

Promotion and Tenure



A brief users guide 2020-21
for Operations, P & T Chairs & Candidates

Office of the Provost/WesternU

Objectives

Introduce staff

Ms. Alyssa Rodriguez (Faculty Affairs Manager,
Interfolio power user)

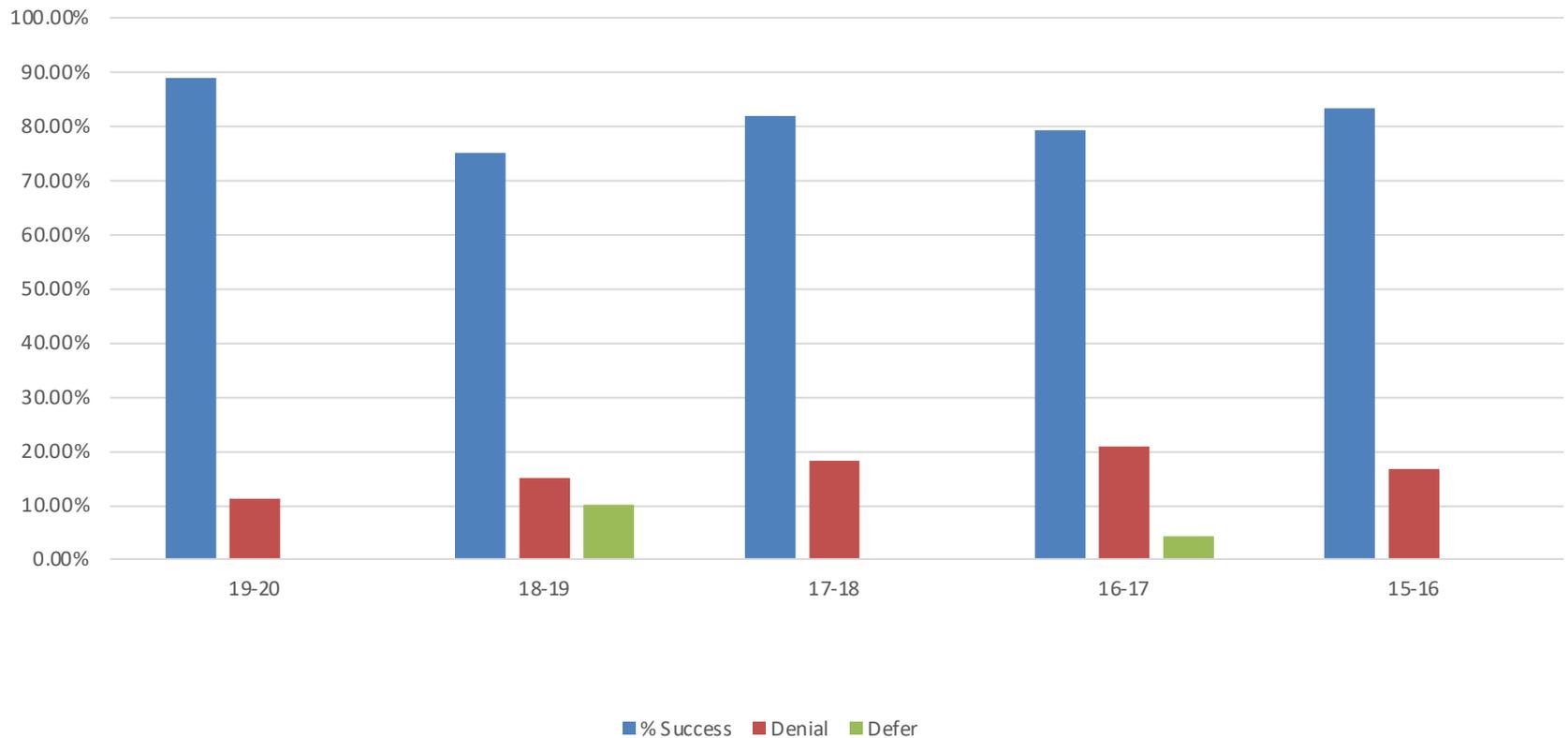
Dr. Elizabeth Rega, Professor and Assoc.
Provost for Faculty Affairs



- Recent P & T Outcomes results
- P & T Process Review
 - Dates
 - Definitions
 - Contracts
 - Process
 - *Interfolio Faculty 180*
 - *COVID-19 Tenure clock pause for tenure track faculty – application due Feb. 1st*
 - Supplementary materials --helpful hints
- Interfolio Faculty 180 and RPT

Success rate of 1st time applications has ranged from a high of 89% in 19-20 to a low of 79% in 16-17.

% P & T Candidate Success



**Deferrals normally entail that faculty do not have to resubmit portfolios, but directly address deficiencies to the Provost within a two-year window, if both the College P & T Committee and College Dean have approved the candidate.*

The aggregate 19-20 RPT success rate, measured as approval of applications for promotion and/or tenure was 86%.

