

**RANK, TENURE, AND PROMOTION  
HANDBOOK  
2005-06**

**SEAVER COLLEGE  
PEPPERDINE UNIVERSITY  
MALIBU, CALIFORNIA**

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## **I. GENERAL STATEMENT**

The Seaver College Rank, Tenure, and Promotion Committee was established to develop procedures whereby members of the Seaver College faculty could be involved in making recommendations to the administration concerning initial rank, step advancement, tenure, and promotion of Seaver faculty members. The procedures and policies set forth in this handbook are designed to insure that all faculty are treated fairly in matters dealing with faculty rank, step advancements, promotions in rank, and tenure. It is understood that all policies and procedures must be in harmony with the revised University Tenure Policy adopted by the Board of Regents in June, 1993. This handbook reflects current procedures which may change from time to time. Revisions to this edition of the document were approved by a vote of the faculty in the Spring, 2005.

## **II. POLICIES AND PROCEDURES FOR CONDUCTING COMMITTEE BUSINESS**

### **A. Election**

The Committee is composed of one tenured faculty member from each academic division and one non-tenured faculty member.

1. The tenured committee members are elected for a three-year term on a rotation system according to the following schedule:
  - a. Communication, Religion
  - b. Natural Science, Business Administration, International Studies and Languages
  - c. Humanities and Teacher Education, Fine Arts, Social Science

Whenever a tenured committee member is to be selected, whether by ordinary election or by special election, the division shall nominate two candidates by election within the division. The final choice is made by the Seaver College faculty by secret ballot.

2. The nontenured committee member is elected for a one-year term. Each division nominates no more than one candidate by election within the division. The final choice is made by the Seaver College faculty by secret ballot.
3. If a committee member is unable to serve due to conflict of interest or absence for a significant portion of a semester, a special election for replacement for the remainder of the academic year shall be arranged by the president of the faculty association.

**B. Voting Privileges**

1. Only tenured faculty may vote on tenure questions. Non-tenured faculty participate in all discussions of the committee and vote on all matters except tenure.
2. The chairperson is eligible to vote on all matters.

**C. Officers**

1. Chairperson

During the first meeting of each academic year, the committee members elect the chairperson of the committee. This election is conducted by the President of the Seaver Faculty Association, by secret ballot. A majority of the votes is required for an election, and only persons who have been members of the committee for at least one year, and who are tenured, are eligible for election.

In the event that the elected chairperson must be replaced, the President of the Seaver Faculty Association will call a special meeting of the committee, which will elect a replacement according to the same procedure outlined above.

2. Secretary

At the first meeting, a committee secretary is also elected from the committee by secret ballot.

**D. Meetings**

1. Notification of Meetings

The chairperson, in consultation with the committee members, decides times and places for meetings. Either the chairperson or the secretary notifies members before each meeting.

2. Quorum

A quorum of the Committee is six committee members. A quorum for tenure questions is seven tenured members.

3. Decision-making

- a. In all decisions, a majority of a quorum is needed. All final votes on promotions in rank and on tenure are by secret ballot. In addition, any committee member may request a secret ballot on any vote.
- b. Other individuals may be invited to specific meetings; however, such individuals may not be present when the Committee enters final deliberation and voting.

**E. Duties and Restrictions of Representatives**

1. Representation

Each faculty member is represented by the committee member elected from his or her combined division. Correspondence with the Committee is initiated through the division representative.

2. Verification of Correct Placement

During the fall semester, the division representative updates the Faculty Status Summary for all faculty in his or her division and asks each faculty member to verify that the information on the summary is correct (see Appendix III).

3. Notification of Eligibility

The Rank, Tenure, and Promotion Committee chairperson will meet with division chairs early in the fall semester to describe its procedures and emphasize the kind of evaluation which is most helpful to the committee.

The division representative notifies faculty members when they are eligible for step advancements, promotion in rank, pre-tenure and tenure, and five-year review. For Academic Calendar see Appendix I. Notwithstanding this notification, it is the responsibility of the individual faculty member to be aware of his/her eligibility for step advancements, promotion in rank, pre-tenure review, tenure, and five-year review.

4. Recommendations to the Administration for Pre-Tenure, Tenure, and Promotion

After gathering information via the appropriate forms, the Rank, Tenure, and Promotion Committee evaluates the candidates and makes recommendations to the dean of Seaver College regarding pretenure, tenure, and promotion.

5. Five-Year Evaluation of Tenured Faculty

After gathering information via the appropriate forms, the Rank, Tenure, and Promotion Committee assesses and writes an evaluation of each faculty member for whom a five-year evaluation is scheduled. Evaluations are sent to the faculty member, the academic division chair, and the dean of Seaver College.

6. Handbook Revision

Each year, the Rank, Tenure, and Promotion Committee may revise the Committee Handbook to include any desired changes. The Committee presents such revisions to the Seaver Faculty Association for approval. The proposed revisions will then be recommended to the administration for final approval.

7. Conflict of Interest

A faculty member may not serve on the RTP Committee during the year when he or she will be evaluated for pretenure, tenure, or promotion by the committee, nor may a member serve when a close family relation will be so evaluated. When the committee evaluates cases other than for tenure or promotion for individuals for whom an obvious conflict of interest exists with a committee member, the committee must excuse the member from the deliberations of that case.

8. Censure or Removal from Committee

The committee has the power to recommend to the Seaver Faculty Association President that one of its members be censured or removed from the Committee. The committee must vote on this recommendation by secret ballot; the decision must be unanimous, with the member in question not voting. An action to censure or remove is made when a member violates the policies and procedures of the Committee.



### **III. SECURITY PROCEDURES**

All considerations of specific individuals having to do with matters of advancement, promotion, tenure, and other reviews are confidential; that is, they shall not be discussed either by members of this Committee or by those consulted, other than with those privileged to have such information. Any violation of confidentiality is presumed to be unprofessional conduct.

#### **A. Minutes**

It is recommended that the minutes of the meetings of the Rank, Tenure, and Promotion Committee do not contain confidential information about any candidate or committee member. In the event that they do contain such confidential information, each member returns his or her copy of the minutes to the chairperson after they have been approved.

#### **B. Evaluation Forms**

1. After the Committee reaches a decision on a candidate, it destroys all peer and academic division chairperson evaluations, except for the original copies.
2. The original evaluation copies, together with all supporting materials, are turned over to the dean of Seaver College.
3. After final administrative action has been taken on each candidate, the Rank, Tenure, and Promotion Committee chairperson will be notified and division representatives will return supporting documentation submitted by the candidate. Chairperson and peer evaluations will be sealed and retained in the Dean's Office.

#### **C. Retiring Committee Members**

At the conclusion of a committee member's term, he or she turns over all files relating to committee business to the chairperson. The chairperson purges the files of all information, except that relating to the location of faculty on the Placement Schedule (see Appendix II.A), and turns the files over to the newly-elected committee member.

#### IV. INITIAL PLACEMENT

All prospective faculty members must undergo evaluation by the chairperson of this committee and the dean of Seaver College for initial placement in rank and step on the Placement Schedule (see Appendix II.A). To aid in evaluating credentials, all candidates submit a résumé and any other appropriate supporting data. Input will be sought from the academic division chairperson. If the RTP chairperson and the dean of Seaver College do not reach agreement on initial placement, the final decision will be made by the committee.

The following guidelines ensure that faculty members are treated consistently in this placement process.

1. Full-time teaching in college, after completion of a terminal degree judged to be equivalent to a Ph.D., is the only kind of experience that automatically counts one year as one year. Generally, college teaching in a discipline other than that in which a person has been formally educated counts no more than 3/4. "Full-time" is typically equivalent to two semesters of full-time teaching.
2. Two years of college teaching prior to receiving a terminal degree, is equal to one year of approved experience.
3. The credit given for full-time high school teaching in the same area or full-time elementary teaching is handled on a case-by-case basis.
4. Initial placement of new faculty without full-time teaching experience is normally at the Assistant I level. Responsibilities related to teaching assistantships, research assistantships, and similar duties are considered a normal part of graduate education and do not count toward higher initial placement.
5. No combination of teaching experience and related experience is evaluated at more than one year for any given calendar year.
6. No experience prior to receipt of the B.A. is counted.
7. Two years of related professional experience may count as equivalent to one year of teaching experience. No related professional experience may be evaluated at more than a total of five years.
8. Outstanding achievement related to the applicant's discipline may be considered for initial placement.
9. In figuring the total cumulative years of experience, one-half year is rounded off to the next full year.

10. When a faculty member changes divisions or changes tracks, he or she will be re-evaluated as for initial placement.
11. When an administrator enters or returns to full-time teaching, he or she will be evaluated as for initial placement. For this purpose, an "administrator" will be a person who performs administrative duties and teaches less than half time per semester. Division chairpersons will be exceptions to the rule and will be viewed as full-time faculty.
12. As noted in Section VII of this handbook, all faculty must have completed a full year of teaching at Seaver College before applying for promotion in rank.

## **V. CRITERIA FOR EACH RANK**

### **A. Instructor**

Appointment or promotion to this rank is primarily for those without terminal degrees.

### **B. Assistant Professor**

Appointment or promotion to this rank is normally limited to those whose subject-matter training has been completed to the standard commonly expected of specialists in the field (for example, in the fields where this degree is appropriate, the Ph.D.). Reappointment to this rank is normally limited to those whose teaching, service, and scholarly or artistic activity indicate that the ideal expected of Pepperdine faculty is being realized in practice. The length of time spent at this rank is normally six years, with eligibility for step advancement in the third and fifth years.

### **C. Associate Professor**

In addition to the requirements for Assistant Professor, appointment or promotion to this rank requires demonstrated success and maturity in teaching, service, and scholarly or artistic work. The length of time spent at this rank is normally six years, with eligibility for step advancement in the third and fifth years.

### **D. Professor**

In addition to the requirements for Associate Professor, appointment to this rank requires an excellent record of teaching, service, and scholarly or creative production of recognized merit, and good promise that such will continue in the future. In exceptional cases the rank is also offered to those who have demonstrated outstanding excellence as teachers and who are strong in the area of service but who are not engaged in regular scholarly publication or artistic production. It is assumed that such exceptional persons will continue to have a sure grasp of their subject and that the promise of continued outstanding teaching and service is strong. The rank of Professor is not granted as a matter of course, even to faculty members with tenure, but only after careful evaluation demonstrates that the faculty member possesses the qualifications listed above. Eligibility for step advancement at this rank is normally in the fourth and seventh years.

## **E. Distinguished Professor**

This rank is reserved for the most meritorious. To qualify, one must have spent nine years at the rank of Professor. In addition to the requirements for Professor, candidates for this rank have to be of recognized standing among specialists in their respective field of study. Appointment to Distinguished Professor is for a period of five years and carries with it a salary increase equivalent to that of a rank promotion. To be reappointed, the candidate must apply and receive a favorable recommendation from the Rank, Tenure, and Promotion Committee and the dean of Seaver College. Reappointment to Distinguished Professor follows the same procedures as the five-year review (see Section XI of this handbook). Reappointment may be either at the same salary level or at a level increased by the amount of a step advancement. The salary for those not reappointed will be frozen at its current level until the Professor III salary surpasses it. Following two successful appointments, the rank of Distinguished Professor is permanent, but the candidate will continue to undergo five year reviews.

## VI. STEP ADVANCEMENTS

Step advancements within a rank are not automatic. They are to be reviewed as follows:

- A. Academic division chairpersons will recommend that eligible faculty be given (or denied) step advancements and will prepare a statement of the rationale for each of their recommendations for the dean of Seaver College.
- B. The dean of Seaver College will confer with each academic division chairperson to discuss the recommendations. Following the conferences, the division chairpersons will send their final decisions to the Rank, Tenure, and Promotion Committee for the purposes of record keeping. In cases where an academic division chairperson is under consideration, the dean of Seaver College will make the final decision.
- C. A faculty member who has reason to believe that the decision made by his or her chairperson was unjust may appeal to the Rank, Tenure, and Promotion Committee.

### 1. Procedures for Appealing Denials of Step Increase

The faculty member begins the process by sending a letter to the chairperson of the RTP committee stating the desire to appeal. The faculty member must submit the letter to the RTP chairperson no later than 1 September of the year in which the denial occurred.

Upon receipt of the letter requesting an appeal, the chairperson of the RTP committee will coordinate a meeting with the division chairperson, the faculty member, and the RTP chairperson. If at the end of the meeting there is agreement by the division chairperson and the faculty member that the step advancement was inappropriately denied, the division chairperson will notify the Seaver Dean's office by letter that the faculty member should receive the step advancement. If the meeting ends with no agreement between the division chairperson and the faculty member, the faculty member can elect to continue the appeal process by notifying the RTP chairperson by campus mail.

The RTP chairperson will then ask the division chairperson and the faculty member to provide the following to the RTP committee:

The division chairperson will provide:

- The letter of application or similar document made by the faculty member requesting the step advancement.
- The division chairperson's letter of rationale outlining the case for denial of the step advancement sent to the dean.
- Any relevant data and narrative that the division chairperson considered in his or her decision to deny the faculty member a step advancement.

The faculty member will provide:

- A statement detailing why the decision to deny the step advancement should be overturned. In the statement the faculty member is encouraged to submit any error in fact, criteria, or process that he or she believes led to the denial of the step advancement.

The RTP committee will review the documentation submitted to determine if the step advancement was denied due to a mistake with respect to fact, or if an inappropriate process was followed or unsuitable criteria were applied.

The RTP committee will decide by a majority vote if the denial of the step advancement will be upheld or overturned. To be overturned, the RTP committee must find a preponderance of evidence that a substantial error was made in either fact, criteria, or procedure and that this error contributed materially to an inappropriate denial of the step advancement. In extreme cases, and at its sole discretion, the RTP committee may ask for additional information, including a formal review with a submission of a faculty data form and peer reviews. The burden of proof of persuading the RTP committee that the decision to deny the step advancement was not proper rests upon the faculty member.

The RTP committee chairperson will notify the current division chairperson and the faculty member of the committee's decision by letter, with a copy forwarded to the dean of Seaver College.

## **VII. PROMOTIONS IN RANK**

### **A. Eligibility**

A faculty member is eligible for a promotion in rank when he or she has met the criteria stated in the Placement Schedule (see Appendix II.A). The candidate must have completed a full year of teaching at Seaver College before applying for promotion in rank. Those who have attained eligibility are notified by their division representative. Notwithstanding this notification, it shall be the responsibility of the individual faculty member to be aware of his/her eligibility for a promotion in rank.

### **B. Application Procedures**

Since promotions in rank are not automatic, the faculty member who wishes to apply must complete the Faculty Data Form-Candidate for Tenure or Promotion (see Appendix IV.C) by September 15. He or she must also provide a portfolio of supporting materials. These materials should include tests, assignments, syllabi, and handouts developed by the candidate; scholarly papers and manuscripts; and evidence of performances and exhibits. Also, the faculty member should include personal reflections and evaluations of his or her work as a teacher, researcher, advisor, and committee member.

### **C. Areas of Evaluation**

The candidate is evaluated in each of the following areas:

#### 1. Teaching Effectiveness

Teaching effectiveness includes knowledge of the field as well as in allied areas, effective student advising, concern for students' personal development, conscientiousness about office hours, and competence in classrooms and laboratories and in the supervision of performance groups, individual student projects, research, and field work.

#### 2. Scholarly Activity

Scholarly activity includes published written work, unpublished manuscripts, papers read at meetings of learned societies, lectures to knowledgeable public groups, and participation in colloquia or panel discussions at one's own or other institutions. Creative work, whether exhibited or performed outside or within the University, is also evidence for the judgment of scholarly capabilities. Work in one's field that is not primarily addressed to one's professional peers may be considered by the Committee as community service.



### 3. Service

Service is divided into three categories.

#### a. Professional Service

Professional service includes active participation in professional organizations; holding advisory and consultative positions of recognized stature, and holding committee membership at the national, regional or state level.

#### b. University Service

University service includes committee work, administrative responsibility within the academic division, sponsorship of student organizations, work with the Seaver Faculty Association, and convocation attendance.

#### c. Community Service

Community service includes participation in church, civic and service organizations, political activity, and other organizations.

#### d. Academic Division Chairpersons and Other Administrators

When a chairperson or administrator is applying for promotion or step advancement, his or her performance of duties as a chairperson will be considered for service, but not as a substitute for teaching or scholarly activity. No faculty member is promoted or tenured as a chairperson or other administrator, but only as a faculty member.

### 4. Support for Christian Values

The candidate is expected to display a consistent pattern of support for generally accepted Christian values and the mission of Pepperdine University as described in the Mission Statement (see Appendix X).

## **D. Evaluation Sources**

### 1. Designated Peers

- a. The candidate selects five "designated peers," with the approval of the chairperson and division representative, to evaluate him or her. These "designated peers" serve Pepperdine in the candidate's own discipline or in a closely related discipline, with the requirement that each evaluator is conversant with the field of the person to be judged. At least three of these peers must be tenured, with the remainder being tenure-track. In the event that not enough qualified peers are available at Pepperdine to

evaluate the faculty member's application, the candidate, together with the chairperson and division representative, may solicit one or more evaluations from outside the university. After the peers have been designated, the division representative will meet with them singly or in groups to clarify the kind of information needed by the Committee.

