



**UNM**

OFFICE of the PROVOST/EVP  
for ACADEMIC AFFAIRS

## **Academic Year 2017-18 Revised P&T Guidelines**

for dossier submittal and review for retention, promotion and tenure

Prepared by Carol Parker, Senior Vice Provost September 8, 2016

Revised and condensed by Richard L. Wood, Interim SVP, July 5, 2017

### **Contents**

Scope .....	2
Candidate Guidelines.....	2
Internal Reviewer Guidelines .....	2
External Reviewer Guidelines .....	4
Standards for Retention at the Mid-Probationary Review.....	5
Standards for Tenure and Promotion to Associate Professor .....	6
Standards for Promotion to Full Professor .....	7
Standards for Lecturer Promotion .....	8
Branch Campus Faculty.....	9
Frequently Asked Questions .....	9
<i>Should Faculty Reviewers Have Access to Annual Reviews?</i> .....	9
<i>Can New Material Be Added to a File After a Deadline?</i> .....	10
<i>Are Letters of Support Accepted?</i> .....	10
<i>What if There Are Procedural Concerns?</i> .....	10
<i>What About Rebuttals and Appeals of Negative Recommendations or Decisions?</i> .....	11
<i>Can Candidates Request Copies of a File Following Positive Recommendations?</i> .....	12
RPT – UNM’s Online Dossier and Review Process.....	13
<i>Confidentiality</i> .....	13
<i>System Administrators</i> .....	14
<i>Confirmation of Candidate Eligibility</i> .....	14
<i>Conflict of Interest</i> .....	14

<i>Submittal Deadlines</i> .....	14
<b>RPT Organizational Requirements</b> .....	15
<i>Candidate Portion</i> .....	16
<i>Department Portion</i> .....	18
<i>College or School Portion</i> .....	19
<i>Main and Campus-Wide Committee Portion</i> .....	20

## **Scope**

These guidelines apply to:

- ✓ Probationary faculty undergoing retention review
- ✓ Probationary faculty seeking tenure and promotion in rank
- ✓ Tenured faculty seeking promotion in rank to full Professor
- ✓ Lecturers seeking promotion

Tenured faculty seeking promotion in rank to Distinguished Professor should see <http://www.unm.edu/~acadaffr/faculty-information/unm-distinguished-professors.html>.

## **Candidate Guidelines**

Candidates for retention, promotion and tenure bear the primary burden of assembling the review materials, and are obligated to put forward a complete dossier of their work for review. The Faculty Handbook states: “The dossier is a collection of documents that summarize and evaluate a faculty member's accomplishments in teaching, scholarly work, and service and contain evidence of personal and professional effectiveness. ... The faculty member shall provide the following elements:

1. statement by the faculty member of professional goals and progress toward achieving them;
2. complete and current curriculum vitae; and
3. systematic collection of professional materials documenting the faculty member's achievements in the evaluation categories of teaching; scholarly work; and service.” FHB B4.5.1(a).

Many academic units require various forms of supplemental material. The section below on *RPT Organizational Requirements* lists current expectations with respect to material to be submitted.

Candidates should include for review all items listed on a C.V. that are not yet published; e.g., rough drafts listed as ‘in progress’ should be provided, or else not listed. Items still in the outline or rough concept stage may best be addressed in the research statement rather than appearing on the C.V.

Candidates are required to participate in all review processes leading up to retention, promotion and tenure decisions. These will include, at minimum, timely and full provision of dossier materials and communication with faculty administrators to ensure that annual reviews, peer teaching reviews, and external reviews of scholarly and creative work are included and made readily available to all UNM reviewers.

Probationary faculty can confirm the status of their tenure clock via the Employee tab in LoboWeb, in the ‘Faculty Contract Summary’ section (<http://my.unm.edu>).

### **Internal Reviewer Guidelines**

Departments and colleges should adhere to these principles during the review process:

- ✓ Review committees for candidates should be composed of faculty at or above the rank being considered (e.g., committees should include Associate Professors and above for tenure and promotion to Associate; Full Professors and above for promotion to Full Professor. If necessary, reviewers may be recruited from other departments.
- ✓ Chairs and Deans must ensure that faculty members do not review candidates with whom there is a conflict of interest. For example, a candidate’s spouse or domestic partner may not review that candidate, nor should anyone supervised by a candidate participate in the review. However, the mere occurrence of a dispute between a senior and a probationary faculty member does not necessarily create a conflict of interest; if there is any question please check with the Senior Vice Provost in advance of finalizing the internal reviewer process. Similarly, where an Associate Professor is serving as department chair and seeks promotion to full Professor, a full professor (from within or from outside the department) should be appointed to administer the promotion review. Note: this should be rare because the practice of appointing Associate Professors to serve as chairs is strongly discouraged.
- ✓ No faculty reviewer may have more than one advisory vote. In other words, one cannot cast a vote for

the same candidate both as a department faculty member or chair, and again as a college-level reviewer.