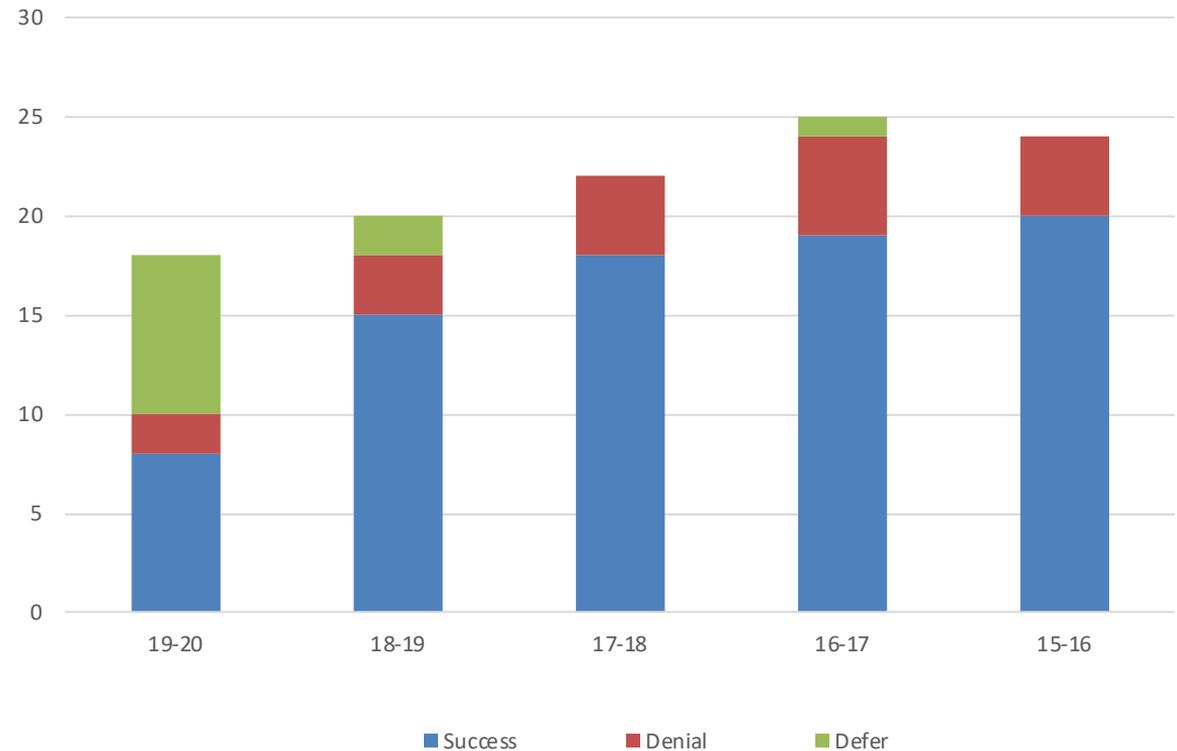
Approvals: 13
 Denials: 2
 Deferrals: 0
 Success rate =86%

Success over Total Applicants by Rank 2020	Non tenure track Promotion	Tenure track Promotion only	Promotion + Tenure	Tenure alone
Instructor to Assistant Professor:	1/1	0	-	-
Assistant to Associate Professor	7/7	0	0	-
Associate Professor to Full Professor	5/6	1	1/1	-
Tenure	-	-	-	1/2
Totals	13/14	1	1/1	1/2