- b. These colleagues review in detail the candidate's Faculty Data Form--Candidate for Tenure or Promotion (see Appendix IV.C). They review such data as teacher's course outlines, texts, syllabi, reading lists, tests, statements of objectives, and prepared notes/handouts which the candidate provides. They should attend at least one class session of the candidate. They arrange with the candidate in advance to avoid visiting on days when exams, films, guest speakers, or other atypical class activities are planned. They may visit classes singly or with other peer reviewers as the candidate desires. They should arrive in the classroom on time and should stay until the class has been dismissed. The candidate need not introduce peer evaluators to the class, but may at his or her discretion. Evaluators should be as unobtrusive as possible during class visits.
- c. After a review of all materials provided by the candidate in support of his or her application, designated peers will complete the Designated Peer Evaluation (see Appendix IV.D). Peers should make a special effort to evaluate the weight of scholarly material, the appropriateness and sophistication of teaching materials, the importance of the professional or community contribution, rather than simply listing what the candidate has done.

## 2. Additional Peers

To aid the Committee in obtaining a complete view of the candidate, all other members of the candidate's division will be invited to complete the Peer Evaluation Form (see Appendix IV.F.).

## 3. External Peers (Distinguished Professor only)

To aid the Committee in its initial evaluation of a candidate for Distinguished Professor, one who is expected to be of recognized standing among specialists in his/her field, additional evaluations from outside the university are gathered from each of three separate external sources (see Appendix IV.G.):

- a. Outside peer selected by the Committee from a list of three submitted by the candidate.
- b. Outside department chair selected by the Committee from a list of three "cohort schools" chosen by the candidate.

- c. Outside professional association officer or journal editor selected by the Committee from a list of three submitted by the candidate.

4. Students

The academic division chairperson provides the Committee with a summary of all student evaluations for the candidate during the past three years.

The Rank, Tenure, and Promotion Committee will examine student evaluation forms for the two preceding semesters in which application is made, and will receive computer output reports from student evaluations which contain data from all questions on the form. Chairpersons will provide more complete and explicit information from the narrative comments which they have seen on student evaluations of each candidate for the past three years.

Chairpersons are to ensure that candidates for tenure/promotion are evaluated by students in all classes in the two semesters preceding the review.

5. Academic Division Chairperson

After reviewing all materials provided by the candidate, the chairperson completes the Division Chairperson Evaluation Form (see Appendix IV.E).

**E. Evaluation Procedures**

1. In the first three areas listed in Section VI.C, the candidate is compared with teachers at Seaver College and at institutions comparable to Seaver in teaching load and committee responsibilities. After the Committee has reviewed all the pertinent information concerning the candidate, each committee member rates the candidate in the areas of teaching effectiveness, scholarly activity, and service by means of the following scale:

Poor      Marginal      Good      Very Good      Outstanding

Since Seaver College regards excellence in teaching of prime importance, the rating for teaching effectiveness is doubled to give it twice the weight of each of the other two areas. Also, no candidate will be recommended for a promotion in rank unless he or she rates at least "Good" in the "Teaching Effectiveness" area.

2. Committee members review the fourth area listed in Section VI.C, and assess whether the candidate has displayed a consistent pattern of support of generally accepted Christian values and the mission of Pepperdine University as described in the Mission Statement (see Appendix X).

3. The following principles guide the Committee in its evaluation of information received:
  - a. It is the responsibility of the Rank, Tenure, and Promotion Committee to investigate allegations made against any candidate. During this investigation, the identity of the person making the allegations will be kept confidential.
  - b. No substantive new information about a candidate can be discussed by the committee members unless the information is written down and signed by the author. The new information becomes a part of the candidate's RTP application.
  - c. At the Committee's discretion, the author may be asked to clarify and expand and give the grounds for his or her allegation.

#### **F. Declining or Withdrawing an Application**

If a faculty member has not stated his/her intent to apply for promotion by the deadline it will be assumed that they have declined to apply.

#### **G. Movement Through Placement Schedule**

1. For purposes of determining movement through the schedule, one year is typically equivalent to two semesters of full-time teaching. This includes not only teaching, but also units allowed for chairperson duties, supervisory assignments, reassigned time, and sabbatical leave time. It does not include leave of absence, unless for an academic teaching assignment.
2. A faculty member cannot be considered for step advancement or promotion while on leave of absence.
3. When a faculty member has been either held back or accelerated, he or she will thereafter spend the number of years at each step stipulated by the Placement Schedule.
4. The eligibility period for those individuals who are hired mid-year will begin the following fall semester.

#### **H. Route of Promotion Application**

After the files have been reviewed by both the committee and the dean of Seaver College, the committee and the dean will meet to discuss each candidate. Alternatively, the dean of Seaver College may designate a representative, to review the files, meet with the committee, and make an independent evaluation. Following this conference, the committee will forward its recommendations to the dean of Seaver College. The dean of Seaver College will then make recommendations to the provost.

After forwarding the candidate's files to the Dean's office, they will remain in the Dean's office so that they may be available to the University administration.

## **VIII. ACCELERATED PROMOTION**

Accelerated promotion provides a mechanism by which faculty who are performing exceptionally in the areas of teaching, scholarship, and service can move through the ranks more rapidly than the normal progression as shown on the Placement Schedule (see Appendix II.A.). When granted, accelerated promotion effectively reduces by either one or two years the time spent by an applicant at the Assistant or Associate Professor ranks. (There is no accelerated promotion for Full Professors to achieve early eligibility for the status of Distinguished Professor.)

### **A. Eligibility**

During the fourth year at the rank of Assistant or Associate Professor, a faculty member of exceptional merit is eligible to apply for an Accelerated Promotion to the next rank. The earlier one applies the more rigorously the promotion criteria are applied. Accelerated promotion cannot be utilized to advance a faculty member to another step within the ranking levels, nor to advance a Full Professor.

### **B. Application Procedures, Areas of Evaluation, and Evaluation Sources and Procedures**

These are the same as those for promotion in rank, with the following exceptions:

1. The designated peer and supervisor evaluation forms ask the reviewer to provide information supporting or discounting the candidate's excellence in each of the areas assessed.
2. The designated peer forms include the reviewer's recommendation for granting or denying the request for accelerated promotion.

### **C. Criteria**

To receive an accelerated promotion after the fourth year (effectively a two-year advance), a faculty member must display a consistent pattern of support for generally accepted Christian values and the mission of Pepperdine University as described in the Mission Statement, and must be in the top 10 percent of Seaver faculty in each of the areas of teaching, scholarly activity, and service. To receive an accelerated promotion after the fifth year (effectively a one-year advance), a faculty member must display a consistent pattern of support for generally accepted Christian values and the mission of Pepperdine University as described in the Mission Statement, and must be in the top 10 percent of Seaver faculty in one of the three areas of teaching, scholarly activity, or service, and in the top 25 percent in each of the other two areas.

## **IX. PRE-TENURE REVIEW**

### **A. Purpose**

The pre-tenure review is similar in form to a tenure review and is for the purpose of assessing a tenure-track candidate's progress towards obtaining tenure. This Rank, Tenure, and Promotion Committee evaluation provides the candidate with detailed feedback concerning strengths and weaknesses in the areas of teaching, scholarship, and service, and is used to help decide whether the faculty member should be reappointed. (A decision to reappoint does not guarantee a favorable tenure decision later.) If the decision is not to reappoint, the year following the review will be the terminal period of employment.

### **B. Notification**

The pre-tenure review normally takes place during the candidate's third year. For faculty who will be evaluated for tenure during their fourth or fifth year according to the provisions of X.A.2, the pre-tenure review takes place during the candidate's second year. There is no provision for pre-tenure review for faculty who are evaluated for tenure earlier than their fourth year of employment in a tenure-track position.

### **C. Application Procedures, Evaluation Areas, and Evaluation Procedures**

These are the same as for promotion in rank (see Section VII) and tenure with the exception of the following:

1. The Faculty Data Form (see Appendix VI.C) additionally asks the candidate to express his or her goals for the next three years, and this form and the supporting materials must be completed by January 15.
2. The designated peer and supervisor evaluation forms (see Appendix VI.D, VI.E) include a summary section in which the reviewer is asked to outline the candidate's strengths and weaknesses and make suggestions for change or improvement.

### **D. Results**

After the Rank, Tenure, and Promotion Committee has studied all the materials submitted, it writes an evaluative report including a recommendation about reappointment, copies of which are sent to the faculty member, his or her chairperson, and the dean of Seaver College.

## **X. TENURE**

The University Tenure Policy, adopted by the Board of Regents on September 8, 1981 and revised September 1993 (see Appendix IX) is in full force and all matters concerning tenure shall be decided by reference to its provisions.

### **A. Eligibility**

1. The tenure review is normally undertaken during the sixth year, with the seventh year being either the terminal year of employment or the first year of tenure.
2. It is possible for the tenure review to be undertaken before the sixth year of employment. However, such cases must be negotiated between the candidate and the University at the time the candidate is hired in a tenure-track position. The year during which the tenure review is to be made must be explicitly stated in a letter to the candidate, a copy of which shall be forwarded to the Rank, Tenure, and Promotion Committee.
3. A faculty member employed with the rank of "Instructor" must achieve the rank of "Assistant Professor" no later than the beginning of the fifth year of service to be eligible to apply for tenure.
4. The policies described in 1 and 2 above do not preclude an exceptional candidate being hired with tenure.

Those who have attained eligibility are notified by their division representative. Notwithstanding such notification, it is the responsibility of the individual faculty member to be aware of his/her eligibility for tenure.

### **B. Application Procedures, Areas of Evaluation, Evaluation Sources, and Evaluation Procedures for Tenure**

These are the same as those for promotion in rank (see Section VII), with the exception of the following:

1. The faculty member must apply for tenure in a specific school and field of specialization, for example, Seaver College/Journalism.
2. The committee's pre-tenure evaluation will be considered during the tenure evaluation.



**C. Route of Tenure Application**

When both the dean of the faculty and the committee have reviewed the files, the dean and the committee will meet to discuss each candidate. Following the conference, the committee will forward its recommendation to the dean of Seaver College. The dean of Seaver College makes a recommendation to the provost.

After forwarding the candidate's files to the Dean's office, they will remain in the Dean's office so that they may be available to the University administration.

## **XI. FIVE-YEAR EVALUATION OF TENURED FACULTY**

### **A. Purpose**

In order to insure continued high quality in a faculty member's performance after he or she has received tenure, the Rank, Tenure, and Promotion Committee undertakes a five-year evaluation of the faculty member's performance every five years regardless of rank. The five-year evaluation applies to those who have not been evaluated by RTP in the past five years OR who have not received a step increase in the past five years. The five-year evaluation also applies to Named Chairs who will undergo the review every five years subsequent to their initial appointment. The evaluation is not a review to determine whether tenure should be continued, but a means of giving the faculty member regular reports on his or her performance.

### **B. Notification**

Representatives of each combined division have the responsibility of informing faculty members in their divisions when they are scheduled for a five-year evaluation. The division representative will notify the faculty member by October 1. The evaluation procedure will take place during the spring semester.

### **C. Procedure and Sources of Information**

The procedure is similar to that of promotion and tenure.

1. The faculty member is asked to fill out a Faculty Data Form (See Appendix V.C.) in which he or she reports on work and significant accomplishments in the areas of teaching, scholarship, service, and support for the mission of Pepperdine University. The faculty member also provides a portfolio of supporting materials, including materials on curriculum and course development, student advising, publications, performances, and committee work.
2. The candidate, together with the division chairperson and division representative, selects three "designated peers" to evaluate him or her. These designated peers serve in the candidate's own department or in a related department, with the requirement that each evaluator is conversant with the field of the person to be judged. After the peers have been designated, the division representative will meet with them singly or in groups to clarify the kind of information needed by the Committee (see Appendix V.D.).
3. The division chairperson completes a similar evaluation (see Appendix V.E.), differing only in that it asks for a report on teaching evaluations.

4. The faculty member's supporting materials are to be placed with the division representative by January 15, so the designated peers and division chairperson can evaluate them. Peer reviews are to be completed and filed with the division representative of the Rank, Tenure, and Promotion Committee by February 15 (see Appendix I).

#### **D. Results**

After the Rank, Tenure, and Promotion Committee has studied all the materials submitted, it writes an evaluative report, copies of which are sent to the faculty member, his or her chairperson, the dean of Seaver College, and the Provost.

#### **E. Faculty Performance Awards**

At the time of the five-year review, faculty are eligible for a Faculty Performance Award (FPA). For details about the FPA see the Faculty Handbook. The committee will include recommendations regarding FPAs in its evaluative report of five-year review candidates. The committee's evaluation will be considered by the dean of Seaver College who makes the final determination concerning FPAs. All faculty undergoing a five-year review, except those holding the rank of Distinguished Professor, are eligible for an FPA.

## **XII. FACULTY APPRAISAL AND DEVELOPMENT PROGRAM**

In order to give faculty members regular notice of their standing and to aid them in meeting the division's standards, chairpersons should meet with their faculty individually once a year. To aid this discussion, the Rank, Tenure, and Promotion Committee has provided two forms, a Faculty Data Form and a Chairperson Evaluation Form (see Appendix VIII). The forms are similar to the forms used for pre-tenure, tenure, and promotion so that the faculty member may obtain a clear sense of whether he or she is progressing toward tenure and/or promotion.

## **XIII. ENDOWED CHAIRS**

A named chair, such as the Fletcher-Jones Chair of Great Books, is reserved for a distinguished teacher/scholar who holds the rank of professor. Normally the holder of such a chair will have a reputation that extends beyond the Pepperdine community. To determine whether she or he continues professionally active following appointment, the holder of a named chair is reviewed every five years by the Rank, Tenure, and Promotion Committee. Assuming that the RTP evaluation is positive, the holder of the named chair retains the position until she or he leaves the University, retires, or reaches the age of sixty-eight, whichever comes first. The five-year review procedure for named chairs is identical to the procedures outlined in Section XI of this manual.

**APPENDIX I ACADEMIC CALENDAR**

- June 1 All faculty who will be reviewed by the RTP Committee the following academic year will be notified of eligibility.
- September 15 All materials relating to candidate's application for promotion and/or tenure must be received by the division representative.
- October 1 All faculty will be notified of their status (rank and step).
- October 15 All peer and division chairperson forms for tenure and promotion must be turned into the division representative.
- December 1 Decisions on promotion and tenure will be forwarded from the Rank, Tenure, and Promotion Committee to the dean of Seaver College.
- December 15 Recommendations from the deans and the Rank, Tenure, and Promotion Committee are forwarded to the provost.
- January 15 Portfolios for five-year and pre-tenure reviews must be received by the division representative. Portfolios for any reappointment considerations, including named chairs and Distinguished Professors, must be received by the division representative.
- February 15 All peer and division chairperson forms for five-year, pre-tenure, and reappointment reviews must be turned into the division representative.
- April 15 Decisions and evaluations on five-year, pre-tenure, and reappointment reviews will be forwarded from the RTP committee to the dean of Seaver College.

## APPENDIX II. A. PLACEMENT SCHEDULE

<u>Rank</u>	<u>Step</u>	<u>Requirements</u>		
		<u>Track I*</u>	<u>Track II*</u>	<u>Track III*</u>
Instructor	1	M.A.		
Instructor	2	M.A. + 2 yrs.		
Instructor	3	M.A. + 4 yrs.	Degree + 1 yr.	
Asst. Prof.	1	M.A. + 7 yrs.	Degree + 3 yrs.	Terminal Degree
Asst. Prof.	2	Asst. Prof. I + 2 yrs.	Asst. Prof. I + 2 yrs.	Asst. Prof. I + 2 yrs.
Asst. Prof.	3	Asst. Prof. I + 4 yrs.	Asst. Prof. I + 4 yrs.	Asst. Prof. I + 4 yrs.
Assoc. Prof.	1		Asst. Prof. I + 6 yrs.	Asst. Prof. I + 6 yrs.
Assoc. Prof.	2		Assoc. Prof. I + 2 yrs.	Assoc. Prof. I + 2 yrs.
Assoc. Prof.	3		Assoc. Prof. I + 4 yrs.	Assoc. Prof. I + 4 yrs.
Professor	1		Assoc. Prof. I + 6 yrs.	Assoc. Prof. I + 6 yrs.
Professor	2		Prof. I + 3 yrs.	Prof. I + 3 yrs.
Professor	3		Prof. I + 6 yrs.	Prof. I + 6 yrs.
Seaver Distinguished Professor			Prof. I + 9 yrs. + Distinguished Contribution	Prof. I + 9 yrs. + Distinguished Contribution

\* For information concerning placement on promotional tracks, see Appendix II.B.

\*\* Years given are completed years as of the end of the academic calendar.

## APPENDIX II. B.

### DEGREE CRITERIA FOR PLACEMENT ON PROMOTIONAL TRACKS

The following is a set of guidelines for determining the rate of advancement by an individual based on academic training.