Faculty reviewers should also be guided by these Faculty Handbook policies:

- ✓ “The department chair, in consultation **with at least the tenured members of the department**, conducts a formal review of the faculty member's achievements in teaching, scholarly work, service, and personal characteristics [emphasis added]. FHB B4.3.1(a)
- ✓ Tenure and promotion reviews “shall take account of the annual reviews of the faculty member.” FHB B4.3.1(a)
- ✓ While voting is contemplated, “tenured members of the department are [also] expected to submit **written evaluations** of the candidate and indicate either a positive or negative mid-probationary, tenure, and/or promotion recommendation.” FHB B4.3.1(a)
- ✓ If it is the department’s practice or policy, “untenured faculty may participate in reviews. The chair's report shall distinguish between the evaluations and votes of the tenured faculty, on the one hand, and those of the untenured faculty, on the other. Untenured faculty members may decline to participate in the review without penalty.” FHB B4.4.2 Academic Affairs interprets this statement as applying to the potential for probationary faculty to vote, but not to serve on review committees if used.
- ✓ Absent faculty must be informed by the chair of upcoming reviews with sufficient time to participate if they choose. FHB B4.4.3
- ✓ “The chair shall discuss the review and departmental recommendation with the faculty member. ... The faculty member shall be advised in writing whether the recommendation is positive or negative.” FHB B4.3.1(c)
- ✓ It is of the utmost importance that internal reviewers respect the mandate to keep the entire review process, including all materials and deliberations, completely confidential. Any reviewer who fails to do so can be subject to disciplinary action for violating Faculty Handbook policies.

### **External Reviewer Guidelines**

- ✓ Written evaluations from colleagues and experts in the field at other institutions, **may** be used at the discretion of the department for the mid-probationary review, and **must** form part of the dossier for both the tenure review and the review for promotion to the senior ranks. FHB

### B1.2.2(c)

- ✓ Each department will have its own guidelines for selecting external reviewers, but as a general rule both the candidate and the chair or department committee will submit a list of potential reviewers; the department then invites reviewers, typically striving for approximately half from each list.
- ✓ Neither candidates nor departments should solicit external reviews from people who have conflicts of interest with the candidate (i.e., dissertation advisors, coauthors, collaborators on sponsored research, etc.).
- ✓ External reviewers should be “reputable scholars, researchers, or creative artists and critics who can evaluate the candidate's contributions to scholarship, research, or creative work.” FHB B4.5.2
- ✓ External reviewers must receive written instructions on UNM’s standards for retention, promotion and tenure, as appropriate, in addition to a curriculum vitae and the works to be reviewed. All external reviewers shall be advised that UNM will keep the reviewer's identity confidential, to the extent permitted by law. FHB B4.5.2
- ✓ The external review letters must be added to the dossier by the department. FHB B4.5.2
- ✓ Department chairs should indicate in their recommendation how many reviewers were contacted and how many declined to review. One or two recusals can be anticipated, but if for example, the department has to contact twice as many potential reviewers as usual, that may signal peer concern about quality of the candidate’s work, and should be noted with an explanation.

### **Standards for Retention at the Mid-Probationary Review**

In their recommendations, tenured faculty reviewers, chairs and deans should state how the candidate meets, or fails to meet, the following standards:

To receive a second probationary period, “there should be demonstration of, or at least clear progress toward, the competence or effectiveness in all four evaluation categories expected of tenured faculty [teaching, scholarly work, service and personal characteristics], as well as promise of excellence in either teaching or scholarly work.” FHB B4.6.1(c)

- ✓ “If the University concludes that insufficient progress towards tenure has been made *and that deficiencies are unlikely to be corrected in the time remaining before the tenure decision*, then a negative mid-probationary decision is both appropriate and necessary.” B4.6.1(c)

## Standards for Tenure and Promotion to Associate Professor

To earn tenure and promotion, faculty are required to be **effective** in four areas: teaching, scholarly work, service, and personal characteristics, and that “**excellence** in either teaching or scholarly work constitutes the chief basis for tenure and promotion.” FHB B1.2(b).