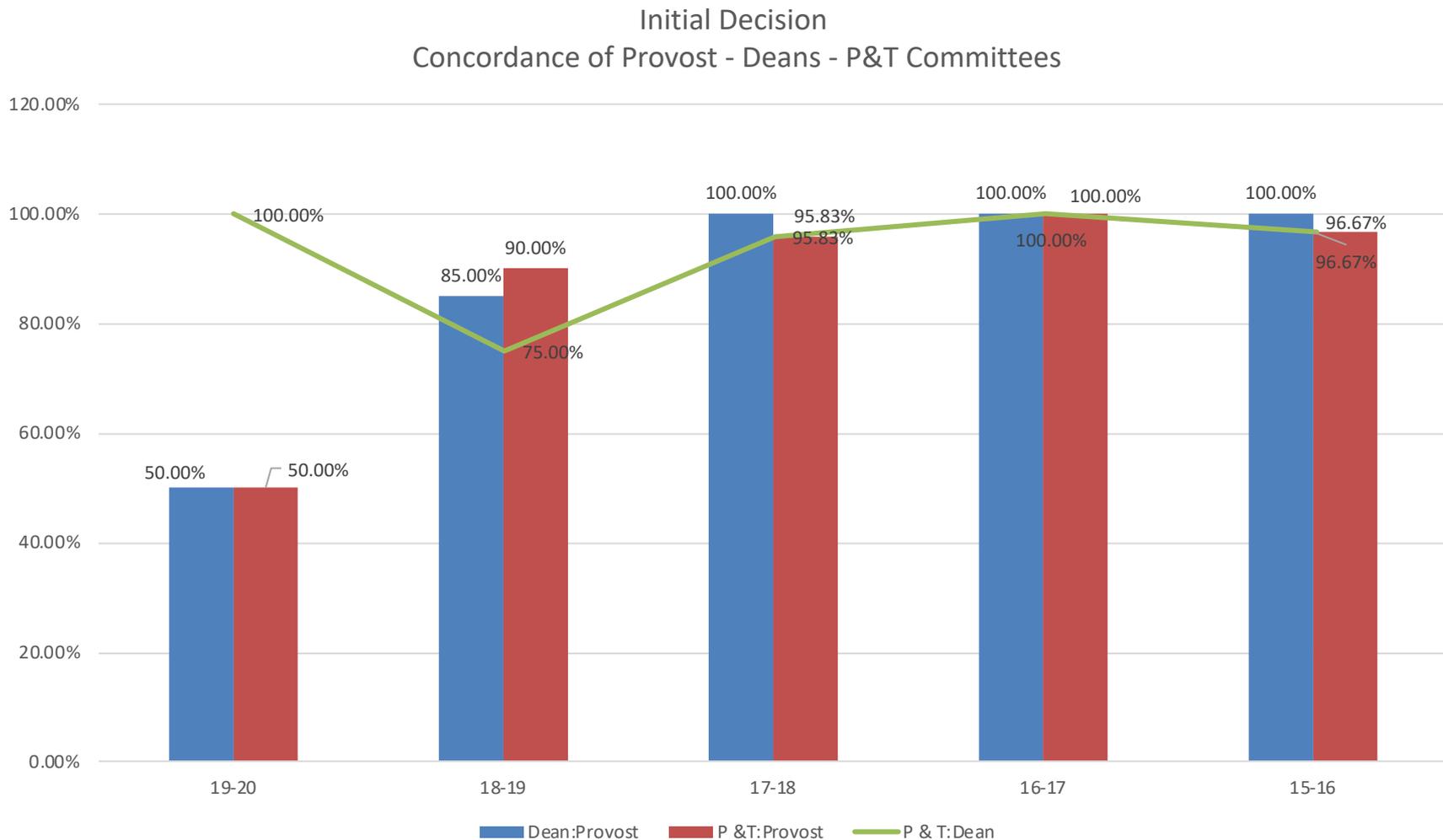
Provost Decision History part 1

19-20 initially had the highest rate of deferrals, whereby candidates were a submit evidence of scholarly productivity to the Provost without needing to resubmit applications.

*Provost P & T Decisions 2016 - Original 2020



Comparison of Agreement Amongst P & T Committees, Deans and Provost

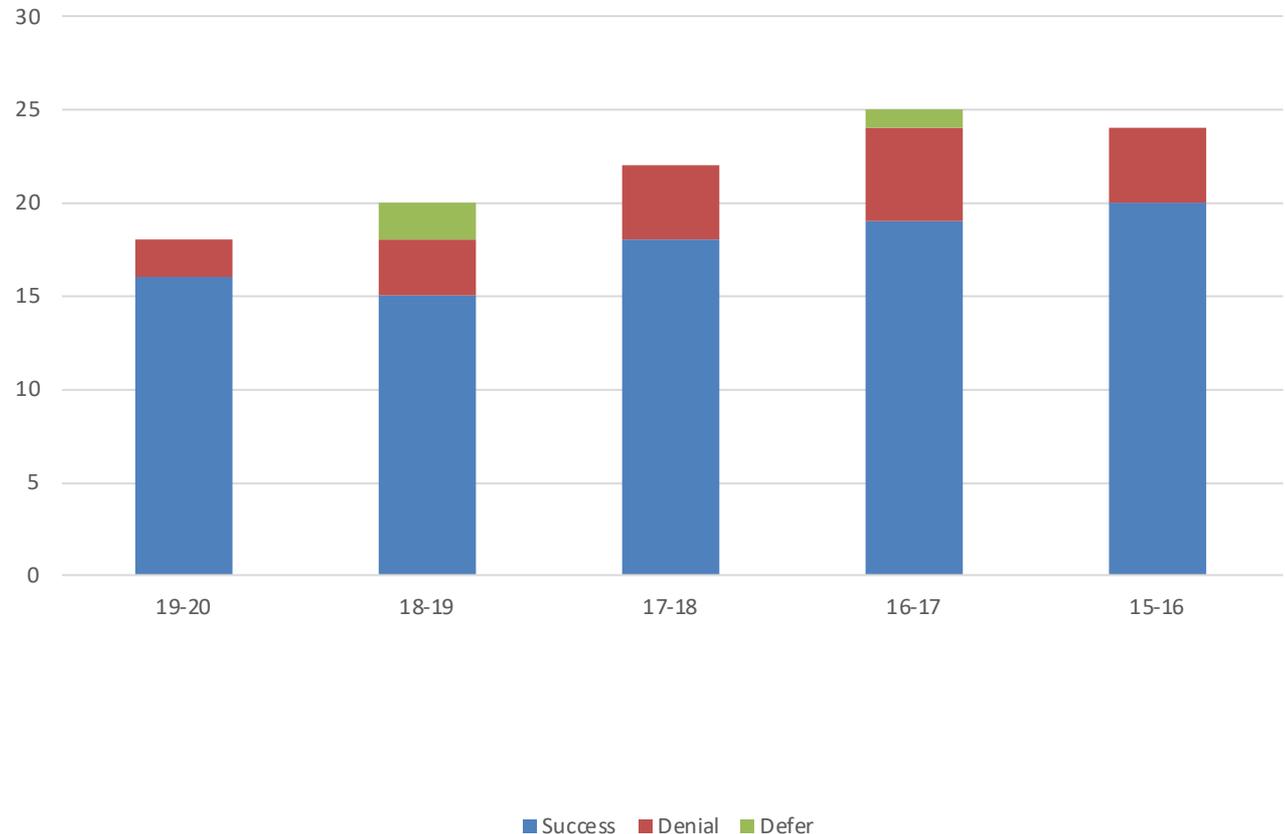


Provost Decision History part 2

The overall number and percentage of DENIED faculty applications has remained relatively consistent over the past five years, given the small cohort size, ranging from a low of 2 (11%) this year – to a high of five denials (20%) in 16-17.