- I. TRACK I Track I is for persons holding less than a terminal degree. In general, Track I persons may not advance beyond Assistant Professor III with the following exception:

People hired with a master's degree prior to 1965, with 15 years service, and with at least 10 years at Pepperdine will be eligible for promotions to Associate I, and, in 5-year-increments, to Associate Professor II and Associate Professor III. These persons will not be recommended by the Rank, Tenure, and Promotion Committee for promotion to Full Professor.
- II. TRACK II Track II is for persons holding a terminal degree judged not to be equivalent to the Ph.D. degree. Persons holding a terminal degree outside the area of their current teaching responsibilities could also be placed on this track (e.g., a J.D. teaching music).
- III. TRACK III Track III is for persons holding the Ph.D. degree or a terminal degree judged to be equivalent to the Ph.D. (e.g., a J.D. teaching Business Law, or M.F.A. teaching studio courses in art, music, or theatre).
- IV. If a teacher moves from one academic area to another, he or she must be reviewed by the Rank, Tenure, and Promotion Committee. The Committee will make a determination as to the appropriateness of the change and decide whether adjustments should be made as to placement in Tracks I, II, or III. If the highest academic degree is not in the area where the major teaching is to be done, there could be a change to a lower track with the consequence of slower progression in academic rank.

**APPENDIX III.**  
**NOTIFICATION OF STATUS**

Date: \_\_\_\_\_

Dear \_\_\_\_\_ :

As your representative on the Rank, Tenure, and Promotion Committee, it is my responsibility periodically to update, communicate, and verify your placement status. As of September, 20\_\_\_\_, Rank, Tenure, and Promotion Committee records indicate the following status.

Present rank: \_\_\_\_\_

Next scheduled review for rank promotion: Fall, 20\_\_ (effective Fall 20\_\_)

Next scheduled review for step increase: Spring, 20\_\_(effective Fall 20\_\_)

Scheduled pre-tenure review: Spring, 20\_\_\_\_

Scheduled tenure review: Fall, 20\_\_

Scheduled five-year review: Spring, 20\_\_\_\_

Please evaluate this information carefully. Call me at extension \_\_\_\_\_ if you have questions, suggestions, or clarifications. Please return this form to me, signed by you and indicating either your agreement or corrections on the appropriate lines, no later than \_\_\_\_\_.

Very truly yours,

\_\_\_\_\_  
Faculty Representative on  
Rank, Tenure, and Promotion Committee

- The information stated above is correct.  
 The information stated above is incorrect as follows:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
Signature

cc: Division Representative  
Faculty Member



**APPENDIX IV.****FORMS RELATED TO TENURE AND PROMOTIONS IN RANK**

- A. Notification of Eligibility for Tenure or Promotion
- B. Notification of Peer Reviewer for Tenure or Promotion
- C. Faculty Data Form—Candidate for Tenure or Promotion
- D. Designated Peer Evaluation Form for Tenure or Promotion
- E. Supervisor's Evaluation Form for Tenure or Promotion
- F. Peer Evaluation for Tenure or Promotion
- G. External Peer Review Forms for Distinguished Professor
  - G. 1. Outside Peer Evaluation Form
  - G. 2. Outside Chair Evaluation Form
  - G. 3. Outside Professional Officer/Journal Editor Evaluation Form

#### IV. A. NOTIFICATION OF ELIGIBILITY FOR TENURE OR PROMOTION

Date: \_\_\_\_\_

Dear \_\_\_\_\_ :

As your faculty representative on the Rank, Tenure, and Promotion Committee, it is my responsibility to inform you that you are eligible to apply for \_\_\_\_\_ this year.

The process of evaluation will include the following elements: (1) chairperson evaluation, (2) designated peer evaluation, (3) responses from additional peers, (4) student evaluations. As your Rank, Tenure, and Promotion Committee Representative, I will soon contact you to assist you in selecting the five peers who will fill out a Designated Peer Evaluation Form.

To assist this process, you should complete the Faculty Data Form (Form IV:C) and compile a file of relevant materials and give it to me by \_\_\_\_\_. This file will ultimately be made available to your chairperson and your designated peers to look at before they fill out their respective forms.

The file should contain the following: (1) a copy of your Faculty Data Form (available at <http://seaver.pepperdine.edu/dean/documentsandpolicies/rtp.htm>); (2) teaching materials, such as course syllabi, copies of examinations, paper assignments, reading lists, and handouts specially devised by you, and any other material which you believe will enable your peers to get a sense of your teaching methods; (3) reprints or copies of articles, books, and papers delivered at conferences, handbooks you have devised, and the like; (4) any materials relating to contributions you have made in the area of professional and community service; and (5) any personal reflections and evaluations on your work as a teacher, researcher, advisor, or in any other area..

The committee expects to study all the materials returned to it and to make a recommendation to the administration by \_\_\_\_\_. I would be happy to discuss with you any questions you may have relating to the evaluation process. Feel free to call on me at x \_\_\_\_.

Very truly yours,

Faculty Representative on Rank,  
Tenure, and Promotion Committee

#### IV. B. NOTIFICATION OF PEER REVIEWER FOR TENURE OR PROMOTION

Date: \_\_\_\_\_

Dear \_\_\_\_\_ :

Your colleague, \_\_\_\_\_, is applying for \_\_\_\_\_.

The Rank, Tenure, and Promotion Committee has identified you as a designated peer to evaluate the candidate's teaching, scholarly activity, and service. The candidate's materials are on file in the candidate's division office for your perusal.

A Designated Peer Evaluation (Form IV:D) form to be completed by you is required as part of your evaluation. Please note that your responses must be word processed. For your convenience, the evaluation form is available at <http://seaver.pepperdine.edu/dean/documentsandpolicies/rtp.htm>

The committee reminds you that your comments should be candid and that you should provide explicit reasoning for your evaluation of the candidate's teaching, research, and service. Sweeping and unsupported generalities, whether positive or negative, are not helpful to the committee. Do not hesitate to offer criticisms, which often strengthen the candidate's case because they prove the reviewer's objectivity and lend credibility to the positive comments. All evaluations are held in the strictest confidence.

We ask that you allocate sufficient time as a reviewer to provide the committee with a thorough, detailed review. Since most of the committee members are not experts in the fields of the candidates whom we evaluate, we rely on the evaluations of those who are. In particular, we need your evaluation of the quality and significance of the activities described in the candidate's file, whether it be class syllabi, sample exams, publications, presentations, acts of service, etc.

You should attend at least one class session of the candidate. Arrange with the candidate in advance to avoid visiting on days when exams, films, guest speakers, or other atypical class activities are planned. You may visit classes singly or with other peer reviewers as the candidate desires. You should arrive in the classroom on time and should stay until the class has been dismissed. The candidate need not introduce you to the class, but may at his or her discretion. Be as unobtrusive as possible during this class visit.

In order for the candidate to receive a fair review, it is critical that you return your completed evaluation form to me by \_\_\_\_\_. Thank you for undertaking this important responsibility.

Very truly yours,

Faculty Representative on Rank,  
Tenure, and Promotion Committee

#### IV. C. FACULTY DATA FORM—CANDIDATE FOR TENURE OR PROMOTION Pepperdine University

This form should be filled out by the candidate. As this form is completed, remember that it will be seen, as submitted, by the school committees, deans, president, provost and (in the case of a tenure application) the University Tenure Committee and two committees of the Board of Regents (Academic Affairs Committee and Religious Standards Committee) before the approval process is complete. Please include any additional documentation which might be helpful in this evaluation. Please use the computer to complete this form.

Date \_\_\_\_\_

##### PERSONAL DATA

1. Name of Candidate \_\_\_\_\_ Signature \_\_\_\_\_
2. Application for tenure in \_\_\_\_\_ /promotion to \_\_\_\_\_  
(discipline) (rank)
3. Summarize your education, listing each school and dates attended, degrees conferred, special honors received, etc. Begin with the most recent.
4. Pepperdine Employment History
  - a. Date of first employment with Pepperdine University:
  - b. Date of first employment in your present position:
  - c. Rank at which you began:
  - d. List all promotions attained and dates they occurred:
  - e. Total years of teaching experience at Pepperdine University:
  - f. Any reassigned time received for research, committee work, etc.

##### TEACHING

5. List all schools other than Pepperdine University at which you have taught, including your rank and the dates of your appointments. Begin with the most recent.
6. List all of the courses you have taught at Pepperdine University.
7. List teaching responsibilities not reflected above, including student advising, thesis and dissertation committee responsibilities, student research projects, development of new courses or programs, supervision of student interns, coaching debate, moot court or similar teams. Provide an analysis of your teaching methodologies, strategies and objectives, listing steps you have taken to improve your teaching. Provide reflective statements on teaching tools developed and on student evaluations. Provide evidence of student learning.

### SCHOLARLY, ARTISTIC, OR PROFESSIONAL ACHIEVEMENT

8. List published written work, research projects completed, grants received, unpublished manuscripts that are being submitted for publication, papers read at meetings of learned societies, lectures to public groups knowledgeable in your field, participation in colloquia or panel discussions at your own or other institutions, creative work exhibited or performed outside or within the University, or appropriate clinical or consulting practice. For the sake of clarity, published works must be listed distinctly and separately from unpublished works or other achievements (such as research in progress, lectures, presentations, etc). If available, cite evaluations of your scholarship by your professional, off-campus peers (especially in the case of exhibits, performance, etc.). Provide a reflective statement on how you think your work contributes to one or more of the categories of the “Boyer model” of scholarship: discovery, pedagogy, integration, application. (See Ernest L. Boyer, *Scholarship Reconsidered: Priorities of the Professoriate*.)
9. List current research, artistic, professional, course or program development activities.
10. List courses, seminars, meetings or special study programs attended in the past 3 years, plus any other significant means employed for staying current in your field.

### PROFESSIONAL SERVICE

11. List and date relevant membership, activities, and offices held in professional associations and societies, including editorships of professional journals.

### UNIVERSITY SERVICE

12. List committees served on, administrative assignments, sponsorship of student organizations, work with faculty organizations, general student advisement, and chapel/convocation involvement.

### COMMUNITY SERVICE

13. List all community service activities, especially those associated with civic or service organizations, including offices held.

### SUPPORT FOR CHRISTIAN VALUES

14. Describe your consistent pattern of support for generally accepted Christian values and the mission of Pepperdine University as these are described in the Mission Statement of 1999, and describe your active participation in a community of faith. If possible, discuss your integration of faith and learning in the classroom.

### ADDITIONAL FACTORS

15. State other factors, if any, which you wish the committee to consider.

**APPENDIX IV. D. DESIGNATED PEER EVALUATION FORM FOR TENURE OR  
PROMOTION  
PEPPERDINE UNIVERSITY**

Name of candidate \_\_\_\_\_ Date \_\_\_\_\_

Application for tenure in \_\_\_\_\_/promotion to \_\_\_\_\_

Respondent's name \_\_\_\_\_ Signature \_\_\_\_\_

Respondent's title \_\_\_\_\_

All candidates for tenure or promotion are evaluated in the following areas: teaching; scholarly, artistic, or professional achievement; service to the community and the institution; and support for Christian values and the mission of Pepperdine University. After carefully reviewing the candidate's file, please complete the following questionnaire. In each of the ratings, compare the candidate with other teachers in this school and, if possible, at comparable institutions. Summarize your evaluation of the candidate by circling the appropriate word(s) under the headings below. Please word process all responses.

I. TEACHING EFFECTIVENESS

A. Quality of Teaching

Has a thorough grasp of the subject, demonstrates interest in quality of teaching; is thoughtful in selection and preparation of texts, reading lists, projects; is knowledgeable in areas allied with the general field taught; is aware of new developments in related fields, is well read beyond the subject taught. Works to contextualize course content with General Education and to student values when appropriate.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

B. Teaching Skills

Exhibits skill in communicating with classes; is dependable in preparing for and meeting classes; returns papers promptly; upgrades teaching techniques, works toward improving teaching performance; is thoughtful in creation of syllabi and assignments; gives appropriate and adequate feedback to students regarding their performance; provides evidence of student learning.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

C. Concern for Students

Is effective in counseling and advising students; is conscientious in advising duties and in keeping appointments with students; shows concern for students' personal development; recognizes and greets students out of class; keeps regular and sufficient office hours.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

II. SCHOLARLY, ARTISTIC, OR PROFESSIONAL ACHIEVEMENT

A. Scholarly Achievement

Publishes in scholarly journals; presents papers at professional meetings; participates in colloquia or panel discussions at one's own or other institutions; lectures to popular groups knowledgeable in the candidate's field, does work that receives serious attention from others; does original and creative work; expresses interest in the research of colleagues.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

B. Intellectual and Professional Development

Is well read in the subject taught; knowledgeable about and can suggest readings in any area of the general field; knows about developments in related fields; is sought by colleagues for advice on academic matters; keeps current with developments in the field; renews and upgrades skills.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

III. SERVICE

A. Professional Service

Actively participates in appropriate professional organizations; holds office in state, regional, or national professional organizations; holds advisory and consultative positions of recognized stature; holds committee membership at the national, regional, or state level; attends professional meetings on a regular basis.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

B. University Service

Does committee work effectively; carries out administrative responsibility within the school or division; sponsors student organizations; works with faculty organizations.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

C. Community Service

Actively participates in community and public service through church, service or civil organizations.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

IV. SUPPORT FOR CHRISTIAN VALUES

Evaluate the candidate's consistent pattern of support for generally accepted Christian values and the mission of Pepperdine University as these are described in the Mission Statement.

V. ADDITIONAL FACTORS

Please state other factors, if any, which you feel should be considered.

VI. TENURE OR PROMOTION RECOMMENDATION (check one)

I recommend without reservations that tenure/promotion be granted.

I recommend with reservation that tenure/promotion be granted.

My reservations are:

I recommend that tenure/promotion not be granted.

Please comment:



## IV. E. SUPERVISOR'S EVALUATION FORM FOR TENURE OR PROMOTION Pepperdine University

Name of candidate \_\_\_\_\_ Date \_\_\_\_\_

Application for tenure in \_\_\_\_\_ /promotion to \_\_\_\_\_

Respondent's name \_\_\_\_\_ Signature \_\_\_\_\_

Respondent's title \_\_\_\_\_

All candidates for tenure or promotion are evaluated in the following areas: teaching, scholarly, artistic, or professional achievement; service to the community and the institution; and support for Christian values and the mission of Pepperdine University. After carefully reviewing the candidate's file, please complete the following questionnaire. In each of the ratings, compare the candidate with other teachers in this school and, if possible, at comparable institutions.

Summarize your evaluation of the candidate by circling the appropriate word(s) under the headings below. As this form is completed, remember that it is seen, as submitted, by the school committees, deans, president, provost and (in the case of a tenure application) the University Tenure Committee and two committees of the Board of Regents (Academic Affairs Committee and Religious Standards Committee) before the approval process is complete. Please use a computer to complete this form.

### I. TEACHING EFFECTIVENESS

#### A. Quality of Teaching

Has a thorough grasp of the subject, demonstrates interest in quality of teaching; is thoughtful in selection and preparation of texts, reading lists, projects; is knowledgeable in areas allied with the general field taught; is aware of new developments in related fields, is well read beyond the subject taught. Works to contextualize course content with General Education and to student values when appropriate.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

#### B. Teaching Skills

Exhibits skill in communicating with classes; is dependable in preparing for and meeting classes; returns papers promptly; upgrades teaching techniques, works toward improving teaching performance; is thoughtful in creation of syllabi and assignments; gives appropriate and adequate feedback to students regarding their performance; provides evidence of student learning.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

C. Concern for Students

Is effective in counseling and advising students; is conscientious in advising duties and in keeping appointments with students; shows concern for students' personal development; recognizes and greets students out of class; keeps regular and sufficient office hours.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

D. Student Evaluations

For each course the candidate has taught at Pepperdine University during the last three years, list the course number, class size, student-evaluation average (on a five-point scale), and average of the grades awarded in the class.

Course Title and Number    Class Size    Average Evaluation    Average Class Grade

How do the candidate's student evaluations compare with those of other teachers in comparable courses?

II. SCHOLARLY, ARTISTIC, OR PROFESSIONAL ACHIEVEMENT

A. Scholarly Achievement

Publishes in scholarly journals; presents papers at professional meetings; participates in colloquia or panel discussions at one's own or other institutions; lectures to popular groups knowledgeable in the candidate's field, does work that receives serious attention from others; does original and creative work; expresses interest in the research of colleagues.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

B. Intellectual and Professional Development

Is well read in the subject taught; knowledgeable about and can suggest readings in any area of the general field; knows about developments in related fields; is sought by colleagues for advice on academic matters; keeps current with developments in the field; renews and upgrades skills.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

III. SERVICE

A. Professional Service

Actively participates in appropriate professional organizations; holds office in state, regional, or national professional organizations; holds advisory and consultative positions of recognized stature; holds committee membership at the national, regional, or state level; attends professional meetings on a regular basis.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

B. University Service

Does committee work effectively; carries out administrative responsibility within the school or division; sponsors student organizations; works with faculty organizations.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

C. Community Service

Actively participates in community and public service through church, service or civil organizations.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

IV. SUPPORT FOR CHRISTIAN VALUES

Evaluate the candidate's consistent pattern of support for generally accepted Christian values and the mission of Pepperdine University as these are described in the Mission Statement. If you have knowledge, please comment on the candidate's participation in a community of faith.

V. ADDITIONAL FACTORS

Please state other factors, if any, which you feel should be considered.

VI. TENURE OR PROMOTION RECOMMENDATION

(check one)

I recommend without reservations that tenure/promotion be granted.

