Process Guide for Promotion and/or Tenure

(tenure-eligible faculty)

Academic Affairs Manual (ACD) policies governing faculty promotion and/or tenure: [ACD506-04](#), [ACD506-05](#)

Candidate Responsibilities

Step 1. **External reviewers proposed by candidate.** Candidate submits to unit chair/director a list of at least 10 names of people he/she/they recommend to serve as potential external reviewers. At least five of the 10 names provided by the candidate must be at institutions that are approved peers or aspirational peers of ASU. Proposed reviewers by the candidate and the chair/director must meet eligibility requirements as described in [ACD506-04](#). It is recommended that this occur early in the spring semester, following unit and college deadlines.

Step 2. **Materials submitted by candidate.** Candidate checks with unit chair/director to determine the unit's submission deadlines for the following materials. According to the unit deadline, candidate submits electronic copies (PDF) of the following to the unit:

    a. A full and comprehensive **Curriculum Vitae** with page numbers and candidate name on each page.

    b. A **Personal Statement** up to four pages in length, single-spaced, minimum of 0.70-inch margins, 12 pt. font with page numbers and candidate name on each page. The personal statement should put past work into perspective, provide clear evidence of that work's impact on the field, and outline future goals. The personal statement should help reviewers see relationships between the candidate's teaching, research, and service, and how these activities have built the foundation for continued professional growth.

    c. **Publications/Creative Materials**:

        i. Candidate completes the *Confirmation of Publications/Creative Materials Selections* by listing up to four publication titles or descriptions of creative activity reflecting his/her/their research, scholarship, and/or creative activities; please include citation information as applicable and PDF page numbers on the form. A creative activities portfolio documenting overall professional activity may be submitted as one piece of evidence. Materials should demonstrate excellence and the promise of continued excellence.

        ii. Candidate provides unit with electronic copies of publications/creative materials identified on the Confirmation of Publications/Creative Materials Selections. If applicable, submit three copies of CDs or DVDs of copyrighted material that cannot be scanned (e.g. music, film, etc.). Links to web applications (e.g. Dropbox) are not accepted unless the college/library has received prior permission from the provost's office.

        iii. Candidate signs and submits Confirmation of Publications/Creative Materials Selections to the unit. Do not lock documents and do not use an electronic signature (e.g. Adobe Sign, Adobe Certificate, DocuSign, font) to sign forms. JPEG signature is accepted.

    d. **Evidence of Excellence in Teaching and Mentoring**. These materials are in addition to the Summary of Student Evaluation of Instruction provided by the unit. Material in this category is included in the **Teaching Evidence** section. Candidates should work with their unit chair/director to identify appropriate materials that would effectively demonstrate an engaged effort to improve/sustain excellence in teaching and mentoring. The dossier should include at least three (3) different types of evidence of teaching excellence, one of which must be the candidate's Summary of Student Evaluations as required by ABOR policy. Other types of evidence may include, but are not limited to: recent, objective, and substantive peer or director evaluations of teaching, teaching or mentoring honors/awards, scholarship with a focus on pedagogy, evidence of student success through a sequence of courses, evidence of mentoring such as student theses and dissertations (especially to completion), papers co-authored with students and projects with student collaborators, evidence of

student career success related to the candidate's teaching or mentoring, examples of effective teaching innovation by the candidate, peer review of student portfolios; or other evidence determined to be appropriate by the chair/director in consultation with the candidate, or facilitation of workshops on learning outcome assessment or other pedagogical topics. Evidence should not include student comments on evaluations, course materials (syllabi, sample tests), or other subjective materials. Tenured faculty may want to include teaching information from the previous ten years. If ten years of data at ASU is not available, course information from previous institutions can be included, if available. Material in this category should be selected carefully, as the quantity of material counts toward the 50-page/10MB size limit described in the Supporting Materials section, regardless of whether materials are required by the college or academic unit. (Summary of Student Evaluation of Instruction does not count toward the 50 page/10 MB size limit; academic unit-directed peer visit reports do not count toward the size limit if required by unit/college bylaws. See **Important Reminders** section for more information.)