Subsequent to discussion with COMP and CDM P & T Committee Chairs in June 2020, the Provost elected to uniformly change all “deferral” decisions to “approved” – this affected a total of eight faculty members.

Provost P & T Decisions 2016 - 2020



UFH 2019 Updates

UPDATE...



- College P&T Committee must develop a separate list of **external peer reviewers**. The 4 reviewers providing letters of recommendation **must hold a rank that is equal to or higher than the rank** that is being sought by the candidate.
- The Standards for Promotion & Tenure of Tenure-track/Tenured Faculty from the university and the candidate's college, the candidate's CV and the personal statement should be provided to the external reviewers.
- Committee discussions and deliberations must also remain confidential.
- If tenure is denied to a faculty member, the faculty member is ordinarily given a one-year terminal contract.

UFH 2019 Adherence

The final review dossier, at a minimum, will consist of:

- Current curriculum vitae
- A personal statement (a maximum of 10 pages)
- Portfolios in the areas of: teaching, scholarship, and service, including clinical, administrative, professional, College and WesternU service (where applicable).
- Distribution of Effort (as coded by FTE assignment) as contained in all Annual Employment Agreements to date
- Letters from external reviewers
- **the interim review report**

UPDATE...



Colleges may require additional **packet** elements consistent with their established peer review practices.

Key Dates for Promotion and Tenure Cycle 2020-21

March 1st, 2021 (a Monday)

Electronic **PACKET** submitted through **Interfolio RPT**

- CASE is created. Workflows and requirements as determined by College Handbook P & T committees
- Smoke test year
- Customer service, grace & gratitude

March-May 2021

- Provost Office Review of CASES
- The pursuit of delinquent files has changes – now workflow halts.
- Follow up on issues and queries

May-July 2021

- Faculty contracts drafted
- Faculty candidate notification of Provost Decisions; cc: to Deans and P & T committee chairs



***Provost's decisions will be
aligned to recommendations
of P & T Committee and
Deans***

Timing and Manner of Decision Notification 2021

- **Autumn - March 1** P & T Committee and Dean. The candidate will be directly copied with contents of letter recommendations each at time of its submission to the next level. Per FHB19.
- **May-June** Candidate, P & T and Dean will be notified via email with **pdf copy** of signed Provost decision letter as soon as all cases are decided, and letters drafted. Candidates will also receive internal notification of the decision letter in their Interfolio Dossier.
- **May-June** Hard copy version of Provost's decision letter will be distributed to faculty member with contract and employment paperwork.
- Other internal entities (i.e. Department Chairs, Assoc. Deans) not on notification letter cc list can be forwarded letter by College Dean or College P & T Committee AS APPROPRIATE.

- Information for decision making takes variable time for each candidate.
- Notifications of candidates will now be released on a rolling basis in order they are received.
- Notification will no longer move at speed of slowest case





Under what conditions does the tenure clock pause or reset?

Faculty Handbook 2019 Section II M.V.

Clock stops until return

- Sick/Emergency Leave
- Military Leave
- Leave of Absence without pay
- Family and Medical Leave
- 100% Administrative Appointment

Clock continues ticking

- Scholarly leave/Sabbatical leave
- Less than 100% administrative appointment

**All policies related to the tenure clock apply to the post-tenure review timelines as well.

COVID-19 Update

Those on the tenure track and subject to post tenure review were eligible to request a one-year extension of their clock.

Feb 1st 2021 deadline.

How does the “Promotion Clock” work?

Except for tenure track positions linked to the rank of “Associate Professor”, there is NO ticking “promotion clock.

There is a review clock – see interim review section UFH II.M. C.1. p. 23

Faculty should submit for promotion when their packet contains clear evidence they have achieved the criteria for the rank desired. There are minimum times for consideration in some colleges.

Faculty 180 & RPT at WesternU

WHAT IS IT?

- Interfolio enterprise software modules
- Custom configured to host WesternU faculty activity data
- Two modules: *Faculty 180 & RPT*
- Supports accreditation requirements without necessitating individual faculty data resubmission

WHY ?

- Faculty from CDM and COMP brought forward request for software solution in 2016



Faculty 180 & RPT at WesternU

HOW DO WE USE IT ?

- FY 2019-20 approval in Provost's budget
- 19 - 20 CORE TEAM consisting of P & T chairs from all Colleges assembled to determine custom configuration
- 19-21 Data systems configuration and alignment
- 20-21 Adoption and Roll out to faculty, staff and administration
- 21 Full reporting capability
 - Custom CVs
 - Distribution of effort
 - Course loads
 - Publications





KILLSHARE

Interfolio faculty 180

Skill Share

If you are interested in utilizing Skill Share to input your information, please email Alyssa Rodriguez (arodriguez@westernu.edu)

Skill Share – Interfolio Template

Profile

- Work Experience
- Degrees
- Honors and Awards
- Professional Membership
- Professional Licensures & Certifications

Activities

- Laboratory and Experiential Teaching
- Scholarship
- Grants and Contracts
- Clinical Patient Care
- WesternU Committees
- WesternU Service
- Professional Service
- Community Service
- Professional Development
- Consulting
- Activity Distribution
- Honors

Interfolio Modules



Faculty 180

Full Faculty Profile

- Current Position
- Work Experiences
- Degrees
- Honors & Awards
- Professional Licensures & Certifications
- Scholarships
- Grants
- Service
- Courses Taught

Create CV from Faculty180 Profile which can be fed to RPT linking all scholarships, publications, etc.