I recommend with reservation that tenure/promotion be granted.

My reservations are:

I recommend that tenure/promotion not be granted.

Please comment:

**IV. F. PEER EVALUATION FOR TENURE OR PROMOTION**

Name of Candidate \_\_\_\_\_ Date \_\_\_\_\_

Respondent's Name \_\_\_\_\_ Signature \_\_\_\_\_

Return requested by \_\_\_\_\_ to \_\_\_\_\_

All candidates for tenure or promotion in rank are evaluated in the areas of teaching, scholarly activity, and service. In addition, the candidate's basic support of general accepted Christian values and the mission of Pepperdine University as described in the Mission Statement of Pepperdine University is of great importance.

If you have any specific information concerning the candidate in any of these areas, please discuss in detail. Even if you wish to make no comment, please sign and return.

**APPENDIX IV. G. EXTERNAL PEER REVIEW FORMS  
FOR DISTINGUISHED PROFESSOR**

1. Outside Peer Evaluation Form
2. Outside Chair Evaluation Form
3. Outside Professional Association Officer/Journal Editor  
Evaluation Form

**IV. G. 1. OUTSIDE PEER EVALUATION FORM  
PEPPERDINE UNIVERSITY**

Name of candidate \_\_\_\_\_ Date \_\_\_\_\_

Area in which Distinguished Professorship is sought \_\_\_\_\_

Respondent's name \_\_\_\_\_ Signature \_\_\_\_\_

Respondent's title \_\_\_\_\_

At Pepperdine University, the title of Distinguished Professor is reserved for the most meritorious. Successful applicants must have spent at least nine years at the rank of Full Professor, be excellent in teaching and university service, and be of recognized standing among specialists in their respective fields of study. As part of the review process, all candidates for Distinguished Professor are evaluated by three external reviewers, such as yourself, whose reviews are kept strictly confidential. After carefully reviewing the candidate's file, please complete the following questionnaire. In each of the ratings, compare the candidate with other full professors at your school and, if possible, at comparable institutions. Summarize your evaluation of the candidate by circling the appropriate word(s) under the headings below. Please type all responses, and mail the completed form to Professor \_\_\_\_\_, Pepperdine University, Malibu, CA 90263, by \_\_\_\_\_. Thank you for helping us obtain a more complete view of the candidate.

I. SCHOLARLY OR ARTISTIC ACHIEVEMENT

Evaluate the quality and quantity of the candidate's research, publications, and presented papers.

Average                      Good                      Very Good                      Outstanding

Please comment:

II. PROFESSIONAL SERVICE

Consider to what extent the candidate actively participates in professional organizations; holds office in state, regional, or national professional organizations; holds advisory and consultative positions of recognized stature; holds committee memberships at the national, regional, or state level; attends professional meetings on a regular basis; serves as editor or referee for significant journals in the field.

Average                      Good                      Very Good                      Outstanding

Please comment:

III. ADDITIONAL FACTORS

Please state other factors, if any, which you feel should be considered.

IV. RECOMMENDATION

(check one)

I recommend without reservations that the candidate be promoted to Distinguished Professor.

I recommend with reservations promotion to Distinguished Professor.

I recommend that promotion be denied.

Please comment:



**IV. G. 2. OUTSIDE CHAIR EVALUATION FORM  
PEPPERDINE UNIVERSITY**

Name of candidate \_\_\_\_\_ Date \_\_\_\_\_

Area in which Distinguished Professorship is sought \_\_\_\_\_

Respondent's name \_\_\_\_\_ Signature \_\_\_\_\_

Respondent's title \_\_\_\_\_

At Pepperdine University, the title of Distinguished Professor is reserved for the most meritorious. Successful applicants must have spent at least nine years at the rank of Full Professor, be excellent in teaching and university service, and be of recognized standing among specialists in their respective fields of study. As part of the review process, all candidates for Distinguished Professor are evaluated by three external reviewers, such as yourself, whose reviews are kept strictly confidential. After carefully reviewing the candidate's file, please complete the following questionnaire. In each of the ratings, compare the candidate with other full professors at your school and, if possible, at comparable institutions. Summarize your evaluation of the candidate by circling the appropriate word(s) under the headings below. Please type all responses, and mail the completed form to Professor \_\_\_\_\_, Pepperdine University, Malibu, CA 90263, by \_\_\_\_\_. Thank you for helping us obtain a more complete view of the candidate.

I. SCHOLARLY OR ARTISTIC ACHIEVEMENT

Evaluate the quality and quantity of the candidate's research, publications, and presented papers.

Average                      Good                      Very Good                      Outstanding

Please comment:

II. PROFESSIONAL SERVICE

Consider to what extent the candidate actively participates in professional organizations; holds office in state, regional, or national professional organizations; holds advisory and consultative positions of recognized stature; holds committee memberships at the national, regional, or state level; attends professional meetings on a regular basis; serves as editor or referee for significant journals in the field.

Average                      Good                      Very Good                      Outstanding

Please comment:

III. KNOWLEDGE OF APPLICANT

Are you professionally aware of the candidate? If so, for how long, and is this awareness based on publications, professional association contributions, or something else?

IV. RECOMMENDATION

(check one)

I recommend without reservations that the candidate be promoted to Distinguished Professor.

I recommend with reservations promotion to Distinguished Professor.

I recommend that promotion be denied.

Please comment:

**IV. G. 3. OUTSIDE PROFESSIONAL OFFICER/JOURNAL EDITOR EVALUATION  
FORM  
PEPPERDINE UNIVERSITY**

Name of candidate \_\_\_\_\_ Date \_\_\_\_\_

Area in which Distinguished Professorship is sought \_\_\_\_\_

Respondent's name \_\_\_\_\_ Signature \_\_\_\_\_

Respondent's title and affiliation \_\_\_\_\_

At Pepperdine University, the title of Distinguished Professor is reserved for the most meritorious. Successful applicants must have spent at least nine years at the rank of Full Professor, be excellent in teaching and university service, and be of recognized standing among specialists in their respective fields of study. As part of the review process, all candidates for Distinguished Professor are evaluated by three external reviewers, such as yourself, whose reviews are kept strictly confidential. After carefully reviewing the candidate's file, please complete the following questionnaire. In each of the ratings, compare the candidate with other full professors at your school and, if possible, at comparable institutions. Summarize your evaluation of the candidate by circling the appropriate word(s) under the headings below. Please type all responses, and mail the completed form to Professor \_\_\_\_\_, Pepperdine University, Malibu, CA 90263, by \_\_\_\_\_. Thank you for helping us obtain a more complete view of the candidate.

- I. Rate the candidate's participation in professional organizations, including attendance at meetings, invited talks, presented papers, organization governance and committee responsibilities, editorships for significant journals.

Average          Good          Very Good          Outstanding          Exceptional

Please comment:

- II. Evaluate the candidate's contribution to his or her discipline through research and publications, considering both quality and quantity.

Average          Good          Very Good          Outstanding          Exceptional

Please comment:

- III. How is the individual regarded by peers within the discipline?

Active                          Impacts                          Significantly Impacts                          Distinguished  
    Discipline                          Discipline                          Impact

Please comment:

- IV. Evaluate the candidate's knowledge of the discipline from the standpoints of depth and breadth.

Average          Good          Very Good          Outstanding          Exceptional

Please comment:

- V. For how long have you known the applicant, and in what capacities?

- VI. Please state other observations about the candidate which you feel should be considered.

- VII. Recommendation  
(check one)

I recommend without reservations that the candidate be promoted to Distinguished Professor.

I recommend with reservations promotion to Distinguished Professor.

I recommend that promotion be denied.

Please comment:

**APPENDIX V.****SPECIAL FORMS RELATED TO ACCELERATED PROMOTION**

- A. Designated Peer Evaluation Form for Accelerated Promotion
- B. Supervisor's Evaluation Form for Accelerated Promotion
- C. Peer Evaluation Form for Accelerated Promotion

## V. A. DESIGNATED PEER EVALUATION FORM FOR ACCELERATED PROMOTION PEPPERDINE UNIVERSITY

Name of candidate \_\_\_\_\_ Date \_\_\_\_\_

Area in which accelerated promotion is sought \_\_\_\_\_

Respondent's name \_\_\_\_\_ Signature \_\_\_\_\_

Respondent's title \_\_\_\_\_

All candidates for accelerated promotion are evaluated in the following areas: teaching; scholarly, artistic, or professional achievement; service to the community and the institution; and support for Christian values and the mission of Pepperdine University. After carefully reviewing the candidate's file, please complete the following questionnaire. In each of the ratings, compare the candidate with other teachers in this school and, if possible, at comparable institutions. Try to provide information supporting or discounting the candidate's excellence in each area assessed. Summarize your evaluation of the candidate by circling the appropriate word(s) under the headings below. Please word process all responses.

### I. TEACHING EFFECTIVENESS

#### A. Quality of Teaching

Has a thorough grasp of the subject, demonstrates interest in quality of teaching; is thoughtful in selection and preparation of texts, reading lists, projects; is knowledgeable in areas allied with the general field taught; is aware of new developments in related fields, is well read beyond the subject taught. Works to contextualize course content with General Education and to student values when appropriate.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

#### B. Teaching Skills

Exhibits skill in communicating with classes; is dependable in preparing for and meeting classes; returns papers promptly; upgrades teaching techniques, works toward improving teaching performance; is thoughtful in creation of syllabi and assignments; gives appropriate and adequate feedback to students regarding their performance; provides evidence of student learning.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

C. Concern for Students

Is effective in counseling and advising students; is conscientious in advising duties and in keeping appointments with students; shows concern for students' personal development; recognizes and greets students out of class; keeps regular and sufficient office hours.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

II. SCHOLARLY, ARTISTIC, OR PROFESSIONAL ACHIEVEMENT

A. Scholarly Achievement

Publishes in scholarly journals; presents papers at professional meetings; participates in colloquia or panel discussions at one's own or other institutions; lectures to popular groups knowledgeable in the candidate's field, does work that receives serious attention from others; does original and creative work; expresses interest in the research of colleagues.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

B. Intellectual and Professional Development

Is well read in the subject taught; knowledgeable about and can suggest readings in any area of the general field; knows about developments in related fields; is sought by colleagues for advice on academic matters; keeps current with developments in the field; renews and upgrades skills.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

III. SERVICE

A. Professional Service

Actively participates in appropriate professional organizations; holds office in state, regional, or national professional organizations; holds advisory and consultative

positions of recognized stature; holds committee membership at the national, regional, or state level; attends professional meetings on a regular basis.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

B. University Service

Does committee work effectively; carries out administrative responsibility within the school or division; sponsors student organizations; works with faculty organizations.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

C. Community Service

Actively participates in community and public service through church, service or civil organizations.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

IV. SUPPORT FOR CHRISTIAN VALUES

Evaluate the candidate's consistent pattern of support for generally accepted Christian values and the mission of Pepperdine University as these are described in the Mission Statement. If you have knowledge, please comment on the candidate's participation in a community of faith.

V. ADDITIONAL FACTORS

Please state other factors, if any, which you feel should be considered.

VI. RECOMMENDATION

Accelerated promotion is reserved for those of exceptional merit. In light of this, comparing the candidate to other Seaver faculty members, place a check in the appropriate box on each row of the following table and check one of the recommendations.



	Top 5%	Top 10%	Top 25%	Top 50%	Bottom 50%
Teaching					
Scholarship					
Service					

(check one)

\_\_\_\_\_ I recommend without reservations that accelerated promotion be granted.

\_\_\_\_\_ I recommend with reservations that accelerated promotion be granted.  
My reservations are:

\_\_\_\_\_ I recommend that accelerated promotion not be granted.

Please comment:

## V. B. SUPERVISOR'S EVALUATION FORM FOR ACCELERATED PROMOTION PEPPERDINE UNIVERSITY

Name of candidate \_\_\_\_\_ Date \_\_\_\_\_

Area in which accelerated promotion is sought \_\_\_\_\_

Respondent's name \_\_\_\_\_ Signature \_\_\_\_\_

Respondent's title \_\_\_\_\_

All candidates for accelerated promotion are evaluated in the following areas: teaching, scholarly, artistic, or professional achievement; service to the community and the institution; and support for Christian values and the mission of Pepperdine University. After carefully reviewing the candidate's file, please complete the following questionnaire. In each of the ratings, compare the candidate with other teachers in this school and, if possible, at comparable institutions. Try to provide information supporting or discounting the candidate's excellence in each area assessed. Summarize your evaluation of the candidate by circling the appropriate word(s) under the headings below. Please word process all responses.

### I. TEACHING EFFECTIVENESS

#### A. Quality of Teaching

Has a thorough grasp of the subject, demonstrates interest in quality of teaching; is thoughtful in selection and preparation of texts, reading lists, projects; is knowledgeable in areas allied with the general field taught; is aware of new developments in related fields, is well read beyond the subject taught. Works to contextualize course content with General Education and to student values when appropriate.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

#### B. Teaching Skills

Exhibits skill in communicating with classes; is dependable in preparing for and meeting classes; returns papers promptly; upgrades teaching techniques, works toward improving teaching performance; is thoughtful in creation of syllabi and assignments; gives appropriate and adequate feedback to students regarding their performance; provides evidence of student learning.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

C. Concern for Students

Is effective in counseling and advising students; is conscientious in advising duties and in keeping appointments with students; shows concern for students' personal development; recognizes and greets students out of class; keeps regular and sufficient office hours.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

D. Student Evaluations

For each course the candidate has taught at Pepperdine University during the last three years, list the course number, class size, student-evaluation average (on a five-point scale), and average of the grades awarded in the class.

Course Title and Number   Class Size   Average Evaluation   Average Class Grade

How do the candidate's student evaluations compare with those of other teachers in comparable courses?

II. SCHOLARLY, ARTISTIC, OR PROFESSIONAL ACHIEVEMENT

A. Scholarly Achievement

Publishes in scholarly journals; presents papers at professional meetings; participates in colloquia or panel discussions at one's own or other institutions; lectures to popular groups knowledgeable in the candidate's field, does work that receives serious attention from others; does original and creative work; expresses interest in the research of colleagues.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

B. Intellectual and Professional Development

Is well read in the subject taught; knowledgeable about and can suggest readings in any area of the general field; knows about developments in related fields; is sought by colleagues for advice on academic matters; keeps current with developments in the field; renews and upgrades skills.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

III. SERVICE

A. Professional Service

Actively participates in appropriate professional organizations; holds office in state, regional, or national professional organizations; holds advisory and consultative positions of recognized stature; holds committee membership at the national, regional, or state level; attends professional meetings on a regular basis.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

B. University Service

Does committee work effectively; carries out administrative responsibility within the school or division; sponsors student organizations; works with faculty organizations.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

C. Community Service

Actively participates in community and public service through church, service or civil organizations.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

IV. SUPPORT FOR CHRISTIAN VALUES

Evaluate the candidate's consistent pattern of support for generally accepted Christian values and the mission of Pepperdine University as these are described in the Mission

Statement. If you have knowledge, please comment on the candidate's participation in a community of faith.

V. ADDITIONAL FACTORS

Please state other factors, if any, which you feel should be considered.

VI. RECOMMENDATION

Accelerated promotion is reserved for those of exceptional merit. In light of this, comparing the candidate to other Seaver faculty members, place a check in the appropriate box on each row of the following table and check one of the recommendations.

	Top 5%	Top 10%	Top 25%	Top 50%	Bottom 50%
Teaching					
Scholarship					
Service					

(check one)

\_\_\_\_\_ I recommend without reservations that accelerated promotion be granted.

\_\_\_\_\_ I recommend with reservations that accelerated promotion be granted.  
My reservations are:

\_\_\_\_\_ I recommend that accelerated promotion not be granted.

Please comment:

**V. C. PEER EVALUATION FOR ACCELERATED PROMOTION  
PEPPERDINE UNIVERSITY**

Name of candidate \_\_\_\_\_ Date \_\_\_\_\_

Area in which accelerated promotion is sought \_\_\_\_\_

Respondent's name \_\_\_\_\_ Signature \_\_\_\_\_

Respondent's title \_\_\_\_\_

All candidates for accelerated promotion are evaluated in the areas of teaching, scholarly activity, and service. In addition, the candidate's basic support of general accepted Christian values and the mission of Pepperdine University as described in the Mission Statement of Pepperdine University is of great importance.

If you have any specific information concerning the candidate in any of these areas, please discuss in detail. Even if you wish to make no comment, please sign and return.

## **VI. FORMS RELATED TO FIVE-YEAR EVALUATION OF TENURED FACULTY**

- A. Notification of Five-Year Evaluation
- B. Notification of Peer Reviewer for Five-Year Evaluation
- C. Faculty Data Form for Five-Year Evaluation
- D. Designated Peer Evaluation for Five-Year Evaluation
- E. Chairperson Evaluation for Five-Year Evaluation

## VI. A. NOTIFICATION OF FIVE-YEAR EVALUATION

Date: \_\_\_\_\_

Dear \_\_\_\_\_ :

As your faculty representative on the Rank, Tenure, and Promotion Committee, it is my responsibility to inform you that you are scheduled for Five-Year Evaluation this year.