The Faculty Handbook provides requirements as to what evidence reviewers of tenure candidates shall consider:

- ✓ “Evidence to be evaluated for teaching ... must include student course evaluations, descriptions of courses taught and developed by the faculty member, and written reports of peer observations of teaching.” B1.2.1(c) *Note the requirement that written reports of peer observations **must** be included.*
- ✓ “Evidence of scholarship or creative work is determined by the faculty member's publications, exhibits, performances, or media productions and may be supplemented by evidence of integration of the faculty member’s scholarly work and teaching.” Written evaluations from external reviewers may be considered for the mid-probationary review, and must be considered for both the tenure review and the review for promotion to the senior ranks. B1.2.2(c)

The Faculty Handbook does not provide guidance as to how “**excellent performance**” in teaching or scholarly work is determined. Departments and programs must adopt policies specific to the discipline, to guide candidates and reviewers in making this assessment. The Faculty Handbook does, however, provide guidance as to how “**effective performance**” in teaching or scholarly work may be assessed in FHB B1.2.1, and B1.2.2.

Local departmental policies specific to the discipline should be in place to guide candidates and reviewers in making an assessment of what constitutes effective vs. excellent teaching and scholarly work in their disciplines. A collection of current departmental standards is available on the [Office of Faculty Affairs and Services](#) (OFAS) website. Any local policy updates should be sent to OFAS at [faculty@unm.edu](mailto:faculty@unm.edu).

To be promoted in rank, faculty shall have acquired significant experience beyond the terminal degree and “shall have demonstrated competence as teachers and have shown a conscientious interest in improving their teaching. They shall have demonstrated a basic general understanding of a substantial part of their discipline and have an established reputation within and outside the University in their fields of scholarly work. This implies scholarly work after the terminal degree sufficient to indicate continuing interest and growth in the candidate’s professional field.” FHB B2.2.2(a)

“Appointment at, or promotion to, the rank of associate professor represents a judgment on the part of the department, college, and University that the individual has made and will continue to make sound contributions to teaching, scholarly work, and service. The appointment should be made only after careful investigation of the candidate's accomplishments and promise in teaching, scholarly work, and leadership.” FHB B2.2.2(b)

Tenured faculty reviewers, chairs and deans should state in their recommendations how candidates meet, or fail to meet, these standards. *At a minimum, faculty reviewers, chairs and deans should clearly state and explain:*

- ✓ *whether the candidate's Teaching performance is Ineffective, Effective, or Excellent*
- ✓ *whether the candidate's Scholarly Work is Ineffective, Effective or Excellent*

### **Standards for Promotion to Full Professor**

In their recommendations, tenured faculty reviewers, chairs and deans should state how the candidate meets, or fails to meet, the following standards:

- ✓ “Individuals who have attained high standards in teaching and who have made significant contributions to their disciplines may be considered for this faculty rank. They shall also have developed expertise and interest in the general problems of university education and their social implications, and have shown the ability to make constructive judgments and decisions. *It is expected that the professor will continue to develop and mature with regard to teaching, scholarly work, and the other qualities that contributed to earlier appointments.*” FHB B2.2.3(a)
- ✓ “Appointment or promotion to Professor represents a judgment on the part of the department, college/school, and University that the individual has made *significant, nationally recognized scholarly or creative contributions to his or her field and an expectation that the individual will continue to do so.*” FHB B2.2.3(a)
- ✓ “Professors are the most enduring group of faculty, and it is they who give leadership and set the tone for the entire University. Thus, appointment or promotion should be made only after careful investigation.” FHB B2.2.3(a)
- ✓ “Qualifications for promotion to the rank of professor include attainment of high standards in teaching, scholarly work, and service to the University or profession. Promotion indicates that the faculty member is of comparable stature with others in his or her field at the same rank in comparable universities. Service in a given rank for any number of years is not in itself a sufficient reason for

promotion to professor.” FHB B4.8.3(a)

- ✓ It should be understood from the above references to ‘national recognition in the field,’ and ‘qualities that contributed to earlier appointments,’ that candidates for promotion to full Professor must show evidence that their teaching or scholarly work continues to rise to the level of excellence originally required for tenure.