RPT

Review, Promotion, and Tenure

Candidate promotion and tenure “dossier” is referred to by Interfolio as a **PACKET**.

The **PACKET** is part of the **CASE** which moves through the workflow to P&T Committee, Deans and Office of the Provost.

Cases created by a College and Provost Office administrative superusers.

When the case has gone through all the steps, it will be archived in the candidate's dossier.



Dossier

Web-based repository

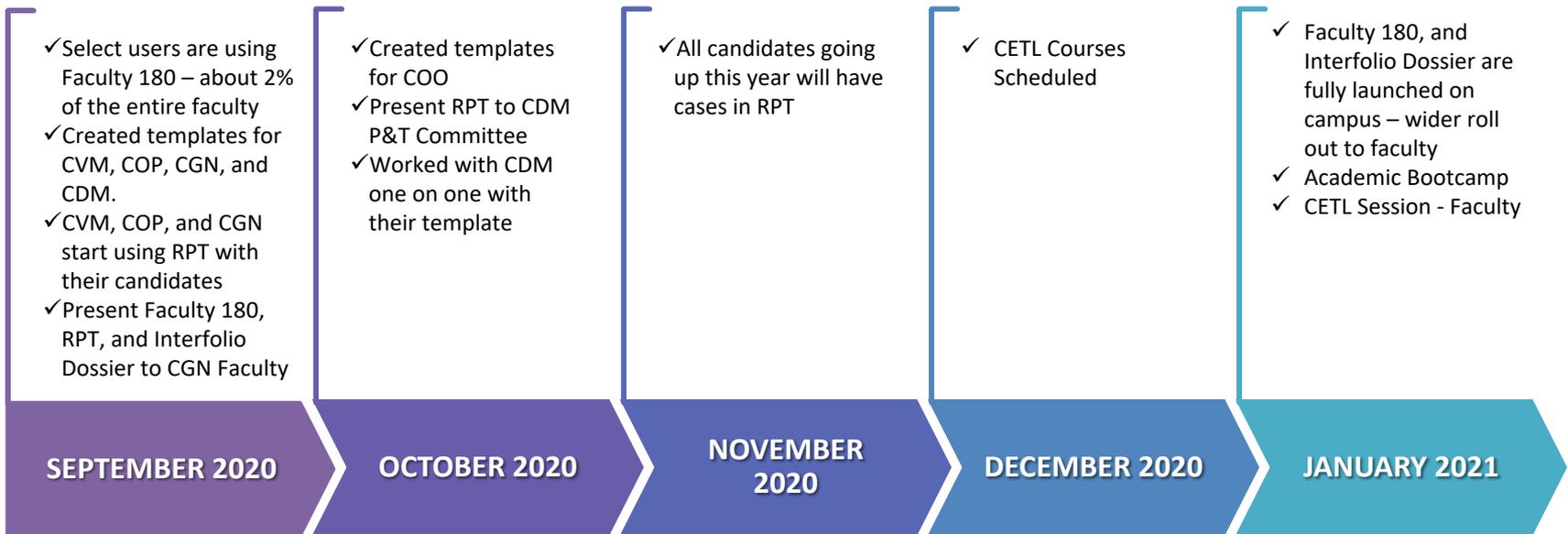
“a sandbox” for documents for the use of faculty member/candidate for various purposes, including RPT

Faculty can request and receive confidential letters in Dossier.

Dossier be shared by faculty confidentially with others to receive feedback.

Documents can be pulled from Dossier into a faculty candidate's packet.

Interfolio – WesternU Faculty 180 & RPT Roll Out Timeline



Interfolio – WesternU Faculty 180 & RPT Roll Out Timeline



Interfolio RPT -- Overview of PACKET

Unit
Western University of Health Sciences

Type
Promotion

Candidate Instructions
[View Instructions](#)

[Overview](#) [Packet](#)

Below you will find an overview of the packet requirements outlined by your institution. This page will be updated as you make progress toward your packet. [To learn more, read the Candidate's Packet Guide.](#)

Candidate Documents

Not Yet Submitted Unlocked

[Edit](#)

Type	# Required	# Added
<input type="radio"/> Curriculum Vitae	1 required	0
<input type="radio"/> Personal Statement	1 required	0
<input type="radio"/> Teaching Portfolio	1 required	0
<input type="radio"/> Scholarship/Research Portfolio	1 required	0
<input type="radio"/> Interim Review Report	1 required	0
<input checked="" type="checkbox"/> Distribution of Effort (FTE)	0 required	0



Service Portfolio

Not Yet Submitted Unlocked

[Edit](#)

Type	# Required	# Added
<input checked="" type="checkbox"/> Clinical Patient Care	0 required	0
<input checked="" type="checkbox"/> Administrative Activities	0 required	0
<input checked="" type="checkbox"/> Professional Service	0 required	0
<input type="radio"/> College Service Activities	1 required	0
<input checked="" type="checkbox"/> University Service	0 required	0



Confirm



You cannot edit the documents and forms within a section once it has been submitted. An administrator will need to unlock the section in order for you to make any changes. Are you sure you want to submit the section Candidate Documents at this time?