- e. **Supporting Materials (Optional).** Candidate submits electronic (PDF) of Supporting Materials to unit.
    - i. Supporting materials may include a total of 50 pages not to exceed 10MB of additional electronic material highlighting excellence in teaching, research, and/or service. The 50-page/10MB limit is inclusive of materials described in the Evidence of Teaching Excellence section.
    - ii. If the candidate chooses to include letters of support from faculty member from units outside their tenure home in this section, the letters are not confidential. A faculty member who will review and vote on the candidate should not contribute such a letter (per ACD 111-01). (Note that the materials in item (2.d.) are included and counted within this page/size limit.)
    - iii. Candidate completes, signs, and submits the *Confirmation of Optional Supporting Materials* sheet to the unit. If the candidate is not submitting any supporting materials, please indicate it on the form. Please include citation information as applicable and PDF page numbers on the form. Do not lock documents and do not use an electronic signature (e.g. Adobe Sign, Adobe Certificate, DocuSign, font) to sign forms. JPEG signature is accepted.

Note: Step 5.c. indicates the materials that are sent to external reviewers.

Unit responsibilities

Step 3. **Unit and College Criteria.** Confirm that unit and/or college criteria have final approval by the provost and are posted on the academic personnel website.

- a. If faculty review criteria—including promotion and tenure criteria—are imbedded within a larger document (e.g. bylaws, policies or procedures guides), submit the entire approved document with bookmarks on the first page of the document as well as the criteria section.
- b. Unit and college document(s) are included in **Unit and College Criteria** section.
- c. If the candidate has an approved Joint Appointment Memorandum of Understanding (JAMOU) on file, the JAMOU is included and bookmarked. The JAMOU goes before the unit criteria in the **Unit and College Criteria** section. If salary amounts or other confidential details are included in the JAMOU, they must be redacted before distribution to external or internal reviewers, with a note stating who redacted it and the date.
- d. If it is a joint appointment where tenure is truly in two units (or colleges), the criteria for both units (or colleges) must be included. If it is a joint appointment where tenure is only in one unit, only the criteria for the tenure home is included.
- e. If unit (or college) criteria are not applicable, please include a page that indicates that unit (or college) criteria are not included.

    f. College must review the **Unit and College Criteria** section before distribution to external or internal reviewers.

Step 4. **External reviewers proposed by unit chair/director, and informal contact of reviewers.** The unit completes the following actions in preparation for external review. While colleges may set earlier deadlines for this component, it is recommended that it is completed no later than May 15.

    a. Unit chair/director develops a list of at least 10 names of people he/she/they recommends to serve as potential external reviewers. At least five of the 10 names he/she/they provides must be at institutions that are approved peers or aspirational peers of ASU. Proposed reviewers by the candidate and the chair/director must meet eligibility requirements as described in ACD506-04.

    b. Unit chair/director meets with dean to go over the list of all names submitted by the candidate and the unit chair/director for consideration as external reviewers. From the list, dean identifies acceptable reviewers, equally divided between candidate and unit chair/director lists.

    c. Unit chair/director informally contacts list of acceptable candidates identified by the dean. Informal contact is to ascertain reviewers' availability, with the goal of obtaining 10 available reviewers equally divided between the candidate and unit chair/director lists. At least five reviewers must be from peer/aspirational peer institutions.

       i. The preference is not to name the candidate during the informal contact. However, if using the candidate's name is necessary in order to secure a strong pool of external reviewers, then the informal contact to each potential reviewer may include the candidate's name provided the chair/director does not comment on or discuss the case. The same approach should be used for all candidates in that unit for that year. If the candidate's name is used in the informal request, then the chair/director should note that fact in the chair/director letter.

    d. Unit chair/director completes the *External Reviewers Grid* identifying 10 reviewers equally divided between approved candidate reviewers and approved unit chair/director reviewers who are available and will receive a formal invitation to participate in the review. Once an external reviewer has been formally invited to participate, the reviewer remains on the grid even if he/she/they fails to submit a letter. Declined or no-response emails are not included with the received external reviewer letters in the PDF Portfolio. Indicate in participation status on the form if a reviewer is not contacted. Be sure to add the COI to the grid if noted after letters are received.

       i. External reviewers are listed with candidate-proposed reviewers in the first group and unit chair/director-proposed reviewers in the second group. Reviewers are assigned a C# to candidate-proposed reviewers and an L# to unit leader (chair/director)-proposed reviewers. The numbering of the letters should remain consistent with the original grid. If the informal invitation is declined and a reviewer is not sent materials, the reviewer's line can be removed but it should not be renumbered. In other words, the numbering should be inclusive of all external reviewers who were informally contacted.

       ii. If a formally-invited external reviewer later declines or fails to submit a letter, the unit may select another dean-approved reviewer who has not yet been formally invited. The balance between candidate-proposed and unit chair/director-proposed reviewers must be maintained.

       iii. Unit chair/director signs and submits External Reviewers Grid to dean for signature. All reviewers must be approved by the dean before a formal invitation is sent. Do not lock documents and do not use an electronic signature (e.g. Adobe Sign, Adobe Certificate, DocuSign, or font) to sign forms. JPEG signature is accepted.