### **Standards for Lecturer Promotion**

In their recommendations, faculty reviewers, chairs and deans should state how the candidates meet, or fail to meet, the following standards:

#### **Senior Lecturer**

- ✓ To obtain a promotion, candidates should “have demonstrated professional excellence and shown a conscientious interest in improving their professional skills.” FHB C190, Section A2(a)
- ✓ Promotion to “the rank of Senior Lecturer represents a judgment on the part of the department, School or College, and University that the individual has made and will continue to make sound contributions in their professional areas.” The review should include an evaluation “of the candidate's professional and leadership accomplishments and promise.” FHB C190, Section A2(b)

#### **Principal Lecturer**

- ✓ To obtain a promotion, candidates should “have sustained consistently high standards in their professional contributions, consistently demonstrated their wider service to the University community and its mission, and shown a conscientious interest in improving their professional skills. It is expected that Principal Lecturers will continue to develop and mature with regard to their professional activities and leadership within the University.” FHB C190, Section A3(a)
- ✓ Promotion to “the rank of Principal Lecturer represents a judgment on the part of the department, School or College, and University that the individual has attained and will continue to sustain an overall profile of professional excellence and engagement in the wider profession.” The review should include an evaluation “of the candidate's professional and leadership accomplishments and promise.” FHB C190, Section A3(b)

## **Branch Campus Faculty**

The standards for promotion and tenure are modified for branch campus faculty members. These modifications place the emphasis on excellence in teaching and service in view of the branch campus mission. FHB F90.

## **Frequently Asked Questions**

### **What is the Difference between Reviewers, Recommenders and Decision Makers?**

As described in the Faculty Handbook, three individuals have the responsibility of making a recommendation: the Chair, Dean and Senior Vice Provost. FHB B4.3.1, 4.3.2, and 4.3.3 Only one individual – the Provost – has the responsibility for making the decision. FHB B4.3.4 At each stage recommenders are strongly encouraged to seek input and advice of relevant faculty members. This typically occurs through use of committees and/or faculty votes of at least the senior faculty members in the department. FHB B4.4.5 For branch campus faculty, branch campus Executive Directors also make recommendations. FHB F90

### **Should Faculty Reviewers Have Access to Annual Reviews?**

Department colleagues need to know what chairs told candidates at earlier annual or mid probationary reviews, in order to know if the candidate had a clear picture of expectations for and progress toward tenure. FHB C70, Section 3.2 clearly states that access to a candidate's personnel record is anticipated for anyone who has an official role in the evaluation of candidates for tenure status and rank. A candidate's personnel record should contain the annual reviews, so reviewer access is implied. However, Section B4 of the Faculty Handbook provides for some leeway in this regard. One section states that the chair should summarize for voting faculty what was contained in previous annual reviews, while another section states that annual reviews must be taken into account in a department's review of a candidate. The Provost's Office has recommended that each department adopt a clear, consistent and transparent policy regarding whether the department will utilize chairs' summaries or will provide departmental reviewers with direct access to annual reviews.

In 2015 the Committee on Academic Freedom and Tenure (AF&T) issued a clarifying opinion to chairs, deans, the Provost and the Vice Chancellor of HSC regarding the use of annual reviews in retention, promotion and tenure reviews of candidates at the department level. The committee stated it *“agrees with the standard recommendation issued by the Office of the Provost that each department should follow the*

*established procedures for including the Annual Review documents in a faculty member's dossier, until such time as those procedures are discussed and changed by a vote of the department's faculty. Once approved by the department's faculty, these new procedures must not be applied to faculty hired before said change, except at the request of the faculty member under review."*

### **Can New Material Be Added to a File After a Deadline?**

Departments and programs should review candidates at each rank according to consistent timetables. FHB B4.5.4. However, candidates may add material to their files throughout the review process, and at each level of review. New material will be available only to reviewers at the level at the time it was added and thereafter. In other words, new material is not cause for previous reviewers to revisit their earlier votes or recommendations.

The Faculty Handbook also states, "if any substantive material is introduced at a higher administrative review, the candidate, chair and dean (if appropriate) shall be furnished copies. If necessary to preserve confidentiality, material provided to the candidate shall be redacted and the candidate shall have 5 working days to submit written comments if desired." FHB B4.5.2

### **Are Letters of Support Accepted?**

Colleagues from other departments, from other universities, and sometimes members of the public often wish to write letters of support or otherwise lobby for particular outcomes. Letters of support not obtained as part of a department or college's regular review process will not be added to a file *after a dossier is submitted by the candidate* as they are outside of the scope of the procedure and policy allowing for additional material to be added. FHB B4.5.4 Letters of support may be added to a dossier by a candidate up until the time the dossier is submitted.