[Yes](#)

[No](#)

Example of the Profile Page



Home

Faculty180

Announcements & Help

Profile

Activities

Forms & Reports

Vitas & Biosketches

Find Colleagues

Account Access

Administration ▾

Review, Promotion and Tenure

Cases

Templates

Administration

Reports

Users & Groups

[Interfolio](#) >

Profile

Jump to Section ▾

- [▶ Personal Information](#)
- [▶ Contact Information](#)
- [▶ Current Position](#)
- [▶ Work Experience](#)
- [▶ Degrees](#)
- [▶ Honors and Awards](#)
- [▶ Professional Membership](#)
- [▶ Professional Licensures & Certifications](#)
- [▶ Interests](#)
- [▶ Biography](#)
- [▶ Military Experience](#)

Example of the Activities Page



Alyssa Rodriguez ▾

Home

Faculty180

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Review, Promotion and Tenure

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Users & Groups

Interfolio >

Activities

Quicklinks ▾

Jump to Section ▾

Show All | Hide All

- ▶ Classroom Teaching and Distance Learning [? Help](#)
- ▶ Laboratory and Experiential Teaching [? Help](#)
- ▶ Scholarship [? Help](#)
- ▶ Grants and Contracts [? Help](#)
- ▶ Clinical Patient Care [? Help](#)
- ▶ WesternU Committees [? Help](#)
- ▶ WesternU Service [? Help](#)
- ▶ Professional Service [? Help](#)
- ▶ Community Service [? Help](#)
- ▶ Professional Development [? Help](#)
- ▶ Consulting [? Help](#)
- ▶ Activity Distribution [? Help](#)

Interfolio DOSSIER uses

Deliveries

[+ New Delivery](#)

You don't have any deliveries yet. Get started by selecting one of the options below or click New Delivery.



Manage Confidential Letters

Dossier helps with all the hassle around confidential letters: requesting, reminding, receiving, and storing. Once you're ready to apply somewhere, your confidential letters will be organized and ready to go.



Collect and Curate Materials

Add materials, like your CV, publications, syllabi, and more. Then organize your materials into themed collections or tag them to make them easy to use for upcoming applications. You can also share and get one-on-one feedback on your materials and collections from collaborators and mentors at your institution. Upgrade to Dossier Deliver to share your materials with anyone.



Find Opportunities

Use Dossier to search for open positions hosted through Interfolio, or link to the major job boards in higher education.

Upgrade to Dossier Deliver

Dossier Deliver

Send your confidential letters and academic materials by post, email, or web.

[Learn More](#)

[Contact us](#)

Letters

[+ Request a Letter](#)

[My Letters of Recommendation](#) [Letters to Write](#)

You have not requested any letters of recommendation yet.
[Request a letter of recommendation](#)

How do I request a letter of recommendation?

Dossier makes it easy to manage your letters of recommendation.

- Start by filling out the [request form](#)
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Once the letter is uploaded, you'll be able to use Dossier to deliver it to any opportunity.

Your requested letters will appear in this section, and you will be able to see the status of each request.



Home

Deliveries

Letters

Materials

Collections

Shared with Me

Dossier

Deliveries

0 in progress

My Letters of Rec.

0 not received

Letters to Write

0

Profile

Jump to Section ▾

- ▶ [Personal Information](#)
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[Go Back](#)

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Jump to Section ▾

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Yes

No

Interfolio Dossier

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0 not received

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0

Letters

[Request a Letter](#)

[My Letters of Recommendation](#) [Letters to Write](#)

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Dossier Deliver

Send your confidential letters and academic materials by post, email, or web.

[Learn More](#)

[Contact us](#)

Interfolio Faculty Activity Reporting – Faculty180

Data for some categories are pulled from Banner

Profile

Personal and Contact Information

Current Position

Work Experience

Degrees

Honors and Awards

Professional Memberships

Professional Licensures & Certifications

Activities

Classroom Teaching and Distance Learning

Lab & Experiential Teaching

Scholarships

Grants and Contracts

Patient Care

WesternU Committees -- custom drop down menu

Community, Professional, WesternU Service



Questions?