The process of evaluation will include responses from your chairperson as well as from three peers designated by you. To assist this process you should complete the Faculty Data Form (Form VI:C available at <http://seaver.pepperdine.edu/dean/documentsandpolicies/rtp.htm>) and compile a file of relevant materials and give it to me by \_\_\_\_\_. This file will be made available to your chairperson and designated peers to look at before they fill out their respective forms.

The file should contain, in addition to a photocopy of your Faculty Data Form, materials supporting the statements you have made on that Form. These materials will assist your peers and chairperson in responding to the sections on their respective forms. You may wish to consult those forms for guidance in preparing your file. The Committee is primarily interested in your activities since your last Rank, Tenure, and Promotion Committee evaluation.

The Committee expects to study all the materials returned to it and write an evaluation, copies of which will be sent to the administration, your chairperson, and you. Please also note the importance of the five-year review in determining your eligibility for a Faculty Performance Award. I would be happy to discuss with you any questions you may have relating to the evaluation process. Feel free to call me at extension \_\_\_\_\_.

Very truly yours,

Faculty Representative  
Rank, Tenure, and Promotion Committee



## VI. B. NOTIFICATION OF PEER REVIEWER FOR FIVE-YEAR EVALUATION

Date: \_\_\_\_\_

Dear \_\_\_\_\_:

Your colleague \_\_\_\_\_, is applying for \_\_\_\_\_.

The Rank, Tenure, and Promotion Committee has identified you as a designated peer to evaluate the candidate's teaching, scholarly activity, and service. The candidate's materials are on file in the candidate's division office for your perusal.

A Designated Peer Evaluation Form for Five-Year Review (Form VI:D) should be completed by you as a report on your evaluation. Please note that your responses must be word processed.

For your convenience, the evaluation form is available at

<http://seaver.pepperdine.edu/dean/documentsandpolicies/rtp.htm>

The committee reminds you that your comments should be candid and that you should provide explicit reasoning for your evaluation of the candidate's teaching, research, and service.

Sweeping and unsupported generalities, whether positive or negative, are not helpful to the committee. Do not hesitate to offer criticisms, which often strengthen the candidate's case because they prove the reviewer's objectivity and lend credibility to the positive comments. All evaluations are held in the strictest confidence.

We ask that you allocate sufficient time as a reviewer to provide the committee with a thorough, detailed review. Since most of the committee members are not experts in the fields of the candidates whom we evaluate, we rely on the evaluations of those who are. In particular, we need your evaluation of the quality and significance of the activities described in the candidate's file, whether it be class syllabi, sample exams, publications, presentations, acts of service, etc.

You should attend at least one class session of the candidate. Arrange with the candidate in advance to avoid visiting on days when exams, films, guest speakers, or other atypical class activities are planned. You may visit classes singly or with other peer reviewers as the candidate desires. You should arrive in the classroom on time and should stay until the class has been dismissed. The candidate need not introduce you to the class, but may at his or her discretion. Be as unobtrusive as possible during this class visit.

In order for the candidate to receive a fair review, it is critical that you return your completed evaluation form to me by \_\_\_\_\_. Please also note the importance of the five-year review in determining a faculty member's eligibility for a Faculty Performance Award. Thank you for undertaking this important responsibility.

Very truly yours,

Faculty Representative on Rank,  
Tenure, and Promotion Committee

## VI. C. FACULTY DATA FORM

### Five-Year Evaluation of Tenured Faculty

This form should be filled out by the faculty member being evaluated. Please include any additional documentation which might be helpful in this evaluation. Please word process all responses.

Date: \_\_\_\_\_

#### PERSONAL DATA

1. Name of faculty member \_\_\_\_\_ Signature \_\_\_\_\_
2. Pepperdine employment history
  - a. Date of first employment with Pepperdine.
  - b. When did you receive tenure?
  - c. What and when was your last promotion? Your last step increase?
  - d. Total years of teaching experience at Pepperdine.

#### TEACHING

3. List courses taught in the last five years.
4. Describe what you believe are your best course plans, your most creative course material, tests, etc. Describe what you have done in the last five years in your classes to improve your teaching effectiveness. Include any changes you have made in your teaching philosophy or pedagogical methods. Also incorporate any measures taken to improve your effectiveness (e.g., as attendance at teaching workshops at Pepperdine or elsewhere).
5. Describe your contributions to curriculum planning, programs for majors, and advising.
6. Evaluate your role in supervising internships, student research projects, and the like.

#### SCHOLARLY, ARTISTIC OR PROFESSIONAL ACHIEVEMENT

7. List and describe your scholarly, artistic, and professional achievements since your last RTP evaluation. Include published written work, unpublished manuscripts, papers read at meetings of learned societies, lectures to knowledgeable public groups, participation in colloquia or panel discussions at your own or other institutions, creative work (whether exhibited or performed outside or within the University), or appropriate clinical or consulting practice. For the sake of clarity, published works must be listed distinctly and separately from unpublished works or other achievements (such as research in progress, lectures, presentations, etc).
8. Evaluate the work listed above. Which do you believe to be the most important contributions to your field and why?

9. Describe and evaluate your current research; artistic, professional, or course development activities.
10. Describe ways in which you have kept current in your field, for example, courses, seminars, meetings, and special study programs attended in the past five years. List journals read on a regular basis and significant books, monographs, or professional materials read in the past five years.

#### PROFESSIONAL AND COMMUNITY SERVICE

11. List, describe, and date relevant membership, activities, and offices held in professional associations and societies. Evaluate your membership in these associations. What have you contributed to the association and your profession through your membership? Have your professional contributions improved your teaching and advising effectiveness?

#### COMMUNITY SERVICE

12. List and describe all community service activities, especially those associated with civic or service organizations, including offices held, since your last RTP evaluation.
13. Which of the activities listed in response to item 12 do you consider to be your most important contributions to your community and why?

#### DIVISION, COLLEGE, AND UNIVERSITY SERVICE

14. List the important university committees you have served on and divisional responsibilities you have fulfilled since your last evaluation by the Rank, Tenure, and Promotion Committee. Include work with the Faculty Association, divisional, college, and university committees, sponsorship of student organizations, and participation in convocation. Where do you think you have made your most valuable contributions and why?
15. Which of the activities listed in response to item 14 do you consider to be your most important contributions to the university, the college, or your division and why?

#### SUPPORT FOR MISSION STATEMENT

16. Describe your consistent pattern of support for generally accepted Christian values and the Mission of Pepperdine University as these are described in the Mission Statement of 1999, and describe your active participation in a community of faith. If possible, discuss your integration of faith and learning in the classroom.

#### ADDITIONAL FACTORS

17. State other factors, if any, which you wish the Committee to consider.

## VI. D. DESIGNATED PEER EVALUATION Five-Year Evaluation of Tenured Faculty

Date: \_\_\_\_\_

\_\_\_\_\_ is a tenured professor who is being evaluated under the Five-Year Evaluation. The purpose of this evaluation is mainly to provide information to the professor on his or her professional progress and standing within the University. The information is also provided to the administration. Please also note the importance of the five-year review in determining the faculty member's eligibility for a Faculty Performance Award. Your careful responses will be appreciated. After carefully reviewing the faculty member's file, please complete the following questionnaire, focusing on the period since the faculty member's last evaluation by the Rank, Tenure, and Promotion Committee. Evaluative detail is most desirable. Please word process all responses.

### TEACHING

1. Please evaluate the professor's course plans, materials, and tests. What has been most original, useful, sound in his or her approach and materials?

Poor      Marginal      Good      Very Good      Outstanding

2. Please evaluate the professor's contributions to curriculum planning, programs for majors, and advising.

Poor      Marginal      Good      Very Good      Outstanding

3. Please evaluate the professor's supervision of internships and student projects, research, recitals, exhibitions, and the like.

Poor      Marginal      Good      Very Good      Outstanding

### SCHOLARLY, ARTISTIC, OR PROFESSIONAL ACHIEVEMENT

4. Please evaluate the professor's scholarly, artistic, and professional work. In your review, focus on publications, papers, lectures, exhibitions or performances, and unpublished manuscripts since his or her last evaluation by the Rank, Tenure, and Promotion Committee. Which work is most significant to his or her field, to his or her teaching preparedness, to his or her intellectual development?

Poor      Marginal      Good      Very Good      Outstanding

5. Evaluate the professor's current research; artistic, professional, and course development activities.

Poor      Marginal      Good      Very Good      Outstanding

6. In your opinion, does the professor stay current in his or her field? What are his or her strengths and weaknesses?

Poor      Marginal      Good      Very Good      Outstanding

#### PROFESSIONAL AND COMMUNITY SERVICE

7. Please evaluate the professor's contribution to professional organizations and societies. How does the professor participate in these organizations? How does the professor use his or her membership to help his or her research or professional standing? How does the professor use his or her membership to help students?

Poor      Marginal      Good      Very Good      Outstanding

8. Please evaluate the professor's contributions to his or her community.

Poor      Marginal      Good      Very Good      Outstanding

#### DIVISION, COLLEGE, AND UNIVERSITY SERVICE

9. Please evaluate the professor's contributions on committees, his or her performance of administrative responsibilities within the division, work with Faculty Organization, student organizations, and convocation since his or her last evaluation by the Rank, Tenure, and Promotion Committee. What has been his or her most useful or original work done in this area and why do you consider it so?

Poor      Marginal      Good      Very Good      Outstanding

#### MISSION STATEMENT

10. Please evaluate the professor's support for the mission of Pepperdine University as described in the Mission Statement.

## VI. E. CHAIRPERSON EVALUATION Five-Year Evaluation of Tenured Faculty

Date: \_\_\_\_\_

\_\_\_\_\_ is a tenured professor who is being evaluated under the Five-Year Evaluation. The purpose of this evaluation is mainly to provide information to the professor on his or her professional progress and standing within the University. The information is also provided to the administration. Your careful responses will be appreciated. After carefully reviewing the faculty member's file, please complete the following questionnaire, focusing on the period since the faculty member's last evaluation by the Rank, Tenure, and Promotion Committee. Evaluative detail is most desirable. Please word process all responses.

### TEACHING

1. Please evaluate the professor's course plans, materials, and tests. What has been most original, useful, sound in his or her approach and materials?

Poor      Marginal      Good      Very Good      Outstanding

2. Please evaluate the professor's contributions to curriculum planning, programs for majors, and advising.

Poor      Marginal      Good      Very Good      Outstanding

3. Please evaluate the professor's supervision of internships and student projects, research, recitals, exhibitions, and the like.

Poor      Marginal      Good      Very Good      Outstanding

4. Please report on the professor's student evaluations for the past five years.

### SCHOLARLY, ARTISTIC, OR PROFESSIONAL ACHIEVEMENT

5. Please evaluate the professor's scholarly, artistic, and professional work. In your review, focus on publications, papers, lectures, exhibitions or performances, and unpublished manuscripts since his or her last evaluation by the Rank, Tenure, and Promotion Committee. Which work is most significant to his or her field, to his or her teaching preparedness, to his or her intellectual development?

Poor      Marginal      Good      Very Good      Outstanding

6. Evaluate the professor's current research; artistic, professional, and course development activities.

Poor      Marginal      Good      Very Good      Outstanding

7. In your opinion, does the professor stay current in his or her field? What are his or her strengths and weaknesses?

Poor      Marginal      Good      Very Good      Outstanding

#### PROFESSIONAL AND COMMUNITY SERVICE

8. Please evaluate the professor's contribution to professional organizations and societies. How does the professor participate in these organizations? How does the professor use his or her membership to help his or her research or professional standing? How does the professor use his or her membership to help students?

Poor      Marginal      Good      Very Good      Outstanding

9. Please evaluate the professor's contributions to his or her community.

Poor      Marginal      Good      Very Good      Outstanding

#### DIVISION, COLLEGE, AND UNIVERSITY SERVICE

10. Please evaluate the professor's contributions on committees, his or her performance of administrative responsibilities within the division, work with Faculty Organization, student organizations, and convocation since his or her last evaluation by the Rank, Tenure, and Promotion Committee. What has been his or her most useful or original work done in this area and why do you consider it so?

Poor      Marginal      Good      Very Good      Outstanding

#### MISSION STATEMENT

11. Please evaluate the professor's support for the mission of Pepperdine University as described in the Mission Statement. If you have knowledge, please comment on the candidate's participation in a community of faith.

**APPENDIX VII.****FORMS RELATED TO PRE-TENURE REVIEW  
OF TENURE TRACK FACULTY**

- A. Notification of Eligibility for Pre-Tenure Review
- B. Notification of Peer Reviewer for Pre-Tenure Review
- C. Faculty Data Form--Candidate for Pre-Tenure Review
- D. Designated Peer Evaluation Form for Pre-Tenure Review
- E. Supervisor's Evaluation Form for Pre-Tenure Review



## VII. A. NOTIFICATION OF ELIGIBILITY FOR PRE-TENURE REVIEW

Date: \_\_\_\_\_

Dear \_\_\_\_\_:

As your faculty representative on the Rank, Tenure, and Promotion Committee, it is my responsibility to inform you that you are scheduled for pre-tenure review this year.

The process of evaluation will include the following elements: (1) chairperson evaluation, (2) designated peer evaluation, (3) student evaluations. As your Rank, Tenure, and Promotion Committee Representative, I will soon contact you to assist you in selecting the five peers who will fill out a Designated Peer Evaluation Form.

To assist this process, you should complete the Faculty Data Form (Form VII:C available at <http://seaver.pepperdine.edu/dean/documentsandpolicies/rtp.htm>) and compile a file of relevant materials and give it to me by \_\_\_\_\_. This file will ultimately be made available to your chairperson and your designated peers to look at before they fill out their respective forms.

The file should contain the following: (1) a photocopy of your Faculty Data Form; (2) teaching materials, such as course syllabi, copies of examinations, paper assignments, reading lists, and handouts specially devised by you, and any other material which you believe will enable your peers to get a sense of your teaching methods; (3) reprints or copies of articles, books, and papers delivered at conferences, handbooks you have devised, and the like; (4) any materials relating to contributions you have made in the area of professional and community service.

The committee expects to study all the materials returned to it and to write an evaluation, detailing your strengths and weaknesses, copies of which will be sent to the dean, your chairperson, and you. This evaluation, while not guaranteeing a favorable tenure decision later, will be used in deciding whether you will be reappointed. I would be happy to discuss with you any questions you may have relating to the evaluation process. Feel free to call on me at extension \_\_\_\_\_.

Very truly yours,

Faculty Representative on Rank,  
Tenure, and Promotion Committee

## VII. B. NOTIFICATION OF PEER REVIEWER FOR PRE-TENURE REVIEW

Date: \_\_\_\_\_

Dear \_\_\_\_\_ :

Your colleague, \_\_\_\_\_ is applying for \_\_\_\_\_ .  
The Rank, Tenure, and Promotion Committee has identified you as a designated peer to evaluate the candidate's teaching, scholarly activity, and service. The candidate's materials are on file in the candidate's division office for your perusal.

Attached is a form to be completed by you as a report on your evaluation (Form VII:D). Please note that your responses must be word processed. For your convenience, the evaluation form is available at <http://seaver.pepperdine.edu/dean/documentsandpolicies/rtp.htm>.

The committee reminds you that your comments should be candid and that you should provide explicit reasoning for your evaluation of the candidate's teaching, research, and service. Sweeping and unsupported generalities, whether positive or negative, are not helpful to the committee. Do not hesitate to offer criticisms, which often strengthen the candidate's case because they prove the reviewer's objectivity and lend credibility to the positive comments. All evaluations are held in the strictest confidence.

We ask that you allocate sufficient time as a reviewer to provide the committee with a thorough, detailed review. Since most of the committee members are not experts in the fields of the candidates whom we evaluate, we rely on the evaluations of those who are. In particular, we need your evaluation of the quality and significance of the activities described in the candidate's file, whether it be class syllabi, sample exams, publications, presentations, acts of service, etc.

You should attend at least one class session of the candidate. Arrange with the candidate in advance to avoid visiting on days when exams, films, guest speakers, or other atypical class activities are planned. You may visit classes singly or with other peer reviewers as the candidate desires. You should arrive in the classroom on time and should stay until the class has been dismissed. The candidate need not introduce you to the class, but may at his or her discretion. Be as unobtrusive as possible during this class visit.

In order for the candidate to receive a fair review, it is critical that you return your completed evaluation form to me by \_\_\_\_\_. Thank you for undertaking this important responsibility.

Very truly yours,

Faculty Representative on Rank,  
Tenure, and Promotion Committee

## VII. C. FACULTY DATA FORM—CANDIDATE FOR PRE-TENURE REVIEW PEPPERDINE UNIVERSITY

This form should be filled out by the candidate. Please include any additional documentation which might be helpful in this evaluation. Please type all responses.

Date: \_\_\_\_\_

### PERSONAL DATA

1. Name of Candidate \_\_\_\_\_ Signature \_\_\_\_\_
2. Review is being sought in \_\_\_\_\_.
3. Summarize your education, listing each school and dates attended, degrees conferred, special honors received, etc. Begin with the most recent.
4. Pepperdine Employment History
  - a. Date of first employment in your present tenure-track position:
  - b. Rank at which you began:
  - c. List all promotions attained and dates they occurred:
  - d. Total years of teaching experience at Pepperdine University:

### TEACHING

5. List all schools other than Pepperdine University at which you have taught, including your rank and the dates of your appointments. Begin with the most recent.
6. List all of the courses you have taught at Pepperdine University.
7. List teaching responsibilities not reflected above, including student advising, thesis and dissertation committee responsibilities, student research projects, development of new courses or programs, supervision of student interns, coaching debate, moot court or similar teams. Provide reflective statements on teaching tools developed and on student evaluations. Provide evidence of student learning.
8. Summarize your teaching goals for the next three years.