### **What if There Are Procedural Concerns?**

Occasionally concerns arise about whether a candidate received due process either during the management of the probationary period or during the review process itself.

Faculty reviewers should focus on ascertaining whether a candidate's body of work meets the standards required for retention, promotion and tenure. They should not consider potential procedural concerns as

they assess whether a candidate's teaching and scholarly work qualifies as effective or as excellent. Faculty reviewers may note potential procedural concerns, but addressing procedural problems are in the domain of chairs, deans, and the provost.

### **What About Rebuttals and Appeals of Negative Recommendations or Decisions?**

Candidate, faculty and administrator rights and responsibilities when negative recommendations occur are described below. For more information, see: <http://ofas.unm.edu/docs/P&T/Rebuttals-and-Appeals.pdf>.

**Notice.** Chairs must provide negative recommendations to the candidate, and schedule a discussion of the recommendation with the candidate.

**Rebuttal.** Candidates have a right to rebut negative recommendations. In order to prepare a rebuttal, a candidate may request a copy of all supporting materials in the file. All material in the file must be redacted to assure confidentiality prior to delivery. Any new materials or written statements added by the candidate in response to a negative recommendation become available to reviewers at the next level; rebuttal material is not cause for previous reviewers to revisit earlier votes or recommendations. Note: The FHB does not explicitly state that rebuttals are available at every level of review, but it is inferred from B4.3.6 given that candidates are able "to present his/her views to the next level of review before the next recommendation."

**Appeals.** A dean is normally expected to follow a chair's recommendation, so a chair may appeal a dean's recommendation if it is contrary to a chair's. The appeal is made to the Senior Vice Provost. FHB B4.3.2 A candidate may also appeal a Provost's negative final decision to the Academic Freedom and Tenure Committee at the conclusion of the process. FHB B4.3.7

FHB F90 currently states that Branch faculty have an 'appeal' available at each level of review. This is inconsistent with the language in FHB B4 and is inconsistent with the definition of an appeal—there must be a final decision to appeal—and Branch level reviewers issue recommendations not decisions. Therefore, the language in F90 should be read as accomplishing the same outcome as FHB B4.3.6 with respect to rebuttals and appeals.

**Reconsideration.** A candidate may request reconsideration by the Provost of a negative decision. FHB B4.3.6

**Redaction.** In order to provide rigorous and fair review, reviewers expect that their opinions shall also be kept confidential from the candidate. Redaction must be sufficient to protect the identity of all internal and

external reviewers. This means that any information, not just names, that may reveal the identity of the author must be redacted. If it does not appear feasible to protect the identity of the author through redaction, the document may be accurately summarized in writing for the faculty member instead. If the author of an evaluation submits a written waiver of confidentiality, the evaluation may be reviewed or copied by the faculty member without redaction. FHB C70, Section 2.2(a)