Supplemental material

Process

Contract

Tenure definition

Litigation and Performance review

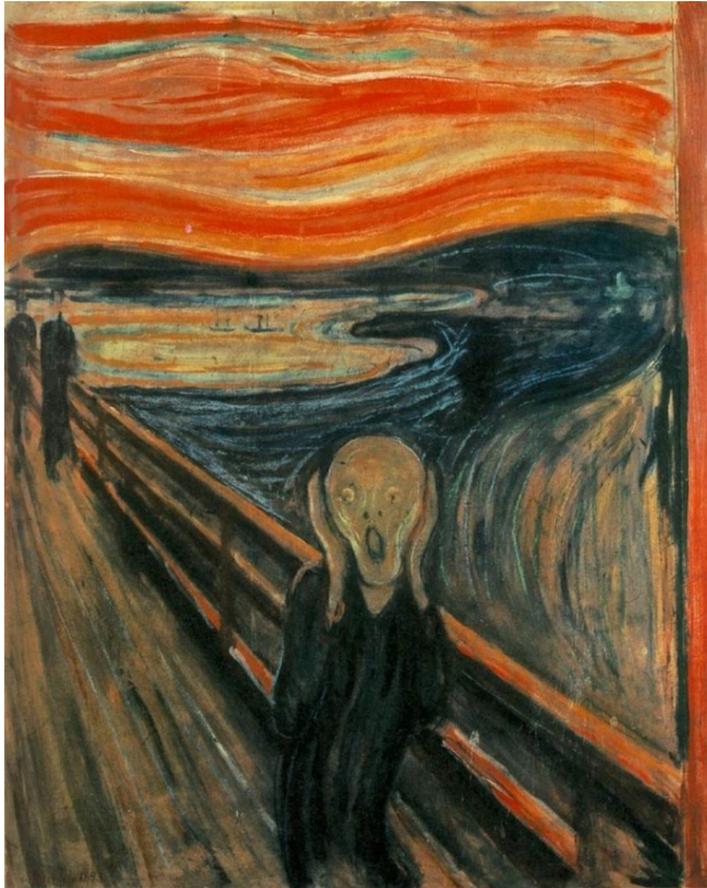
Helpful tips

FAQs

Promotion and Tenure process at WesternU



Promotion and Tenure process at WesternU



- Candidate Portfolio submitted to college
- ↓
- College Promotion and Tenure Committee meets to review portfolio – may or may not interview candidate, colleagues, recommenders. Adheres to handbook.
- ↓
- College Promotion and Tenure Committee makes *detailed written recommendation* to College Dean
- ↓
- College Dean makes *detailed written recommendation* to Provost
- ↓
- Provost makes **DECISION** *detailed in writing* to the candidate, cc's Dean, P & T chair, HR

What Constitutes a Faculty Contract?

1. Initial letter of appointment
2. Any amendments to letter of appointment
3. Annual employment agreements with FTEs
4. WesternU Faculty Handbook
5. College Handbooks

Must include any credit toward tenure and/or promotion. PLEASE review initial letter of appointment carefully for agreement with college and university handbooks regarding title, tenure vs. non tenure, credit for prior academic experience.



What is tenure?

- Institutional commitment to faculty member for continuous employment.
- Commitment of faculty member to WesternU.
- Safeguards freedom of faculty to shape curriculum according to professional best judgment
- Requires high level of faculty responsibility for ongoing professional growth and achievement



Promotion is a decision based on past performance
TENURE is a decision based on best estimate of future trajectory



MAKING THE RECOMMENDATION TO THE NEXT LEVEL USEFUL

Or things you should always make sure are you do....

1. Adhere to Handbook Criteria Rigorously and Consistently

- Be familiar with the WesternU Faculty Handbook and your College supplement Promotion and Tenure rules.
- Adhere to the rules and criteria in these documents strictly.
- Make sure the “subsidiary college” is included in all P & T meetings and all written communications regarding joint appointment candidates (>.10 FTE)

“The regular faculty of each College will establish criteria and Procedures for the attainment of tenure and the evaluation of promotion and post tenure review. **The criteria must be included in the College Handbook Supplements** and approved by the College’s Dean, the Faculty Affairs Committee of the Academic Senate and the Provost. **Each College is required to establish a P & T committee** to oversee the process of faculty evaluation for attainment of tenure, promotion and post-tenure review.

*2019 WesternU Faculty Handbook
Section M.III.2.a.*

2. Remember the roles and responsibilities in evaluation of candidates for promotion and tenure.

Multiple individuals in the process have responsibility to assure that candidates are evaluated based upon the published criteria.



- **Candidates** – accurately and thoroughly represent qualifications; promptly answer queries
- **Committee Chair** – assure the Committee evaluates candidate based upon published criteria; ensure process and documentation.
- **Committee** – prepare thorough and unbiased evaluation of candidate’s credentials; maintain strict confidentiality; make recommendation to Dean.
- **Dean** – review the candidate’s credentials and the work of the Committee; assess candidates’ value to college; make recommendation to Provost.
- **Provost** – assure that the entirety of the process has resulted in a review of the candidate in accordance with the WesternU and College guidelines; assess candidates value to college and to WesternU, render decision.

3. Write detailed reasons for decisions, backed up with evidence from the candidate's portfolio.

Two to three pages is generally the length of the Promotion and Tenure Committee recommendation letter

One to three pages in generally the length of the Dean's recommendation letter to the Provost.

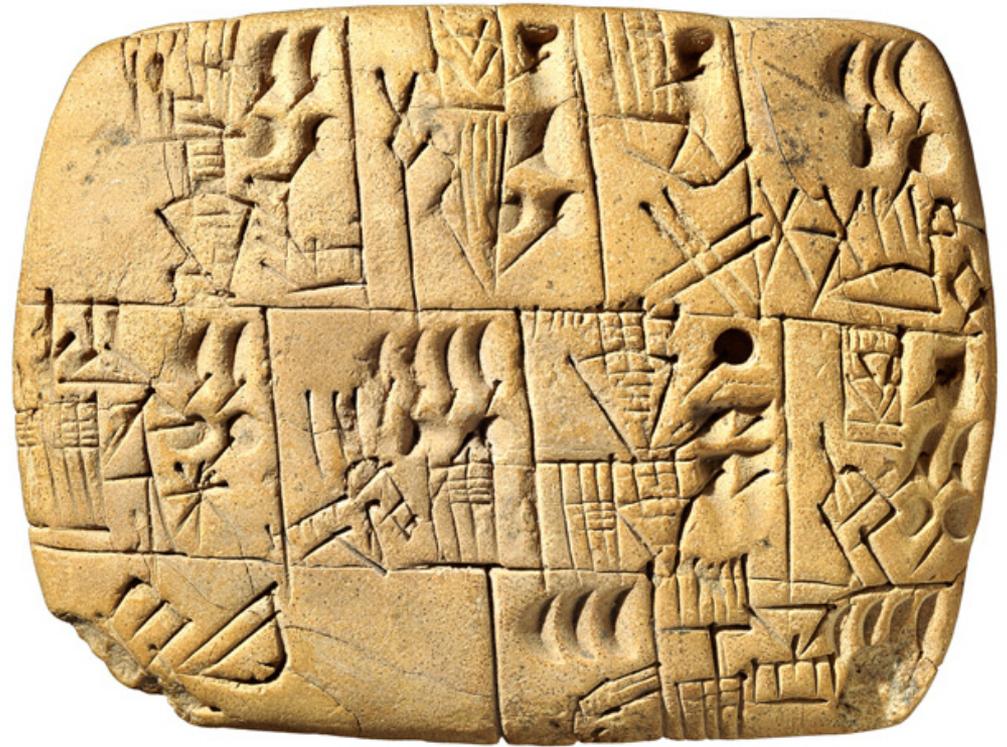
The Provost's letter to the candidate is generally two – three pages.

