (see Section X.K).

An additional appointment category, i) extended faculty (section X.L), exists; however, this appointment does not have the status of a contractual appointment. The relevant Dean or Program Chair initiates the appointment, which requires approval by the Provost.

2. Initial appointments without tenure, for terms of three years or less, do not require APT review. A Candidate shall be reviewed in accordance with APT rules regarding the Nominating Committee and the Candidate's dossier. The Candidate's case shall be voted upon by the school faculty of equal or higher rank than that proposed for the Candidate and forwarded to the Provost with the recommendation from the School Dean. This process shall include the role of the President and the Board of Trustees as specified by these APT rules and Board policy.

### B. **Regular Appointments without Tenure**

1. Initial appointment without tenure to the rank of Assistant Professor, Associate Professor, or Full Professor may be made for a term of not more than three years.
2. The period of service without tenure for full-time faculty members with regular appointments (i.e., a tenure-track appointment) shall not exceed seven years, including such prior teaching elsewhere as is expressly recognized in the

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written offer of appointment. These seven years include six probationary years plus, in the event that the Candidate is denied tenure, one terminal year. Ordinarily, the APT Committee reviews Candidates' dossiers for tenure during the probationary sixth year.

3. An untenured Assistant Professor or Associate Professor may obtain from the Provost, with the support of the Dean in the Candidate's school, up to two one-year extensions of the six-year probationary period prior to being considered for tenure. The Candidate shall submit to the Program Chair and School Dean a written request for such a time extension.

It is the School Dean's responsibility to forward the Candidate's request for a time extension to the Provost along with the Dean's written recommendation regarding the Candidate's request. A copy of the Dean's recommendation shall be provided to the Candidate.

Requests for a time extension shall be granted only if the Provost determines that the Candidate meets or exceeds the University's expectations with respect to the criteria for teaching and service, as well as quality of scholarly productivity, but has not yet met the University's expectations regarding the quantity of scholarly productivity required to achieve tenure. The Candidate's written request for a time extension and the Provost's written decision on the request shall be kept in the Candidate's institutional file in the Provost's Office.

4. An Assistant Professor without tenure may be considered by the APT Committee for tenure in any year; however, an APT review regarding reappointment with or without tenure is required in the Candidate's third year. An APT review regarding reappointment and tenure is required in the Candidate's sixth probationary year unless the term is extended according to [Section X.B.3](#). In the event that the relevant school fails to consider a faculty member for tenure, a faculty member who wishes to be reviewed for tenure may petition the Provost to have his/her case reviewed.
5. A faculty member initially appointed or promoted to the rank of Associate Professor may or may not be granted tenure at the time of initial appointment or promotion. A decision on tenure shall normally be rendered within three years of initial appointment or promotion to that rank. By agreement between

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the faculty member and the Provost, an additional three-year contract may be issued before a tenure decision must be made unless the term is extended as described in Section X.B.3. Each Associate Professor normally shall be reviewed no later than the sixth probationary year, which includes previous teaching experience acknowledged in the original appointment.

### **C. Regular Appointments with Tenure**

#### **1. Meaning of Tenure**

An appointment with tenure shall be for an indefinite period of time. A tenured appointment is subject to termination for cause or by mutual agreement, in accordance with the principles embodied in the American Association of University Professors' 1940 Statement of Principles on Academic Freedom and Tenure.

#### **2. Promotion from Associate Professor to Full Professor**

A faculty member's promotion to Full Professor shall be considered after he or she has been tenured for up to six years. In the absence of a recommendation for promotion at this time, the faculty member's case shall be considered every three years thereafter unless the faculty member requests an earlier review.

#### **3. Failure to Promote from Associate Professor to Full Professor**

If the APT Committee considers but does not recommend promotion of an Associate Professor with tenure to Full Professor, the Provost and Dean shall take appropriate action to encourage improved performance through means most suitable for each individual. In addition, the School Dean shall review the Candidate annually for each of the first two years of the three-year period prior to the next APT review.