### **Can Candidates Request Copies of a File Following Positive Recommendations?**

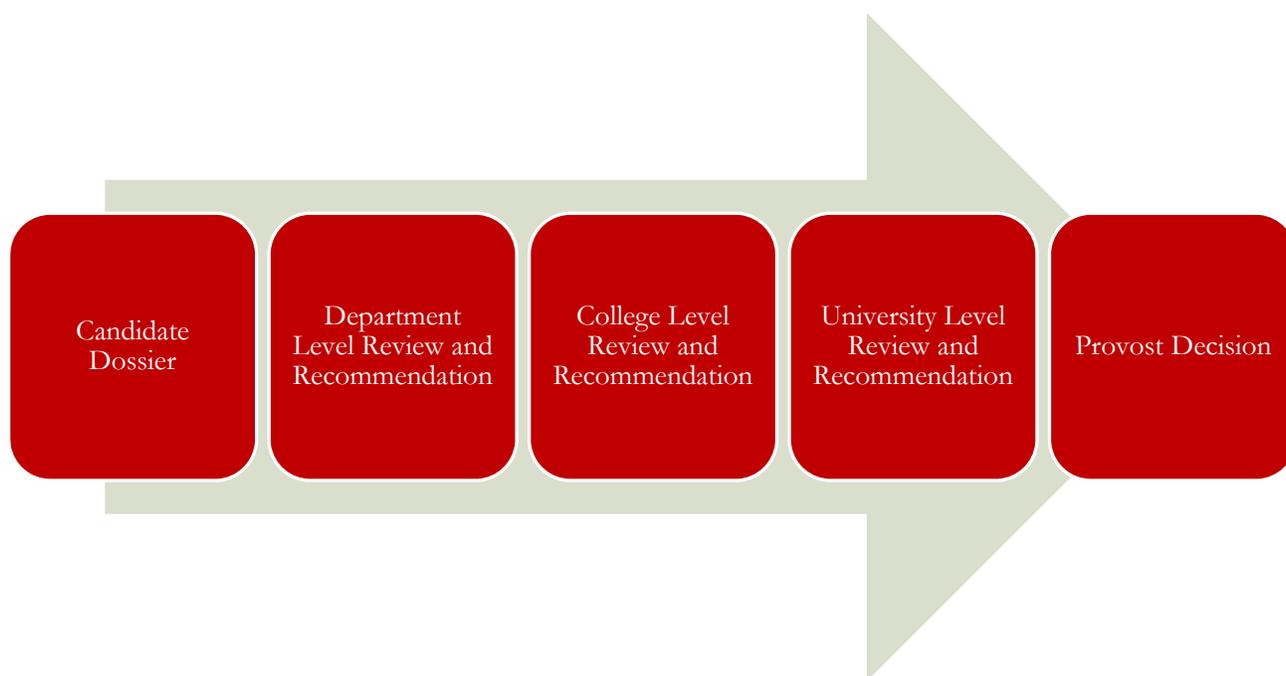
From time-to-time, candidates request copies of their file even though their recommendations were positive. Such requests impose an undue burden of redaction on staff and faculty administrators. Between 100 – 150 retention, promotion and tenure files are typically reviewed each year, files that often contain 500 pages or more of documents. Further, despite redaction, reading internal reviews often leads candidates to infer – rightly or wrongly – how their colleagues may have voted. Such behaviors are counterproductive to supporting collegial working environments.

However, faculty members have a right to view the official personnel file maintained by the University. Should a faculty member insist on seeing their retention, promotion or tenure file, please refer them to Academic Affairs which maintains the official file. Academic Affairs personnel will schedule a time to review the file on the premises within a reasonable period (normally two weeks). FHB C70, Section 2.1

## RPT – UNM’s Online Dossier and Review Process

All Retention, Promotion and Tenure (RPT) reviews conducted during AY2017-18 must use UNM’s online system for dossier-building and review management found at <http://rpt.unm.edu>. The RPT application, developed by [UNM’s Institute of Design and Innovation](#), was piloted using College of Engineering reviews during AY2015-16 and used for reviews in all units during AY2016-17, and is now available to support all Main and Branch campus faculty retention, promotion and tenure reviews.

Access to the RPT application is controlled by UNM’s Central Authentication Service via NetID and password. Within the application, at each level of review, department, college and Provost Office system administrators control access.



The content is organized in tiers which system administrators use to control viewing and the ability to load review materials. As a general rule, reviewers at each level can ‘look below’ to view what was said and done at earlier levels, but can never ‘look above’ to view what subsequent reviewers add or do.

### Confidentiality

RPT data is stored in a secure, cloud-based platform under license which ensure that the vendor will not disclose UNM’s data which is protected by FERPA (e.g., student teaching evaluations) and data protected by other law (e.g., personnel records). Each candidate is assigned a confidential section in which to assemble their dossier. It is of the utmost importance that internal reviewers respect the mandate to keep the entire

review process, including all materials and deliberations, completely confidential. Any reviewer who fails to do so can be subject to disciplinary action for violating Faculty Handbook policies. Prior to gaining access to the RPT system, reviewers must affirm that they will protect candidates' right to content confidentiality. Reviewer opinions shall also be kept confidential from the candidate. FHB C70 Sec. 2.2

### **System Administrators**

Each school and college must submit to Jennifer Love, Academic Affairs Program Planning Officer, the names of their system administrators for the RPT system as soon as possible, but **no later than August 1, 2017**. Training for those holding system administrator roles is already occurring, and will continue throughout the summer months. Training will be scheduled as soon as a system administrator is nominated.