- Adverse decisions require even more careful documentation.
- Verify facts if necessary
- Make sure that all relevant information is included in the written letter to the Dean.
- Matters discussed in meetings but not documented in writing cannot be used.



4. Keep internal records of decisions & consult for consistency

- Have chair and recording staff update and maintain these records
- Spreadsheet or table most useful format



5. Plan ahead for Post-Tenure Review

All faculty hired after July 1, 1998 are subject to mandatory post-tenure review

*Faculty Handbook 2015 Section III
M.2.I. p.29*

“All tenured faculty members will undergo post-tenure reviews per the criterion-based review process developed by their specific Colleges. The post-tenure review period must not exceed six years except by special permission of the Dean and Provost and should be designed to advance faculty development and growth.”



TENURE

I never have to work again!

- If not favorable, College P&T Committee or FEC will make written recommendations for remediation
- Plan of remediation will be devised by P&T/FEC, in consultation with faculty member and the Dean
- Must include timeline, may not exceed 2 years
- P&T/FEC will evaluate at end of period. If unsuccessful, then they **MUST** recommend:
 1. termination for cause
 2. transferal to non-tenured status



FREQUENTLY ASKED QUESTIONS

Or questions that should be asked frequently....

Is the Promotion and Tenure Committee Recommendation confidential?

The Promotion and Tenure Committee letter recommending a decision is confidential with regards to the candidate. Copies should be released to the candidate in a “timely manner”.

HOWEVER, Promotion and Tenure deliberations are highly confidential and should not be shared outside the committee.

****Per 2018 UFH, means at time of submission to the next level as a cc: “carbon copy”.**

- *P &T Letter to Dean sent to Candidate ;*
- *Dean letter to Provost sent to candidate*

Faculty Handbook 2019 Section III M.2.c. p.28

Any evaluation process should have as its ultimate goal the growth and development of the individual faculty member,. Transparency is necessary to maintain trust. **Therefore, written documents created during the tenure, promotion and post-tenure review process, except confidential evaluations and other materials agreed to by all parties in advance as confidential, will be made available to the candidate in a timely manner**.**

What if the College Handbook Supplement contradicts the WesternU Handbook?

The 2019 WesternU Handbook takes precedence.

Faculty Handbook 2019 Section III M.2.d. p.29

In the event that the promotion, tenure and post-tenure decisions of the individual college are found to be in conflict with the University Faculty Handbook, [provisions of the University Faculty Handbook will prevail.](#)

What happens if the faculty member has a joint appointment with another college?

There are WesternU Faculty Handbook 2015 rules governing subsidiary appointments.

Faculty Handbook 2010 Section III M.2.b. p.28

The “Home College” is designated as the College where the majority appointment is held, based on contractual percent effort in original letter of appointment. . . . **In the case of Faculty members who have a subsidiary appointment(s) exceeding 10% (each), at least one member of the Promotion and Tenure Committee of each subsidiary college(s) must be included in all formal deliberations, written and verbal, regarding the candidate by the Home College Promotion and Tenure Committee”.**

Does the Faculty Handbook authorize the Provost to “defer tenure?”

Yes.

Faculty Handbook 2019 Section III M.2.k. p. 29

“If tenure is denied to a faculty member, the faculty member is ordinarily given a one-year terminal contract. **If the Provost defers the tenure decision, written documentation to the candidate must specify the date for resubmission, and specific goals and criteria to be fulfilled prior to reconsideration for tenure”.**

What if my department chair does not support my candidacy?

There is no special role assigned to the Department Chair evaluation in the **University Promotion and Tenure process**.

Individual Colleges may however have a formal role for chair or other individuals.

College specific policies should be addressed and clarified with faculty in writing.

College Handbook Supplements should make clear if the Chair's support is necessary to move further in the process.



Faculty Contract process for those under Promotion and Tenure review

- Director of Operations will hold contracts of those under promotion and tenure
- Once a decision has been made by the Provost, the Provost's Office will update the faculty's status in Banner, which will generate a new contract
- A decision letter will be distributed by the Provost Office to the Directors of Operations to print the contract and submit to the Provost's Office for signature
- The contract and original decision letter. hard copy will be sent back to the college once signed by the Provost