The purpose of these annual reviews shall be to assist the faculty member in identifying appropriate professional goals and to provide advice on how these goals may best be achieved. The Provost shall appoint a faculty member of appropriate rank, who may or may not be the School's Dean, to assume this responsibility.

As part of the review, the School Dean (or other reviewer) shall solicit systematically the opinions of other faculty members on the Candidate's performance. The reviewer shall incorporate these opinions into the

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written review. The written review by the School Dean (or other reviewer) shall be sent to the Candidate and the Provost. It shall be placed in the Candidate's institutional file in the Provost's Office.

If a Candidate wishes, he/she may submit a written response to the written review, including any relevant additional information. The response shall be sent to the School Dean and the Provost. It shall be placed in the Candidate's institutional file.

### **4. Failure to Promote from Associate Professor to Full Professor in Nine Years**

If a faculty member who is an Associate Professor with tenure has not achieved promotion to Full Professor within nine years of receiving tenure, the Provost shall impose appropriate sanctions. Appropriate sanctions may include, but are not limited to, withholding salary increases or denying sabbatical leave privileges.

## **D. Term appointments**

### **1. Nature of Term Appointments**

Term appointments may be for full-time or part-time faculty and preclude the award of tenure. In the letter of appointment, the Provost, or School Dean in consultation with the Provost, shall specify the term. Initial Term appointments may be made for terms up to five years and may be extended for not more than five years at a time.

### **2. Titles/Faculty ranks for non-regular (i.e., non-tenure stream) faculty)**

An appointment to the Term, Research Faculty, Clinical Faculty, Professor of Practice, or Visiting Faculty category may be made at the rank of Professor, Associate Professor, or Assistant Professor (thus, for example, one may be appointed Research Assistant Professor, Visiting Associate Professor, Clinical Professor, etc.). Initial appointments, reappointments, and subsequent changes in rank are to be made in accordance with criteria specified elsewhere in this Handbook, taking into account years of service and type of appointment.

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**3. APT Review of Term Appointments**

The APT Committee shall review initial term appointments of more than three years. All renewals beyond the initial appointment require APT approval.

**4. Determining the Full-Time Equivalent of Part-Time Appointments**

In calculating the term of an appointment to determine whether APT review is required, part-time appointments shall be converted to their full-time equivalents.

**5. Standards for Reviewing Term Appointments**

Each school shall create a standing set of criteria for evaluating all of its term appointments. The Nominating Committee shall submit to the APT (or for appointments of three years or less, to the School Dean and Provost) a specific statement of the Candidate's performance relative to these standards and evidence justifying the appointment.

**E. Visiting Appointments**

**1. Nature of Visiting Appointments**

Visiting appointments may be for full-time or part-time faculty. Ordinarily, visiting appointments may be held by individuals on leaves of absence from other institutions. These appointments may be made with or without compensation. In the letter of appointment, the Provost shall specify the term of the appointment.

The term of an initial visiting appointments ordinarily shall be one academic term or one academic year; however, visiting appointments may be made for up to three years. Visiting appointments shall be made on the recommendation of the School Dean with the approval of the Provost. After a maximum of three consecutive years, that visiting appointment shall cease, and the appointee's continuation at Claremont Graduate University shall become contingent upon receiving a different type of appointment. Previous visitors may return after an absence of at least one year.

**2. APT Review of Visiting Appointments**

All visiting appointments of more than three years require APT review.

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**F. Adjunct Appointments**

**1. Nature of Adjunct Appointments**

Adjunct faculty appointments are appointments to teach on a course-by-course basis. The letter of appointment shall specify the term of the appointment.

**2. Review of Adjunct Appointments**

Adjunct appointments shall be made by the School Dean in consultation with the School faculty. Adjunct faculty shall undergo annual program level reviews of their performance. Adjunct appointments do not require APT review.

**G. Research Faculty Appointments**

**1. Nature of Research Faculty Appointments**

Research faculty appointments are designed as term appointments that primarily involve research activities. These appointments need not involve teaching responsibilities. Research faculty appointments may be full-time or part-time. They preclude the award of tenure.