### **Confirmation of Candidate Eligibility**

Each school and college must submit to Jennifer Love, Academic Affairs Program Planning Officer, the names of all candidates who will be reviewed for retention, tenure or promotion of any type during AY2017-18 by **August 1, 2017**. This information will be verified against official tenure clock records maintained by OFAS.

### **Conflict of Interest**

Each Department and College must submit to Jennifer Love, Academic Affairs Program Planning Officer the names of any reviewer conflicts of interest by **August 1, 2017**.

### **Submittal Deadlines**

Provided below are deadlines and guidelines for organization and submittal of dossier and review materials for Provost-level review. Deans are responsible for setting internal deadlines for college level review.

***Candidates for Promotion to full Professor.*** Promotion files (candidate dossier, mandatory outside reviews, departmental and/or college reviews and recommendations) are to be completed and fully uploaded in the RPT application for Provost-level access by **5:00 pm on Friday, March 09, 2018**.

**Colleges and Departments should set prior deadlines that allow**

**them sufficient time for review and decision-making to meet this and other firm deadlines below.**

***Tenure and Promotion Candidates.*** Tenure and Promotion files (candidate dossier, mandatory outside reviews, departmental and/or college reviews and recommendations) are to be completed and fully uploaded in the RPT application for Provost-level access by **5:00 pm on Friday, March 09, 2018.**

***Mid-Probationary Candidates.*** Mid-Probationary files (candidate dossier, outside reviews if used, departmental and/or college reviews and recommendations) completed and fully uploaded in the RPT application for Provost-level access by **5:00 pm on Friday, March 23, 2018.**

***Lecturer Promotion Candidates.*** Promotion files (candidate dossier, departmental and/or college reviews and recommendations) are to be completed and fully uploaded in the RPT application for Provost-level access by **5:00 pm on Friday, April 6, 2018.**

***Academic Affairs.*** The Faculty Handbook states that the deadline for the Provost's final decision in retention, tenure and promotion reviews is **June 30, 2018.**

### **RPT Organizational Requirements**

The Provost recognizes that no single template can meet all needs or cover all bases. However, the more consistent the organizational structure is, the more comprehensible and accessible the materials will be to reviewers at every level, especially reviewers from outside the department. Candidates should stay as close to this template as they reasonably can while still presenting their record as effectively as possible given field differences.

The organizational requirements for materials in the RPT application are described below. While compliance with file naming guidelines is strongly recommended, candidates should be assured that the outcome of their reviews will not be jeopardized if file names vary. As always, if you have suggestions for improving the review process, we hope you will share them with us.

## **Candidate Portion**

The RPT dossier-builder automatically indexes all PDFs. The only exception is audio and video files, for which links should be provided via an open URL (not password protected). If any materials present unique challenges, especially books for which no PDF version is available for upload, please confer with [Jennifer Love](#), Academic Affairs Program Planning Officer, for further guidance.

Candidates are encouraged to upload their materials directly, but department or college administrators *may* choose to make themselves available to upload materials if deemed necessary for consistency and completeness.

Dossier components should be uploaded as segments into the following sections within the RPT application:

### **Curriculum Vitae**

File named: CV

### **Teaching Statement or Portfolio** *(follow College or School requirements)*

File named: Teaching Statement (or Teaching Portfolio)

### **Student Evaluations**

- *Summary of Student Evaluations:*  
File named: summary of student evaluations\_course name\_course #
- *Student comments (combine into one PDF for each course)*  
Files named: student comments\_course name\_course #

### **Peer teaching evaluations**

Files named: peer teaching evaluation by (reviewer's last name, first initial)

### **Course Materials**

***Examples of original teaching materials*** from each unique course taught *(no need to include materials from the same course taught over several semesters)*

Name each document:

YYYY\_semester\_COURSE number\_ (title of document) Examples:

2014\_spring\_ENGL322\_syllabus

2015\_fall\_CHEM131\_final exam

2016\_fall\_BIOL402\_comments

### **Research/Creative Works Statement**

File named: Research (or Creative Works) Statement

NOTE: department standards dictate whether this describes grant-funded research or scholarly/creative works. Articles, books, research grant proposals, etc., if they are to be provided, should be uploaded to the Supplemental Materials section.

### **Service Statement**

File named: Service Statement

### **Supplemental Materials**

In most cases the candidate will suggest what is to be included and will upload this material after consultation with the Chair. However, the Provost's reviewers require that any unpublished material listed on the CV, e.g., works in progress, must be loaded here. For works that are too preliminary to include as works in progress, please discuss them in the Research Statement rather than listing them on the CV.