### SCHOLARLY, ARTISTIC, OR PROFESSIONAL ACHIEVEMENT

9. List published written work, research projects completed, grants received, unpublished manuscripts that are being submitted for publication, papers read at meetings of learned societies, lectures to public groups knowledgeable in your field, participation in colloquia or panel discussions at your own or other institutions, creative work exhibited or performed outside or within the University, or appropriate clinical or consulting practice.

For the sake of clarity, published works must be listed distinctly and separately from unpublished works or other achievements (such as research in progress, lectures, presentations, etc). If available, cite evaluations of your scholarship by your professional, off-campus peers (especially in the case of exhibits, performances, etc.). Provide a reflective statement on how you think your work contributes to one or more of the categories of the “Boyer model” of scholarship: discovery, pedagogy, integration, application. (See Ernest L. Boyer, *Scholarship Reconsidered: Priorities of the Professoriate*.)

10. List current research, artistic, professional, course or program development activities, and your goals in these areas for the next three years.
11. List courses, seminars, meetings or special study programs attended in the past 3 years, plus any other significant means employed for staying current in your field.

#### PROFESSIONAL SERVICE

12. List and date relevant membership, activities, and offices held in professional associations and societies, including editorships of professional journals.
13. List your professional service goals for the next three years.

#### UNIVERSITY SERVICE

14. List committees served on, administrative assignments, sponsorship of student organizations, work with faculty organizations, general student advisement, and chapel/convocation involvement.
15. List your university service goals for the next three years.

#### COMMUNITY SERVICE

16. List all community service including church, civic or service organizations, including offices held.
17. List your goals in the area of university service for the next three years.

#### SUPPORT FOR CHRISTIAN VALUES

18. Describe your consistent pattern of support for generally accepted Christian values and the mission of Pepperdine University as these are described in the Mission Statement of 1999, and describe your active participation in a community of faith. If possible, discuss your integration of faith and learning in the classroom.

#### ADDITIONAL FACTORS

19. State other factors, if any, which you wish the committee to consider.

**VII D. DESIGNATED PEER EVALUATION FORM FOR PRE-TENURE REVIEW  
PEPPERDINE UNIVERSITY**

Name of candidate \_\_\_\_\_ Date \_\_\_\_\_

Area in which pre-tenure review is sought \_\_\_\_\_

Respondent's name \_\_\_\_\_ Signature \_\_\_\_\_

Respondent's title \_\_\_\_\_

All candidates for pre-tenure review or promotion are evaluated in the following areas: teaching; scholarly, artistic, or professional achievement; service to the community and the institution; and support for Christian values and the mission of Pepperdine University. After carefully reviewing the candidate's file, please complete the following questionnaire. In each of the ratings, compare the candidate with other teachers in this school and, if possible, at comparable institutions. Summarize your evaluation of the candidate by circling the appropriate word(s) under the headings below. Please word process all responses.

I. TEACHING EFFECTIVENESS

A. Quality of Teaching

Has a thorough grasp of the subject, demonstrates interest in quality of teaching; is thoughtful in selection and preparation of texts, reading lists, projects; is knowledgeable in areas allied with the general field taught; is aware of new developments in related fields, is well read beyond the subject taught. Works to contextualize course content with General Education and to student values when appropriate.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

B. Teaching Skills

Exhibits skill in communicating with classes; is dependable in preparing for and meeting classes; returns papers promptly; upgrades teaching techniques, works toward improving teaching performance; is thoughtful in creation of syllabi and assignments; gives appropriate and adequate feedback to students regarding their performance; provides evidence of student learning.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

C. Concern for Students

Is effective in counseling and advising students; is conscientious in advising duties and in keeping appointments with students; shows concern for students' personal development; recognizes and greets students out of class; keeps regular and sufficient office hours.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

II. SCHOLARLY, ARTISTIC, OR PROFESSIONAL ACHIEVEMENT

A. Scholarly Achievement

Publishes in scholarly journals; presents papers at professional meetings; participates in colloquia or panel discussions at one's own or other institutions; lectures to popular groups knowledgeable in the candidate's field, does work that receives serious attention from others; does original and creative work; expresses interest in the research of colleagues.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

B. Intellectual and Professional Development

Is well read in the subject taught; knowledgeable about and can suggest readings in any area of the general field; knows about developments in related fields; is sought by colleagues for advice on academic matters; keeps current with developments in the field; renews and upgrades skills.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

III. SERVICE

A. Professional Service

Actively participates in appropriate professional organizations; holds office in state, regional, or national professional organizations; holds advisory and consultative

positions of recognized stature; holds committee membership at the national, regional, or state level; attends professional meetings on a regular basis.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

B. University Service

Does committee work effectively; carries out administrative responsibility within the school or division; sponsors student organizations; works with faculty organizations.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

C. Community Service

Actively participates in community and public service through church, service or civil organizations.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

IV. SUPPORT FOR CHRISTIAN VALUES

Evaluate the candidate's consistent pattern of support for generally accepted Christian values and the mission of Pepperdine University as these are described in the Mission Statement. If you have knowledge, please comment on the candidate's participation in a community of faith.

V. ADDITIONAL FACTORS

Please state other factors, if any, which you feel should be considered.

VI. SUMMARY

Discuss the candidate's most significant strengths and weaknesses and make suggestions for change or improvement.

VII. PRE-TENURE RECOMMENDATION (check one)

I recommend without reservations that this candidate be reappointed to a tenure track position.

I recommend with reservation that this candidate be reappointed to a tenure track position.

My reservations are:

I recommend that this candidate not be granted reappointment to a tenure track position.

Please comment:



## VII. E. SUPERVISOR'S EVALUATION FORM FOR PRE-TENURE REVIEW PEPPERDINE UNIVERSITY

Name of candidate \_\_\_\_\_ Date \_\_\_\_\_

Area in which pre-tenure review is sought: \_\_\_\_\_

Respondent's name \_\_\_\_\_ Signature \_\_\_\_\_

Respondent's title \_\_\_\_\_

All candidates for pre-tenure review or promotion are evaluated in the following areas: teaching; scholarly, artistic, or professional achievement; service to the community and the institution; and support for Christian values and the mission of Pepperdine University. After carefully reviewing the candidate's file, please complete the following questionnaire. In each of the ratings, compare the candidate with other teachers in this school and, if possible, at comparable institutions. Summarize your evaluation of the candidate by circling the appropriate word(s) under the headings below. Please word process all responses.

### I. TEACHING EFFECTIVENESS

#### A. Quality of Teaching

Has a thorough grasp of the subject, demonstrates interest in quality of teaching; is thoughtful in selection and preparation of texts, reading lists, projects; is knowledgeable in areas allied with the general field taught; is aware of new developments in related fields, is well read beyond the subject taught. Works to contextualize course content with General Education and to student values when appropriate.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

#### B. Teaching Skills

Exhibits skill in communicating with classes; is dependable in preparing for and meeting classes; returns papers promptly; upgrades teaching techniques, works toward improving teaching performance; is thoughtful in creation of syllabi and assignments; gives appropriate and adequate feedback to students regarding their performance; provides evidence of student learning.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

C. Concern for Students

Is effective in counseling and advising students; is conscientious in advising duties and in keeping appointments with students; shows concern for students' personal development; recognizes and greets students out of class; keeps regular and sufficient office hours.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

D. Student Evaluations

For each course the candidate has taught at Pepperdine University while on the tenure track, list the course number, class size, student-evaluation average (on a five-point scale), and average of the grades awarded in the class.

Course Title and Number   Class Size   Average Evaluation   Average Class Grade

How do the candidate's student evaluations compare with those of other teachers in comparable courses?

II. SCHOLARLY, ARTISTIC, OR PROFESSIONAL ACHIEVEMENT

A. Scholarly Achievement

Publishes in scholarly journals; presents papers at professional meetings; participates in colloquia or panel discussions at one's own or other institutions; lectures to popular groups knowledgeable in the candidate's field, does work that receives serious attention from others; does original and creative work; expresses interest in the research of colleagues.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

B. Intellectual and Professional Development

Is well read in the subject taught; knowledgeable about and can suggest readings in any area of the general field; knows about developments in related fields; is sought by

colleagues for advice on academic matters; keeps current with developments in the field; renews and upgrades skills.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

### III. SERVICE

#### A. Professional Service

Actively participates in appropriate professional organizations; holds office in state, regional, or national professional organizations; holds advisory and consultative positions of recognized stature; holds committee membership at the national, regional, or state level; attends professional meetings on a regular basis.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

#### B. University Service

Does committee work effectively; carries out administrative responsibility within the school or division; sponsors student organizations; works with faculty organizations.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

#### C. Community Service

Actively participates in community and public service through church, service or civil organizations.

Poor      Marginal      Good      Very Good      Outstanding

Please comment:

### IV. SUPPORT FOR CHRISTIAN VALUES

Evaluate the candidate's consistent pattern of support for generally accepted Christian values and the mission of Pepperdine University as these are described in the Mission Statement. If you have knowledge, please comment on the candidate's participation in a community of faith.

V. ADDITIONAL FACTORS

Please state other factors, if any, which you feel should be considered.

VI. SUMMARY

Discuss the candidate's most significant strengths and weaknesses and make suggestions for change or improvement.

VII. PRE-TENURE RECOMMENDATION (check one)

I recommend without reservations that this candidate be reappointed to a tenure track position.

I recommend with reservation that this candidate be reappointed to a tenure track position.

My reservations are:

I recommend that this candidate not be granted reappointment to a tenure track position.

Please comment:

**APPENDIX VIII.**

**FORMS RELATED TO FACULTY DEVELOPMENT AND APPRAISAL PROGRAM**

- A. Faculty Data Form
- B. Division Chairperson Yearly Evaluation

**VIII. A. FACULTY DATA FORM  
FACULTY DEVELOPMENT AND APPRAISAL PROGRAM**

Date: \_\_\_\_\_

Name of Candidate: \_\_\_\_\_ Signature: \_\_\_\_\_

The purpose of this form is to promote communication between faculty member and chairperson about the faculty member's development. It is to be held confidential by faculty member and chairperson, and is not a part of the official evaluation for promotion or tenure.

Please complete the form in as much detail as possible. Include any additional documentation which might help the division chairperson to evaluate your performance in the areas of teaching, scholarly activity, and service.

I. TEACHING

List courses you teach. For each course taught, please provide tests, syllabi, reading lists, projects assigned, and other pertinent information. Also, list teaching responsibilities which are not reflected in the list of courses taught (course revisions, advising, student directed research, development of instructional materials, etc.).

Goals:

II. SCHOLARLY ACTIVITY

A. Research and Presentations

Please include published written work, unpublished manuscripts, papers read at meetings of learned societies, lectures to knowledgeable public groups, participation in colloquia or panel discussions at your own or other institutions, creative work (whether exhibited or performed outside or within the University) or appropriate clinical or consulting practice.

Goals:

B. Professional Development Activities

List courses, seminars, or special study programs attended during the past year. List journals read on a regular basis and significant books, monographs, or professional materials read in the past year.

Goals:

### III. SERVICE

#### A. Professional and Community Service

List memberships, activities, and offices held in professional associations and societies; service to the community through religious, political, or other organizations.

Goals:

#### B. Division, College, and University Service

Include committees served on, administrative responsibility within division, sponsorship of student organizations, work with Faculty Organization.

Goals:

### VIII. B. DIVISION CHAIRPERSON YEARLY EVALUATION FACULTY DEVELOPMENT AND APPRAISAL PROGRAM

Name of Faculty Member \_\_\_\_\_ Date \_\_\_\_\_

Chairperson's Name \_\_\_\_\_ Signature \_\_\_\_\_

The purpose of this form is to promote communication between faculty member and chairperson about the faculty member's development. It is to be held confidential by faculty member and chairperson, and is not a part of the official evaluation for promotion or tenure. After carefully reviewing the faculty member's file, please complete the following in as much detail as possible. In evaluating the candidate in each area, please take into consideration the following statements.

#### I. TEACHING EFFECTIVENESS

##### A. Intellectual Breadth

Seems well read beyond the subject taught; can suggest reading in any area of the general field; knows about developments in other fields; is sought by colleagues for advice on academic matters; keeps current with developments in the field.

Strengths:

Weaknesses:

##### B. Quality of Teaching

Expresses interest and concern about the quality of teaching; is dependable in meeting class; returns papers promptly; upgrades teaching techniques by taking courses and attending meetings; does research geared toward improving teaching performance; is thoughtful in selection and preparation of texts, syllabi, reading lists, projects, audiovisual materials, tests, etc.; upgrades lecture materials; performs effectively in the classroom.

Strengths:

Weaknesses:



C. Concern for Students

Shows skill in advising and is conscientious in carrying out advising duties; is conscientious about keeping appointments with students; shows concern for students' personal growth; keeps regular and sufficient office hours.

Strengths:

Weaknesses:

D. Student Evaluations

For courses taught during the past fall and winter trimesters, list the course number, class size, student-evaluation average (on four- point scale), and grade-point average.

<u>Course No.</u>	<u>Class Size</u>	<u>Student-Evaluation Average</u>	<u>Average Grade</u>
-------------------	-------------------	---------------------------------------	----------------------

How do these student evaluations compare with those of teachers in comparable courses?

II. SCHOLARLY ACTIVITY

Publishes in scholarly journals; gives papers at meetings of learned societies; lectures to knowledgeable public groups; participates in colloquia or panel discussions at his or her own or other institutions; has exhibited or performed creative work outside or within the University; has unpublished manuscripts of significant worth.

Strengths:

Weaknesses:

III. SERVICE

A. Professional and Community Service

Actively participates in state, regional, or national professional organizations; holds advisory and consultative positions of recognized stature; serves the community through religious, political, or other organizations.

Strengths:

Weaknesses:

B. Division, College, and University Service

Does committee work, carries out administrative responsibility within the division, sponsors student organizations, works with Faculty Organization; attends convocation.

Strengths:

Weaknesses:

## **APPENDIX IX.**

### **TENURE POLICY STATEMENT OF PEPPERDINE UNIVERSITY**

Faculty members at Pepperdine University are selected because of their academic and personal qualifications and the expectation of their success as teachers. They are also chosen because of their willingness to support the distinctive philosophy of the University and to work within it. Quality of academic preparation and promise, acceptance of Christian values, and respect for the University's religious heritage are paramount considerations in the recruitment, selection and promotion of faculty.

The University desires that faculty work in an atmosphere of academic freedom and economic security. This Tenure Policy Statement is designed to enable Pepperdine University to protect its distinctive mission as well as the rights of its faculty as they relate to academic freedom and tenure.

In recognition of the practices of the academic community and in awareness of the value of systems of tenure which have developed in American education, the University has adopted the policies set forth herein regarding tenure.

#### **I. STATEMENT OF TERMS OF APPOINTMENT**

The terms and conditions of every appointment to the faculty shall be stated in a written contract between each faculty member and the University. Any modification of such a contract must also be agreed to between those parties in writing. Neither a faculty member nor the University shall be bound by terms or conditions not agreed to in writing.

#### **II. TENURE**

Tenure is the right of a faculty member to continue to be employed by the University in the field of his or her specialization at the school within the University in which tenure is attained. However, tenure at the School of Law shall exist without reference to any field of specialization within the study of law. It is a privilege which may be granted to individuals who serve a period prior to tenure in a probationary appointment or to persons offered tenure by the University at the time of appointment. Tenure may be terminated only for adequate cause (except in the case of retirement for age as permitted by law) or under extraordinary circumstances because of financial exigencies, discontinuance or reduction of a program or department of instruction, or medical reason. Tenure review will occur at the times specified in V hereof.

#### **III. CRITERIA FOR APPOINTMENT, RENEWAL AND TENURE**

- A. In general, faculty are judged on the quality of performance in each of four areas: teaching; service to the University and the community; scholarly, artistic or

professional achievement; and a consistent pattern of support for generally accepted Christian values and the mission of the University.

- B. The substantive standards and procedures generally employed in decisions affecting appointment, renewal and tenure are contained in the appropriate school handbook and other written authority, if any. A faculty member may obtain these materials from the Divisional Chairperson or the Dean of the faculty member's school.

#### **IV. ELIGIBILITY FOR TENURE**

- A. Tenure track appointments are so designated in the faculty contract and may carry an academic rank of Instructor, Assistant Professor, Associate Professor, or Professor. Appointments are designated in the contract as "Probationary Tenure Track."
- B. Persons with appointments in any of the following categories are not eligible for tenure.
  - 1. Adjunct: These individuals serve the University in a position designed to meet defined and specific instructional needs.
  - 2. Faculty status: These individuals generally do not perform traditional faculty duties but are accorded faculty status because of their close association with the academic process.
  - 3. Short-term appointments: These individuals include visiting faculty and those employed for a relatively brief and specified period of time.
  - 4. Special appointments: These individuals are appointed on special terms by mutual agreement.