Initial research faculty appointments shall be made on the recommendation of the School Dean with the approval of the Provost. Initial appointments of research faculty may be made for terms up to three years and may be renewed a first time for three years and thereafter for up to five-year periods. In the letter of appointment, the Provost shall specify the term and conditions of the appointment.

**2. APT Review of Research Faculty Appointments**

Initial research faculty appointments do not require APT review. Research faculty reappointments require APT review. The principal focus of the review shall be the candidate's research; however although not required, the candidate may request outside letters, and, if appropriate, submit teaching evaluations.

**H. Clinical Professor**

**Nature of Clinical Faculty Appointments**

Clinical faculty appointments are designed as term appointments that primarily involve teaching activities. These appointments need not involve research or

**Comment [ma3]:** Approved FEC 04/30/07; Faculty 05/07/07

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administrative responsibilities. Clinical faculty appointments may be full time or part time. They preclude the award of tenure.

Initial clinical faculty appointments shall be made on the recommendations of the School Dean with the approval of the Provost. In the letter of appointment, the Provost shall specify the term and conditions of the appointment. Initial clinical faculty appointments may be made for terms up to five years and may be extended for not more than five years at a time.

**APT Review of Clinical Faculty Appointments**

Initial clinical faculty appointments of three years or less do not require APT review. Clinical faculty reappointments require APT review. The principal focus of the review shall be on the candidate's teaching record.

**I. Professor of Practice**

**Comment [ma4]:** Approved FEC 04/30/07; Faculty 05/07/07

**Nature of Professor of Practice Appointments**

Appointments to Professor of Practice are designated as term appointment. The duties associated with this appointment will vary, according to the needs of the academic unit. These appointments need not involve research or administrative responsibilities. The appointment may be full time or part time. These appointments preclude the award of tenure.

**APT Review of Professor of Practice Appointments**

Initial Professor of Practice faculty appointments of three years or less do not require APT review. Professor of Practice reappointments require APT review. The focus of the review shall be on the fulfillment of duties outlined in the candidate's letter of offer, or subsequent adjustments thereof.

**J. Named Chairs**

**Comment [p5]:** Approved 01/07

In the case of an external candidate, the Provost will organize a search committee according to the missions and requirements of the program and the School in consultation with the Dean of the School. The Appointment of the chair will follow the established procedure of appointments, tenure, and promotion. In the case of an internal candidate, the Dean, in consultation with the senior members of his/her school, will present the candidate to the President, who, in consultation with the Provost and the Dean, will make a decision on an

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appointment, subject to approval by the Academic Affairs Committee and the entire Board. If the candidate is the Dean, then the Provost will consult with the senior members of the school and make a recommendation to the President. If the appointment of the chair is concurrent with a promotion in rank, then the established APT procedures for promotion apply.

**This same procedure applies to an existing vacant chair.**

### **J. Administrative Appointments with Coterminous, Tenure-Track, or Tenured Faculty Appointments**

Administrative appointments may be made with either 1) coterminous faculty appointments or 2) tenure-track or tenured faculty appointments.

#### **1. Coterminous Faculty Appointments Associated with Administrative Appointments**

Coterminous faculty appointments at the Claremont Graduate University are limited to the same duration as the administrative appointment the individual holds. The administrative appointment is considered the primary appointment.

The recommendation for a faculty appointment coterminous with an administrative appointment shall originate with the Search Committee for the administrative appointment. A Candidate's Nominating Committee, composed of faculty members, shall consider the academic standing of the Candidate within whose program the Candidate would hold a faculty appointment. Such a review does not require letters from external referees concerning the Candidate's scholarly activity.

Administrative appointments coterminous with faculty appointments require annual review by the administrator to whom the person reports.

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### **2. Tenured or Tenure-Track Faculty Appointments Associated with Administrative Appointments**

Individuals who hold primary administrative positions may also hold tenure-track or tenured faculty appointments. The recommendation for a tenure-track or tenured faculty appointment coterminous with an administrative appointment shall originate with the Search Committee for the administrative appointment. The faculty appointment of such individuals shall be in an academic program or programs of Claremont Graduate University.