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Step 5. **Formal invitation of external reviewers.** It is recommended that no later than June 1, the unit formally invites and sends review materials to the external reviewers identified on the dean approved and signed External Reviewers Grid. Typically, the invitation is sent by the unit chair/director.

    a. Units are encouraged to use the *Sample Outside External Reviewer Request*. The request letter must ask the reviewer to: provide a statement regarding his/her/their acquaintance with the applicant; evaluate the suitability of the candidate for promotion and/or tenure; state whether the reviewer would recommend candidate for promotion and/or tenure at ASU based upon the enclosed department/college criteria; state whether the reviewer would recommend the candidate for promotion and/or tenure at the reviewer's institution.

    b. In soliciting external letters, unit must comply with the *General Guidelines for the Solicitation of External Review Letters*. (See **Important Reminders** section for more information.)

    c. Contents of review packets submitted to the unit to be sent to external reviewers:

        i. Candidate's current curriculum vitae.
        ii. Candidate's personal statement.
        iii. Candidate's publications or other material reflecting scholarly/creative and professional endeavors as submitted in Step 2.c.
        iv. A current copy of the approved unit and college criteria (as described in Step 3).

    d. Unit coordinates receipt of the external letters and sends reminders for requested letters.

    e. Unit includes the reviewer C# or L# in the top right corner of each page of each returned external reviewer letter.

    f. Units are encouraged to number the pages of each letter.

    g. Units are encouraged to acknowledge receipt of external letters.

    h. All external letters received must be signed by the external reviewer and included in the case file. If an unsigned external letter is received electronically, it should be received from the email address to which the invitation was sent. Unit should include the email at the end of the attached letter.

    i. Chair/director should note participation status of each external reviewer on the External Reviewers Grid.

Step 6. **Teaching Evidence.** Unit compiles and completes the *Confirmation of Teaching Evidence* and *Summary of Student Evaluation of Instruction* and may include any other data ***directly related*** to course evaluations.

    a. Student comments should not be included.

    b. Comparative data of teaching evaluation summary and description of the rating scale are required.

    c. All teaching evaluation scores from multiple units should be included. Teaching evaluation scores for cross-listed courses can be merged as long as it is noted on the form under additional information.

    d. All years of teaching evaluation scores at ASU should be included for faculty applying for promotion and tenure or tenure only. For tenured faculty, list all academic year courses taught since hire at ASU (limit to previous ten years). If ten years of data at ASU is not available, please include course information from previous institutions, if available.

    e. Academic unit-directed peer visit reports during the probationary period or since tenure should be inserted in the Teaching Evidence section by the unit. (If required by the unit/college bylaws, these pages do not count toward the 50-page/10MB limit described in Step 2 and in the **Important Reminders** section.)

    f. The Confirmation of Teaching Evidence is the first document in the Teaching Evidence section. The Summary of Student Evaluation of Instruction is the next document in the Teaching Evidence section. The Confirmation of Teaching Evidence and Summary of Student Evaluation of Instruction do not count toward the 50 page/10MB size limit described in Step 2.d and 2.e.

    g. Unit bookmarks the first page of each item listed on the Confirmation of Teaching Evidence.

    h. Units are strongly encouraged to review completed Confirmation of Teaching Evidence and Summary of Student Evaluation of Instruction data with candidate and all other evidence provided that documents effective teaching (peer reviews, etc.) prior to unit personnel committee review of case materials.

Step 7. The unit obtains a **Sponsored Activity Report** from dean's office prior to initial internal review. (See instructional information in **Important Reminders** section.)

Step 8. **APA Form.** Unit accurately completes _Request for Academic Personnel Action_ **(APA) form** and adds it to the PDF Portfolio.