The provisions of this Tenure Policy Statement are only applicable to faculty with tenure or with probationary appointments and are thus not applicable to the above four categories unless otherwise agreed in writing.

#### **V. PERIOD OF PROBATIONARY APPOINTMENTS AND TIME FOR TENURE REVIEW**

- A. Probationary appointments may be for one year, or for other stated periods, subject to renewal at the option of the University. The total period of service in a particular school within the University in a probationary appointment prior to attaining tenure shall not exceed seven years. (This period of employment is stated herein solely to specify the maximum period of probation to tenure and does not

obligate the University to employ any person for the full term of such period.) Ordinarily there is no early tenure unless the faculty member has previous service elsewhere at a comparable professional level. In situations involving such prior service, the prospective faculty member and the University may agree in writing at the time of appointment on the length of the probationary period and the time of tenure review.

- B. Written notice that a probationary appointment is not to be renewed shall be given to the faculty member in accordance with X hereof. No later than thirty calendar days following such notification, the faculty member may file a written grievance in accordance with XIII hereof contesting the nonrenewal.
- C. A faculty member employed with the rank of "Instructor" must achieve the rank of "Assistant Professor" no later than the beginning of the fifth year of service to be eligible to apply for tenure.
- D. Faculty will normally apply to be reviewed for tenure during the sixth year of service in a probationary appointment in a school within the University. (Faculty members who are on probationary tenure track and under a fifth year review policy on the date this Tenure Policy Statement is adopted may elect to be reviewed for tenure appointment during the fifth year of service, in which event if tenure is not granted, the sixth year will be the terminal year.) In the event of failure to apply for tenure or if tenure is not granted, the seventh year will be the terminal year of service. Tenure review, however, may be deferred to the seventh year if, prior to making recommendation with respect to the granting of tenure, the school tenure committee or the Dean recommends deferment and the faculty member and the Chief Academic Officer concur. In any event, the seventh year will be the terminal year if tenure is not granted.
- E. A faculty member with the rank of Professor, Associate Professor or Assistant Professor may request in writing that the school tenure committee and the Dean of the school conduct a tenure review earlier than normally scheduled. The faculty member will set forth the case for early review. If the school tenure committee and the Dean recommend early review and the Chief Academic Officer concurs, early review will be granted. If the early review request is granted, the faculty member does not receive tenure, and no additional review is allowed, then the year following the early review will be the terminal year. If, however, the school tenure committee or the Dean recommends and the Chief Academic Officer concurs, one additional review will be allowed in accordance with V, D above.
- F. If an individual employed in one school within the University is subsequently employed in another school within the University, such previous service shall normally not be counted toward the achievement of tenure, and a new probationary period will begin.

## VI. TENURE AND TENURE REVIEW

- A. In extremely rare cases, tenure may be granted concomitantly with an initial appointment.
- B. Faculty with probationary appointments will be reviewed in the following manner in consideration for tenure:
  - 1. School Tenure Committee: The first review shall be by the tenure committee of the faculty member's school in accordance with this Tenure Policy Statement and any applicable written procedures of that school. In keeping with the principle that tenure is granted in a particular school, the recommendation of the school tenure committee shall be considered the substantive faculty evaluation of the candidate for tenure.
  - 2. Dean of the School: The second review shall be an evaluation of the candidate's qualification for tenure by the Dean of the school in accordance with this Tenure Policy Statement and any applicable written procedures of the school.
  - 3. If both the school tenure committee and the Dean conclude that tenure should not be granted, tenure shall be denied and the candidate shall be promptly notified of such decision in writing. The candidate may appeal this decision as provided in VI, B, 7 below.
  - 4. University Tenure Committee: If the school tenure committee and/or the Dean concludes that tenure should be granted, the matter shall be referred to the University Tenure Committee for a third review. This review shall be in accordance with this Tenure Policy Statement and any applicable written procedures of that Committee. As part of this review the Committee shall determine that procedural and substantive rules and criteria for tenure are being consistently applied across the University within the context of the varied academic and professional programs.
    - a. If the University Tenure Committee concludes that tenure should be granted, the matter shall be referred to the administration of the University.
    - b. If the University Tenure Committee concludes that tenure should not be granted and one of the two first reviews recommended that tenure not be granted, tenure shall be denied and the candidate shall promptly be notified of such decision in writing. The candidate may appeal this decision as provided in VI, B, 7 below.

- c. If the University Tenure Committee concludes that tenure should not be granted and both of the two first reviews recommended that tenure be granted, the matter shall be referred to the administration of the University.
- 5. University Administration: The administration shall for this purpose be defined by the President, but will always include the President and the Chief Academic Officer. If the administration of the University concludes that tenure should be granted, such recommendation shall be communicated to the Board of Regents of the University. If the administration of the University concludes that tenure should not be granted, tenure shall be denied and the candidate shall be promptly notified of such decision in writing. In the event of such a decision to deny tenure, the candidate may appeal such decision as provided in VI, B, 7 below.
- 6. Board of Regents: The authority to grant tenure rests solely in the Board of Regents of the University. Its decision not to grant tenure is not subject to grievance or other appeal within the University. Review by the Board includes review and recommendation by both the Academic Affairs Committee and the Religious Standards Committee of the Board.
- 7. No later than thirty calendar days following notification of a non-recommendation of tenure other than by the Board of Regents, the candidate may file a written grievance in accordance with XIII hereof contesting the denial of tenure.
- C. All faculty with tenure will be subject to a thorough review of performance every five years by the tenure committees of the schools. This review will serve to identify areas of strengths and weaknesses of faculty performance and to identify means to improve that performance.

## **VII. DISMISSAL FOR CAUSE**

- A. Other than as provided in VIII hereof, dismissal of a faculty member with tenure, or with a probationary appointment before the end of the specified contract term, may only be for adequate cause. Adequate cause for a dismissal must be related, directly and substantially, to the fitness of the faculty member in a professional capacity as an educator, to a situation of serious neglect of duty, incompetence, gross misconduct, moral turpitude, or to a clear demonstration of a consistent pattern of disregard for the policies, the Christian values or the mission of the University.
- B. Dismissal for cause of a faculty member with tenure, or with a probationary appointment before the end of the specified contract term, will be preceded by:

1. Discussions between the faculty member and the appropriate University administrator looking toward a mutual resolution of concerns. In these discussions, the University, at its discretion, may offer the faculty member the option of resigning in lieu of a dismissal hearing.
  2. Informal inquiry by the school's tenure committee, or a subcommittee specially appointed by it which may, failing to effect an adjustment, determine whether in its opinion dismissal proceedings should be undertaken without its opinion being binding upon the University.
  3. Notice of intent to dismiss, delivered to the faculty member by serving it personally or by mailing it by means of United States certified mail to the faculty member's last known address, which shall inform the faculty member that employment will be terminated on a date not less than thirty calendar days from the date of personal delivery or mailing. The notice of intent shall also include a statement of reasons for dismissal, drawn with reasonable specificity by the Chief Academic Officer or the Chief Academic Officer's designee.
- C. Unless a faculty member who has been served with a notice of intent to dismiss exercises the right to grieve the decision to dismiss under XIII hereof by filing a written grievance within thirty calendar days of the date on which the notice is delivered or mailed, the dismissal shall become effective on the date specified in the notice of intent to dismiss without further notice or action required on the part of the University.
- D. If a faculty member gives timely notice of intent to grieve the decision to dismiss, the dismissal shall be postponed pending completion of the grievance procedure. The faculty member, however, may be suspended from duties without loss of pay or assigned other duties in lieu of suspension if, in the judgment of the Chief Academic Officer continued service results in immediate harm to the faculty member, others or the University.

## **VIII. TERMINATION FOR REASONS OTHER THAN CAUSE**

### **A. Financial Exigency**

1. Termination of an appointment with tenure, or of a probationary appointment before the end of the specified contract term, may occur because of a bona fide financial exigency, i.e., an imminent financial crisis which threatens the economic stability of a school and which cannot be alleviated by less drastic means. The capital assets of the University need not be depleted prior to declaring a situation of financial exigency.



2. A representative faculty body shall be consulted in the process of making the decision that a condition of financial exigency exists or is imminent and that all reasonable alternatives to termination of appointments have been pursued. This body shall consist of up to five faculty members from each of the schools within the University who are to be selected by the faculties of the respective schools.
3. Judgments determining where, within the overall academic program, termination of appointments may occur involve considerations of mission, as set forth in the Mission Statement, and educational policy as well as of faculty rank. The faculty shall have the opportunity to make recommendations in these matters, including recommendations to help determine the criteria for identifying the individuals whose appointments are to be terminated. These criteria may appropriately include length of service and total contribution to the University. The decision shall be made by the administration of the University.
4. The case of a faculty member given notice of proposed termination of appointment due to financial exigency will be governed by the following procedure.
  - a. The notice of proposed termination of appointment due to financial exigency shall be delivered in person or mailed by means of United States certified mail to the faculty member's last known address and shall inform the faculty member of the right under XIII hereof to file a written grievance within thirty calendar days of the date on which the notice is delivered or mailed.
  - b. The issues which may be addressed in any such grievance are limited to the following:
    - (i) The existence and extent of the condition of financial exigency. The findings of a faculty committee in a previous proceeding involving the same issue may be introduced. The administration shall have the responsibility of providing facts that establish the existence and extent of the condition.
    - (ii) The validity of the educational judgments and the criteria for identification for termination; but any criteria established as a result of consultation with the faculty body on these matters shall be given great weight.
    - (iii) Whether the criteria are being properly applied in the individual case.

5. If the University terminates appointments because of financial exigency, it shall not at the same time make new appointments except in circumstances where a distortion in the academic program would otherwise result. The appointment of a faculty member with tenure shall not be terminated in favor of retaining a faculty member without tenure within the same school except in circumstances where a distortion of the academic program would otherwise result.
6. Before terminating an appointment because of financial exigency, the University administration, with faculty consultation, shall make reasonable efforts to place the faculty member concerned in another suitable position within the University. If the placement is not in the same field of specialization and at the same school, tenure will terminate, but tenure may thereafter be obtained on the basis of service in the new appointment upon meeting the normal requirements for tenure. In no way should the academic quality of the University or any of its programs be compromised by offering tenured faculty appointments in fields of specialization in which faculty members are not well qualified.
7. In all cases of termination of appointment because of financial exigency, the position of the faculty member concerned shall not be filled by a replacement within a period of three years unless the released faculty member has been offered reinstatement and a reasonable time in which to accept or decline it.

B. Discontinuance or Reduction of Program or Department

1. Termination of an appointment with tenure may occur as a result of bona fide formal discontinuance or reduction of a program or department of instruction. No showing of financial exigency is required. The following standards and procedures shall apply.
  - a. The decision to discontinue a program or department of instruction shall be based upon educational considerations, as determined by the administration after consultation with a representative faculty body (as defined in VIII, A, 2), upon factors related to the mission of the University, or upon financial considerations where enrollment declines are seen as more than temporary in nature, and the University cannot reasonably continue to support such program or department without producing a significant negative impact on other programs or departments. The decision must reflect long-range judgments that the educational mission of the University as a whole will be enhanced by the discontinuance.
  - b. Before the University issues notice to a tenured faculty member of its intention to terminate an appointment because of formal

discontinuance of a program or department of instruction, the University shall make reasonable efforts to place the faculty member concerned in another suitable position. If the placement is not in the same field of specialization and at the same school, tenure will terminate, but tenure may thereafter be obtained on the basis of service in the new appointment upon meeting the normal requirements for tenure. In no way should the academic quality of the University or any of its programs be compromised by offering tenured faculty appointments in fields of specialization in which they are not well qualified.

- c. If no suitable position is available within the University, the faculty member's appointment may then be terminated. A notice of termination resulting from a discontinuance or reduction shall be delivered in person or mailed by means of United States certified mail to the faculty member's last known address and shall inform the faculty member of the right under XIII hereof to file a written grievance within thirty calendar days of the date on which the notice is delivered or mailed. The issues in connection with such a grievance shall be limited to the University's failure to satisfy any of the conditions specified in VIII, B, hereof.
- d. If the University terminates an appointment because of a reduction of a program or department, the appointment of a faculty member with tenure shall not be terminated in favor of the appointment or retention of a faculty member without tenure within the same program or department except in circumstances where a distortion of the academic program would otherwise result.
- e. In all cases of termination of appointment because of discontinuance or reduction of a program or department, the position of the faculty member concerned shall not be reinstated and filled by a replacement within a period of three years unless the released faculty member has been offered reinstatement and a reasonable time in which to accept or decline it.

#### C. Medical Reason

Termination of an appointment with tenure, or of a probationary appointment before the end of the specified contract term, for medical reasons must be based upon clear and convincing evidence that the faculty member cannot continue to fulfill the terms and conditions of appointment. The decision to terminate may be reached only after there has been appropriate consultation with medical personnel and after the faculty member concerned, or someone representing the faculty member, has been informed of the basis of the proposed action and has been afforded an opportunity to present the faculty member's position. If the faculty

member so requests, the evidence will be reviewed by the appropriate school tenure committee before a final decision is made. Notice of termination shall be delivered in person or mailed by United States certified mail to the faculty member's last known address and shall inform the faculty member of the right under XIII hereof to file a written grievance within thirty calendar days of the date on which the notice is delivered or mailed.

D. Retirement

The mandatory retirement age, to the extent permitted by law, for all tenured faculty members shall be seventy. By mutual agreement between the University and a faculty member, however, the faculty member may receive additional teaching appointments not to exceed one year at a time following mandatory retirement. In the event no further appointments are made, no notice of intention not to make additional appointments shall be required. Tenure may not be retained by faculty members who are retired even though they continue to teach.

**IX. PROCEDURES FOR IMPOSITION OF SANCTIONS OTHER THAN DISMISSAL**

- A. If the University believes that the conduct of a faculty member, although not constituting adequate cause for dismissal, is sufficiently grave to justify imposition of a severe sanction, such as suspension from service for a stated period, the University may institute a proceeding to impose such a severe sanction. The procedures outlined in VII hereof relating to dismissal for cause shall govern the proceeding.
- B. If the University believes that the conduct of a faculty member justifies imposition of a minor sanction, such as a reprimand, it shall notify the faculty member of the basis for the proposed sanction and provide an opportunity for the faculty member to respond prior to imposition of the proposed sanction.

**X. NOTICE**

- A. If a probationary appointment is not renewed other than for failure to achieve tenure or pursuant to VII or VIII hereof, the faculty member will receive notice in accordance with the following schedule:
1. Appointments that coincide with the academic year:
    - a. Notice shall be given by March 1 of the first year of probationary service.

- b. Notice shall be given by December 15 of the second or later year of probationary service.
  - 2. Appointments that do not coincide with the academic year:
    - a. If a faculty member in the first year of probationary service has a contract with a beginning date other than the first day of August or September, the probationary faculty member shall receive notice of nonrenewal at least three months before the expiration of the contract.
    - b. If a faculty member in the second or later year of probationary service has a contract with a beginning date other than the first day of August or September, notice of non-renewal shall be given at least six months prior to the expiration of the contract.
- B. In the case of termination for reason of financial exigency of a faculty member with tenure or on probationary appointment, the notification dates described above do not apply. However, as much notice as practicable shall be given, but in no event shall it be less than thirty days.

## **XI. ACADEMIC FREEDOM**

The University realizes that academic freedom and economic security are essential for acquiring and maintaining a strong faculty. The faculty member must enjoy that freedom characteristic of the best in higher education as it has developed in Western culture. A faculty member, while recognizing a special responsibility to the University as a contributing scholar, requires freedom of discussion in the classroom and freedom of professional research and publication of results. Dedicated to the free pursuit of truth, a faculty member should consider it a basic duty to encourage freedom of inquiry in peers and in students. While abiding by and supporting the policies, ideals, and procedures of the University, the faculty member has the right of peacefully seeking revision of policies. Free inquiry and the pursuit of truth are indispensable conditions for the attainment of the goals of any university. A faculty member, while enjoying academic freedom, shares responsibility with the administration for the preservation of this freedom. Therefore, a faculty member is free in the quest for truth within a broad but intricate framework of responsibility to colleagues and students as sharers in this quest, to the University with its ideals and purposes, and to society with its basic mores and morals.

## **XII. ADMINISTRATIVE PERSONNEL**

This Tenure Policy Statement applies to administrative personnel who hold an academic rank of Instructor or above but only in their capacity as probationary or tenured faculty members.

### **XIII. GRIEVANCE PROCEDURE**

#### **A. Purpose**

The purpose of the grievance procedure is to provide a full opportunity for the resolution of grievances of faculty with tenure or probationary appointments concerning academic freedom, tenure, promotion and other issues.

#### **B. Grievance Committee**

Annually, the faculty of each school shall elect three faculty members from their respective schools to serve on the University Grievance Committee. Each elected member shall continue as a member of the Committee until a successor has been elected.

#### **C. Grievance Committee Secretary**

The Chief Academic Officer shall designate an individual who is not a member of the Grievance Committee to serve as Secretary to the Committee. The Secretary shall:

1. Coordinate the selection of hearing panels.
2. Be present at all hearing panel meetings except those in which a hearing panel is engaged in deliberations.
3. Provide assistance as needed, including the scheduling of meetings and the maintenance of minutes and other official records of the proceedings.