A Candidate's Nominating Committee in the relevant academic program or program shall determine the Candidate's qualifications for a tenure-track or tenured faculty position. The process for review, beginning at the program level and ending with the Board of Trustees, shall follow all the guidelines for regular tenure-track or tenured faculty appointments. Accordingly, the dossier that is submitted to the APT Committee shall include references from external reviewers.

This Subsection refers to individuals who enter the University with an administrative position as their primary role. It does not refer to regular faculty members who may assume administrative responsibilities for some period of time.

### **K. Scholar- and Leader-in Residence Appointments**

A scholar- or leader-in-residence appointment may be made by a School Dean, with approval by the Provost, for up to a term of two years. These appointments do not require review by the APT Committee. To extend such an appointment for a longer period or to reappoint at a later date requires approval by the Provost. Again, APT review is not required.

Scholar- and leader-in-residence appointments do not necessarily involve regular teaching responsibilities. The responsibilities of the appointment are to be agreed upon by the Dean and the appointee. Such appointments do not involve any faculty rights; however, they may include faculty responsibilities. They may or may not involve compensation.

### **L. Extended Members of the CGU Faculty**

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**Appointments to the Extended Membership do not require APT review.**

**XI. Five-Year Review of Full Professors with Tenure**

**A. Preamble: Purpose of Review**

The purpose of the five-year review is to assist the faculty member in identifying, reaching, and maintaining appropriate professional goals.

**B. Procedures**

**1. Timing of Five-Year Reviews**

After achieving the rank of Full Professor, each member of the faculty shall be reviewed every five years. The emphasis shall be upon the faculty member's activities during the five years prior to the review.

This five-year review shall not be required for a professor who has served written notice of intent to retire on or before a definite date. In no instance, however, shall a Full Professor continue more than seven years without a review.

**2. Composition of the Professor's Nominating Committee**

The Professor's Nominating Committee and its Chair shall be nominated by the School Dean and appointed by the Provost. It shall consist of all Full Professors from the Professor's program, plus two Full Professors from outside the program. The School Dean may serve on the Nominating Committee unless the Dean herself/himself is the subject of review. If the Dean is on the Nominating Committee, she or he will not submit any supplemental letter to the Provost. A Professor's Nominating Committee shall consist of at least three members. If the School Dean is the subject of review, the Provost shall designate the members of the Dean's Nominating Committee.

**3. The Review Process**

**a) Professor's Statement of Goals and Performance**

To encourage self-reflection, the review process shall begin with a written statement from the individual whose performance is to be considered. The letter shall simply present a factual report of his or her goals and performance during the previous five-year period.

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**b) The Professor's Nominating Committee's Preparation of Dossier and Letter**

The Professor's Nominating Committee shall assemble and review the Professor's dossier (see [Section XI.B.4](#) for contents). This committee shall prepare a concise, but comprehensive, letter evaluating the Professor's performance during the specified five-year period.

The Professor's Nominating Committee shall assess the faculty member's scholarly activity, teaching and advising, service and professional activity. Each of these three areas shall be evaluated by the Committee as "satisfactory," "needs improvement," or "unsatisfactory." On each criterion, the letter of the Professor's Nominating Committee shall include a summary of the Professor's strengths and weaknesses.

**c) Professor's Response to the Committee's Draft Letter and Dean's Letter**

The Professor may correct in writing any factual errors and identify differences of interpretation. The Professor's response shall be delivered to the Chair of the Professor's Nominating Committee, and if the Dean has written a letter, to the Dean within a month of receiving the Committee's proposed letter. The Professor's Nominating Committee, and if relevant the Dean, may correct factual errors. The Professor's Nominating Committee retains the right to submit its considered evaluation to the School Dean, even if it differs from that of the Professor.