*In general, Supplemental Materials may include the following (and will display to reviewers in the order of upload). PLEASE NOTE that the application generates **URL links** to these materials. Reviewers need only click on the link in order to see the supplemental material.*

Comprehensive List (signed by the Chair) of contents of Supplemental Materials section [required in Arts & Sciences only]

#### 1\_Books

– typically, authors can gain access to a PDF version from publishers  
List each as 1.01 (author, title, etc.), 1.02, 1.03, etc., starting with the earliest publication.

#### 2\_Articles

List each as 2.01 (details), 2.02, 2.03, etc., starting with the earliest publication

#### 3\_Research Grants

List each as 3.01 (details), 3.02, 3.03, etc.

#### 4\_Reviews of grant proposals or manuscripts

#### 5\_Unsolicited letters describing contributions to community, awarding of prizes, gratitude of

students and professional colleagues, contracts for future publications

6\_Other

List each as 6.01 (details), 6.02, etc. Include links to webpages or external audio or video files here.

## **Department Portion**

### **Annual Reviews**

- Chair's summary of candidate's annual reviews
- Individual annual reviews from each previous year
- Any previous mid-probationary, tenure or promotion recommendation letters from Chair, Dean and Provost

### **External Reviews**

- Each reviewer letter, named: (last name, initial) review by (reviewer's last name)
- External reviewer CVs (optional)

*NOTE: At least six external reviews are mandatory for Tenure and Promotion/Full Professor files. External reviews may be optional for Mid-Probationary files as determined by local departmental standards. In such cases, please load a statement saying external reviews are not applicable in this instance.*

### **Department Faculty Vote and Comments**

- Report of departmental personnel/reviewer subcommittee (if used)
- Separate summary of faculty vote
- Individual department reviewer recommendations if used (in A&S, use Committee Confidential Recommendation Forms).

***All written evaluations of tenure candidates submitted by faculty reviewers, chairs and deans should provide a clear statement of the following, and why or why not:***

- ✓ *whether the candidate's Teaching performance is Ineffective, Effective, or Excellent*
- ✓ *whether the candidate's Scholarly Work is Ineffective, Effective or Excellent*

### **Department Chair Recommendation**

- Chair's recommendation letter, named: (last name, initial) letter from Chair

The letter from the Chair should make the case for or against retention, tenure and/or promotion, based on materials and evaluations submitted to date, explicitly compared to departmental standards for same.

*All written evaluations of tenure candidates submitted by faculty reviewers, chairs and deans should provide a clear statement of the following, and why or why not:*

- ✓ *whether the candidate's Teaching performance is Ineffective, Effective, or Excellent*
- ✓ *whether the candidate's Scholarly Work is Ineffective, Effective or Excellent*

### **College or School Portion**

#### **College Vote and Comments**

- Summary of college committee vote
- Individual committee reviewer recommendations or committee report as appropriate, named: (Candidate's last name, first initial) College (or School) Cmt rev by (reviewer last name, first initial)
- Report of departmental personnel/reviewer subcommittee (if used)

*All written evaluations of tenure candidates submitted by faculty reviewers, chairs and deans should provide a clear statement of the following, and why or why not:*

- ✓ *whether the candidate's Teaching performance is Ineffective, Effective, or Excellent*
- ✓ *whether the candidate's Scholarly Work is Ineffective, Effective or Excellent*

#### **Dean's Recommendation**

- Dean's recommendation letter, named:  
(Candidate's last name, initial) letter from Dean

The letter from the Dean should make the case for or against tenure and promotion, based on materials and evaluations submitted to date.

### **Main and Campus-Wide Committee Portion**

A main and branch campus-wide faculty advisory committee, chaired by an Associate Provost, reviews all retention and tenure and promotion files, but currently not lecturer promotion files. In every case, a two-person subcommittee reviews the candidate's file and makes a recommendation. In cases where recommenders split, both offer negative recommendations, or where other questions about the candidate's qualifications are deemed worthy of deeper review, the committee chairperson either resolves the split or moves the file to review by the full committee. In the latter case, the candidate's dossier will be made available to the full committee for discussion and vote. The committee may request additional materials, such as teaching evaluations, annual reviews, or other supplementary materials.

The 2-person subcommittee written assessments are loaded into RPT.

Candidates will be officially notified of the outcome of the review no later than June 30, 2018.