#### **D. Initiating a Grievance Proceeding**

Before initiating a formal grievance, a faculty member should discuss the matter in dispute with the appropriate University administrator looking toward a mutual resolution of concerns. If a resolution does not result and the faculty member is satisfied that there is proper cause for grievance, a written grievance may be submitted to the Secretary of the Grievance Committee. The grievance shall specify the problem at issue, the procedure or norm violated, and the relief sought. The Secretary shall cause a copy of the grievance to be transmitted to the University's Chief Academic Officer. The Chief Academic Officer shall designate a University administrator to represent the University in responding to the grievance.

#### **E. Confidentiality of Proceedings**

Members and the Secretary of the Grievance Committee may not discuss, outside of the formal process, cases that are pending, being heard or have been resolved.

Public statements concerning a grievance by the faculty member, University or witnesses should be avoided.

F. Selection of a Hearing Panel

Within seven calendar days of the filing of the written complaint, the Chief Academic Officer shall furnish the faculty member with a list of six or more members of the Grievance Committee. At least one of the six members of the Grievance Committee shall be from the school of the grieving faculty member. Within seven calendar days of the date on which this list is submitted to the faculty member, the faculty member shall designate three persons from the list to serve as the Hearing Panel. The faculty member shall also identify two alternates from the list to serve as members of the Panel in the event that a person selected by the faculty member is unavailable to serve. If an individual on the list is involved in the complaint or should be disqualified for bias or interest, that person shall remove himself/herself from consideration. The members of the Hearing Panel shall select one of their number to serve as chairperson.

G. Scheduling of Hearing

As soon as the Hearing Panel has been selected, the Secretary of the Grievance Committee shall notify the University's Chief Academic Officer. In consultation with the faculty member, the University's representative, and the members of the Hearing Panel, the University's Chief Academic Officer shall set the date, time and place of the hearing, giving at least fourteen calendar days written notice. The Hearing Panel shall have the authority, where it deems appropriate and in consultation with such persons, to adjourn and continue a hearing until a future date.

H. Academic Advisor and/or Legal Counsel

In connection with any grievance hearing conducted under these procedures, the faculty member shall be permitted to have present another faculty member and/or legal counsel to serve as an advisor. The University's representative may be assisted by legal counsel. If a faculty member or the University intends to be assisted by legal counsel, written notice of this intention must be given to the other party at least five calendar days in advance of the hearing. The role of an advisor or legal counsel in connection with proceedings conducted under these policies is that of an advisor. The faculty member and the University's representative will be expected to speak for themselves. Therefore, an advisor or legal counsel for the faculty member or the University shall only address the Hearing Panel when requested to do so by the Hearing Panel.

I. Review Procedures for Dismissal of a Tenured Faculty Member or a Faculty Member with a Probationary Appointment Prior to the End of the Contract Term:

1. The Hearing Panel shall hold a formal hearing to consider the allegations made in the complaint.
2. In advance of the formal hearing, the Hearing Panel may hold a joint pre-hearing meeting with the faculty member and University's representative in order to (a) simplify the issues; (b) effect stipulations of facts; (c) provide for the exchange of documentary or other information; and (d) achieve such other appropriate pre-hearing objectives as will make the hearing fair, effective and expeditious. The University will, insofar as possible, secure the cooperation of witnesses and make available necessary documents and other evidence within its control.
3. The faculty member and the University's representative, and their advisors or legal counsel, shall have the opportunity to be present during all argument and presentation of evidence.
4. The hearing and pre-hearing conferences will be closed unless the faculty member and the University agree otherwise.
5. The Hearing Panel shall determine the order of proof and, where appropriate, exclude irrelevant or unduly repetitious evidence or argument. Technical rules of evidence shall not apply.
6. The faculty member and University's representative shall have the right, within reasonable limits, to propound questions to all witnesses who testify orally and, where possible, to address questions in writing to those who do not testify orally. Where unusual or compelling reasons move the Hearing Panel to withhold this right, or where witnesses cannot or will not appear, but the Hearing Panel concludes that circumstances warrant admission of their statements, such statements may be considered by the Hearing Panel provided that the identity of any witness and his or her statement is fully disclosed to the faculty member and the University representative. The weight, if any, to be accorded to such statements shall be determined by the Hearing Panel.
7. A record, ordinarily in the form of a tape recording of the hearing, will be made.
8. The burden of persuading the Hearing Panel that adequate cause for dismissal exists rests upon the University and shall be satisfied by a preponderance of evidence in the record considered as a whole.
9. At the completion of the hearing, the Hearing Panel shall prepare a written advisory report consisting of findings, conclusions and recommendations and submit it to the President of the University with copies to the faculty



member and University's representative. The Hearing Panel shall also forward to the President any written material or other items that it considered in connection with the review process as well as the record of the hearing. Such items shall be retained by the University for at least one year from the date that the President issues a decision, after which they may be destroyed at the discretion of the University. At any time before such items are destroyed, copies shall be made available to the faculty member upon request and payment of the reasonable expense of copying.

10. Either the report of the Hearing Panel will be sustained by the President or the proceeding will be returned by the President to the Hearing Panel with specific objections. In the event that the President returns the proceeding to the Hearing Panel with objections, the Hearing Panel will then reconsider its report, taking into account the stated objections and receiving new evidence if necessary. The President will make a final decision after study of the Hearing Panel's reconsideration. Prior to taking any actions hereunder, the President may discuss the findings, conclusions and recommendations with the Hearing Panel, the faculty member or any other person. The President shall submit a decision in writing to the members of the Hearing Panel, the faculty member, and the appropriate University representative. The decision of the President shall be final.

J. Review Procedures for Matters Other Than Dismissal of a Tenured Faculty Member or a Faculty Member with a Probationary Appointment Prior to the End of the Contract Term:

1. The Hearing Panel shall meet in closed session.
2. The faculty member and University representative shall be provided with an opportunity to meet with the Hearing Panel. As it deems appropriate, the Hearing Panel shall interview other persons and will consider written materials and other items pertinent to the grievance.
3. The burden of persuading the Hearing Panel that the actions or decisions of the University were not proper rests upon the faculty member and shall be satisfied by a preponderance of the evidence in the record considered as a whole.
4. The Hearing Panel shall not substitute its judgment on the substantive merits of any action or decision for that of faculty committees or administrators who are charged under this policy or other University policies with taking such an action or making such a decision. Rather, the Hearing Panel shall confine itself to determining whether the action or decision was materially affected by a failure to follow applicable procedures.

5. At the completion of its review, the Hearing Panel shall prepare a written advisory report consisting of findings, conclusions and recommendations and submit it to the President of the University or the President's designee(s) with copies to the faculty member and the University's representative. The Hearing Panel shall also forward to the President or the President's designee(s) copies of any written material or items that it considered in connection with the review process. Such items shall be retained by the University for at least one year from the date that the President or the President's designee(s) issues a decision, after which they may be destroyed at the discretion of the University. At any time before such items are destroyed, copies shall be made available to the faculty member upon request and payment of the expense of copying.
6. The President or the President's designee(s) shall consider the report of the Hearing Panel and take whatever actions are deemed appropriate. Prior to taking such actions, the President or the President's designee(s) may discuss the report with the members of the Hearing Panel, the faculty member or any other person. The President or the President's designee(s) shall submit a decision in writing to the members of the Hearing Panel, the faculty member and the appropriate University representative. The decision of the President or the President's designee(s) shall be final.

#### **XIV. MODIFICATION**

This Tenure Policy Statement has been adopted by the Board of Regents of the University which retains the right of final decision in all matters included in this document.

## APPENDIX X.

### THE MISSION OF PEPPERDINE UNIVERSITY

Pepperdine University is an independent, Christian University, enrolling about 6,500 students in four colleges and schools. Administrative headquarters for the University are located at Malibu, California. In addition to the educational programs offered on the University's 819-acre campus overlooking the ocean at Malibu, the University conducts a European program in its own facilities in Heidelberg, West Germany, and London, England, and offers classes in several educational centers in the metropolitan Los Angeles area.

The University was founded in 1937 by Mr. George Pepperdine, a Christian businessman who established and developed the Western Auto Supply Company. For the first thirty years of its life, the institution was a small, mostly undergraduate college. In 1970, as the institution added graduate and professional schools, it became Pepperdine University. In 1972, the University opened its new campus at Malibu. The development of this campus and the establishment of Seaver College were made possible by a most generous gift from Mrs. Frank Roger Seaver. Donations from many friends of the University were important in the construction of the buildings at Malibu and in supporting the curriculum.

Mr. Pepperdine's original statement of purpose is still the guiding principle of the University: "Therefore, as my contribution to the well-being and happiness of this generation and those that follow, I am endowing this institution to help young men and women prepare themselves for a life of usefulness in this competitive world and to help them build a foundation of Christian character and faith which will survive the storms of life."

The most distinctive feature of Pepperdine University is the fact that it maintains a serious commitment to a rigorous academic program in concert with concern for spiritual matters. It does not profess to be a church or a religious body, but recognizes its role as an educational institution, albeit one with a distinctive and unique heritage and mission.

Pepperdine University, like Mr. George Pepperdine and many others who have invested their lives and their fortunes in the University, maintains a commitment to the value of human freedom, whether this be expressed in economic, intellectual, or political activity. The University maintains that this freedom is the fruit of man's spiritual nature and that it is precisely because humankind is created in the image of God that human freedom is of such inestimable value.

The University is keenly aware that its existence is the result of a free economic market system which has produced an abundance of goods and resources to be shared with others and to lessen the amount of want and misery in the world. This does not equate an individual's spiritual commitment or religion with democracy, a free market economic system or any other human form of organizing activity. But it does hold that all freedoms are interdependent and that they are based on a genuine commitment to the priority of spiritual concerns.

While committed to the maintenance of its distinctive heritage, the University recognizes that its mission is educational and that its commitment to its distinctive heritage must not become an excuse for academic inferiority. It is the aim of the institution to seek excellence in all of its academic programs.

The University is committed to continuing the trend of the past several years in elevating the quality of students admitted, in providing faculty compensation that will be competitive and therefore attractive to high-quality faculty, and in providing the support the faculty needs to achieve the educational objectives of the institution. While certain important features of the physical plant remain to be constructed, such as an administration building, the major thrust of the current decade will be the strengthening of academic programs.

The University's affirmation of its Christian purpose and the influence of its heritage manifest themselves uniquely in the governing structure established by Mr. Pepperdine. Consistent with the autonomous congregational structure of the Churches of Christ, of which he was a lifelong member, Mr. Pepperdine stipulated that special emphasis be given to Christian values and faith while establishing an institution free of direct ownership and control by an ecclesiastical body.

In keeping with the founder's provisions, the University's governing authority is vested in a self-perpetuating Board of Regents. Formal legal relationships between the church and the University reside in the controls vested in the Board of Regents, a majority of whom must be members of the Churches of Christ. In addition, members of the governing board also represent a diversity of community and professional interests who are in harmony with and supportive of the University's heritage. Stewardship of the University's mission has been entrusted to men and women of proven character, wisdom, and purpose.

The maintenance of the church relationship and the authority of the Regents are set forth in the Articles of Incorporation and Bylaws.

Pepperdine University's mission is to provide education of excellent academic quality within the context of its Christian heritage and with particular attention to Christian values. The heart of the educational life of Pepperdine University is Seaver College of Letters, Arts, and Sciences, with its strong program of general education. The liberal arts curriculum encourages the development of academic competencies that include a knowledge of the heritage of the past, an appreciation of science, a development of the aesthetic senses, and the ability to solve problems in the light of available information. The interdisciplinary structure of Seaver College is designed to integrate Christian values into the total curriculum and to unify knowledge around Christian truth. General, pre-professional and professional programs include training in business, communications, education, fine arts, religion, humanities and teacher education, law, natural sciences, and social sciences.

The professional schools are regarded as logical extensions of the priorities established in the liberal arts college. Business administration, a discipline particularly advocated by the founder, and education, a subject area which from the beginning has offered the opportunity of providing service to the community, are emphasized respectively in two of the schools of the University. The program in law represents a furtherance of the school's commitment to engage in the serious study of human relations and values.

Pepperdine University places great emphasis on teaching. In recent years, the importance of research has come to be acknowledged, and the institution is giving greater emphasis to research on the part of the faculty as a fundamental methodology for improving the quality of teaching while contributing to the body of information and knowledge available to society.

Community service is regarded as highly important, and a variety of educational and cultural programs are offered to the community. It is the philosophy of the institution, however, that its greatest services to the community are provided in the lives of its graduates.

Constituents served by the University are drawn from most of the states of the United States and approximately sixty foreign countries. Students represent a wide variety of religious and ethnic backgrounds. The University welcomes the diversity of its student population and seeks to provide an atmosphere in which the whole person--physical, social, intellectual, and spiritual--is developed.

The extraordinary natural beauty and almost rural setting of the campus in Malibu make it an ideal place for study, contemplation, and the development of social awareness. The close proximity to the urban metropolitan community of Los Angeles provides a vital link to the challenges of modern life. The relevance and attractiveness of the University's programs are demonstrated by the number and quality of applicants and by the enthusiastic financial support offered by the community.

Faculty members must be persons of high ethical and moral standards and are selected because of their academic qualifications and their promise of success as teachers. They are also chosen with a view to their willingness to support the distinctive philosophy of the institution and to work within it. In the recruitment and selection of faculty, the quality of academic preparation, acceptance of Christian values, and respect for the University's heritage are paramount considerations.

## APPENDIX XI

### THE MISSION OF SEAVER COLLEGE

Seaver College exists to provide a link between the knowledge and wisdom of the past and present with the challenges of the future. The college is essentially a community within the larger Pepperdine University community which integrates several groups: teachers committed to a life of instruction and scholarship; students preparing to assume responsible roles in contemporary society; staff members, volunteers, and donors committed to advancing the goals of the community; and administrators and regents charged with helping to achieve these goals.

Seaver College is primarily undergraduate and residential. It is selective in enrollment and committed to high academic standards. Its task is to prepare persons of diverse economic, social, ethnic, and religious backgrounds to become moral and intellectual leaders and to challenge them to value service above material success. To accomplish this task, Seaver faculty members, administrators, and staff members serve as role models, both as professionals and as human beings who are committed to excellence and motivated by personal faith in God. Students benefit from many small classes, a nurturing campus environment, opportunities for diverse social interaction, and individual attention from these teacher-mentors.

Seaver is a liberal arts college. As such, it nourishes and transmits the noblest ideas of Western culture—the achievements of science and technology as well as the artistic, intellectual, and ethical heritage of the Western world. At the same time, the Seaver curriculum and co-curriculum also reflect a modern, global world view much broader than that of the West and more complex and egalitarian than in former times. Nor does it isolate itself from the nature of life and the economic realities of our own age. Therefore, many subjects are studied that are not included in the traditional categories of the liberal arts. Nevertheless, the college is completely committed to the spirit and intent of the traditional baccalaureate: the sharpening of the mind, the ennobling of the heart, the broadening of the vision, and the cultivation of the arts of speaking and writing which result in civilized and fruitful discourse. It is likewise devoted to the relentless search for truth in an atmosphere of freedom of inquiry: to think, to question, to doubt, to believe, and to affirm.

Seaver College places the students' total development at the heart of its educational strategy. The college therefore recognizes the importance of both the curriculum and the co-curriculum. It strives to effect the total development of the student—intellectual, physical, emotional, social, and spiritual—and to lay the foundations of lifetime learning. It recognizes that learning takes place constantly, in every facet of the student's life, and therefore seeks to integrate and direct this complex of experiences toward its developmental goals.

Since there is a significant correlation between the degree of individual student involvement in the life of the college and success in effecting student development, concerted effort is made to maximize the involvement of each student in the larger life of the college.

Seaver is a Christian college. As such, it affirms in undergraduate and graduate programs that there are sources of truth deeper than those of secular culture: Moses, purveyor of divine laws;

Amos, crying out for social justice and unfeigned piety; Paul, overwhelmed with both the reality of sin and the joy of forgiveness; and ultimately, Jesus of Nazareth, in whom God is uniquely revealed, and by whose death and resurrection all humankind can receive reconciliation with God. The study of religion and the opportunity for corporate worship are integral elements in the Seaver experience. A commitment to Christian beliefs regarding the origin, nature, and destiny of humanity permeates the curriculum. The college's ties to the Churches of Christ call it to a serious commitment to Biblical Christianity. Thus, in its mission, Seaver College seeks to remain true to the most profound insights of the religious movement which constitutes its heritage.

The educational philosophy of Pepperdine University is summarized in the following statement that is printed in all the catalogs and graduation programs of the institution.

#### Pepperdine University Affirms

That God is

That He is revealed uniquely in Christ

That the educational process may not, with impunity,  
be divorced from the divine process

That the student, as a person of infinite dignity,  
is the heart of the educational enterprise

That the quality of student life  
is a valid concern of the University

That truth, having nothing to fear from investigation, must be pursued  
relentlessly in every discipline

That spiritual commitment, tolerating no excuse for mediocrity,  
demands the highest standards of academic excellence

That freedom, whether spiritual, intellectual, or economic,  
is indivisible

That knowledge calls, ultimately, for a life of service.