If the initial letter of the Professor's Nominating Committee and if relevant of the Dean is subsequently revised, the Professor shall be given the opportunity to review the revised letter. If the Professor still disagrees with the revised letter of the Professor's Nominating Committee and if relevant of the Dean, the Professor may submit a statement to be included with the dossier for all subsequent reviews. The Professor shall notify the Professor's Nominating Committee promptly if he or she intends to submit a written statement. This statement shall be delivered to the Professor's Nominating Committee within two weeks from

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transmission of the final revised letter. All communications shall be in writing; the Professor may not meet face-to-face with the Committee to discuss the draft letter.

### **d) Professor's Nominating Committee Submits Final Letter to the Professor, Dean, and Provost**

The final letter of the Professor's Nominating Committee shall be sent simultaneously to the Professor under review, the School Dean, Program Chair, and Provost.

### **e) Review by the APT Committee**

If the Professor does not receive a "satisfactory" rating in all three areas, he or she may request that the case be referred to the APT Committee. The APT Committee shall review the dossier to assess whether any less than "satisfactory" rating is consistent with institution-wide standards. The APT Committee shall prepare a written statement of its evaluation of the case. This written statement is then sent to the Professor under review, the Program Chair, the School Dean and the Provost. That statement shall be added to the dossier.

### **f) Physical Storage of the Dossier**

The dossier, excluding publications, shall be forwarded to the Dean. A copy of the dossier shall also be sent to the Provost for placement in the Professor's institutional file.

## **4. The Dossier for Five-Year Reviews of Full Professors**

The dossier shall consist of:

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- a. Professor's Statement of Goals and Performance
- b. The letter from the Professor's Nominating Committee, stating its recommendation, as well as a copy of any written response by the Professor.
- c. Professor's Curriculum Vitae. A complete and up-to-date vita of the Professor, including full and complete biographical and bibliographical details.
- d. Publications and Visual and Performing Arts Materials. Publications or materials appropriate to the visual or performing arts to be considered in evaluating the Professor's scholarly activity.
- e. Teaching and Supervising Students. The evidence shall be the same as that specified in Section VI.B.
- f. Service and Professional Activity. Evidence of service and Professional activity ([see Section VI.C.](#))
- g. Information from Relevant Institutional Files. When a Professor is to be scheduled to undergo a five-year review, the Provost shall provide the Chair of the Professor's Nominating Committee with any information in all Claremont Graduate University institutional files concerning the Professor that relates to the Professor in: (a) scholarly activity, (b) teaching and supervising of students, (c) service and professional activity, and d) any grievances filed against the Professor that have been substantiated and adjudicated.
- h. Letter from the Dean of the School, unless the Dean is a member of the Nominating Committee, in which case the Dean shall not contribute a separate letter.

**RULES GOVERNING APPOINTMENTS, REAPPOINTMENTS, PROMOTIONS, AWARDS OF TENURE, AND REVIEWS**

**5. Cases of “Unsatisfactory” or “Needs Improvement” Ratings**

A rating of “needs improvement” or “unsatisfactory” in any one of the three areas in any five-year review shall result in appropriate action by the School Dean.<sup>2</sup>

The purpose shall be to encourage improvement of performance through the vehicle most appropriate for each individual.

Professors who receive a rating of “unsatisfactory” or “needs improvement” shall be reviewed biennially and guided in their faculty development by their Program Chair and one other Full Professor during the four years prior to the next review.

The second Professor involved in the biennial review process shall be selected by the Dean and need not be in the same program as the faculty member under review. In the case of a Full Professor who is a Program Chair, two other Full Professors designated by the Dean shall conduct the biennial reviews. In the case of a Full Professor who is the Dean, the Provost shall designate the two Professors.

The biennial written reviews shall be sent to the Full Professor under review, as well as to the Dean and Provost.

Approved by the CGU Faculty May 7, 2001. (Section II A subsections 1. and 2. a) (i), (ii) and (iii) revised and approved by CGU Faculty 11/26/0, 04/29/02.; Sections VI.B.2, VII.E.1, VII.E.3, VIII C, X.B.3 and X.B.5, revised and approved 3/21/05, 12/05/05 (II A. 1.); approved by FEC 041706; approved by full faculty 04/17/06; approved by FEC 01/22/07 and faculty on 01/29/07; Amended FEC -04/30/07; Faculty 05/07/07