Step 9. **Submission to unit personnel committee.** Unit securely submits electronic **PDF Portfolio** of each case to unit personnel committee. All sections below are PDFs (no other formats or folders) that are combined into a PDF Portfolio.

    a. The **PDF Portfolio** shall include sections titled and ordered as follows:

        i. **01_APA Form_Last NameFirst Initial**

        ii. **02_Curriculum Vitae_Last NameFirst Initial**

        iii. **03_Personal Statement_Last NameFirst Initial**

        iv. **04_Unit and College Criteria_Unit Name_College Name** (with bookmarks**,** as described in Step 3)

        v. **06_External Letters_Last NameFirst Initial** (External Reviewers Grid, sample of external reviewer request letter, followed by external letters as ordered on the grid with bookmarks)

        vi. **07_Teaching Evidence_Last NameFirst Initial** (Confirmation of Teaching Evidence, Summary of Student Evaluation of Instruction then other evidence with bookmarks)

        vii. **08_Sponsored Activity_Last NameFirst Initial** (Include a note on the report if no sponsored account information is available or applicable.)

        viii. **09_Publications_Creative Materials_Last NameFirst Initial** (Confirmation of Publications/Creative Materials Selections followed by publications/creative materials in order they appear on the Confirmation of Publications/Creative Materials Selections sheet with bookmarks)

        ix. **10_External Reviewer Curricula Vitae_Last NameFirst Initial** (as ordered on the External Reviewers Grid with bookmarks, External Reviewers Grid is not required in this section)

        x. **11_Supporting Materials_Last NameFirst Initial** (Confirmation of Optional Supporting Materials followed by supporting materials with bookmarks)

        xi. **12_Addendum_Last NameFirst Initial** (If applicable, _Confirmation of Addendum Materials_ followed by materials (with bookmarks) that were added to the file after the first response from an external reviewer is received. See **Late-add materials** in **Important Reminders** section.)

    b. **PDF Portfolio** should be saved and titled using the following naming convention: COLLEGE–UNIT–LastNameFirstName – ActionAcademicYear (e.g. _CLAS-PSY-SmithJane-PromotionTenure2014-15 or HIDA-SOA-JonesTom-PromotionFull2014-15 or BUS-MGT-JonesMary-TenureOnly2014-15 or NUR-SmithRobert-ProbationaryReview2014-15 or LAW-ThomopsonMichael-ConditionalReview2014-15 or NCIAS-SMNS-BrownBrian-Streamline2014-15_)

    c. If possible, unit should reduce PDF and use the text recognition option. Do not lock the portfolio or the documents.

    d. **PDF Portfolio** should be uploaded to a secure site as directed by each college.

    e. No hard copy file is required.

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Step 10. **Addition of unit committee letter(s) and signed APA Form.** Unit adds signed internal letters with voting results and page numbers to the PDF Portfolio from the following levels of review. If the committee vote is not unanimous, explicitly state the minority view in a separate section of the letter. Contextualize the vote in terms of the unit bylaws. (See instructional information in **Important Reminders** section.)
Reminder: All internal letters should refer to external reviewers by the C# or L# assigned to them on the External Reviewers Grid; no names of individuals or institutions can be referenced in any internal letter. (See instructional information in **Important Reminders** section.)
    a. Unit personnel committee, signed by all members of the committee. If a separate signature page is necessary, please include a sentence about the action that is being taken with the candidate's name at the top of the signature page. Do not use an electronic signature (e.g. Adobe Sign, Adobe Certificate, DocuSign, font) to sign forms or letters. JPEG signature is accepted.
    b. In the case of a joint appointment and if applicable, center director or non-tenure home unit chair/director. Such letters should represent an independent recommendation. Center directors who submit an internal letter and who belong to the candidate's tenure home unit may not vote on the case within the tenure home.
    c. Letter(s) are added to the PDF portfolio, titled **05_Internal Letters_Last NameFirst Initial**.
    d. Unit personnel committee chair indicates their recommendation and signs the APA Form.

Step 11. **Submission to unit chair/director.** Unit submits PDF Portfolio to unit chair/director for review and recommendation.
    a. Signed unit chair/director letter, including page numbers, is added to the PDF Portfolio.
Reminder: All internal letters should refer to external reviewers by the C# or L# assigned to them on the External Reviewers Grid; no names of individuals or institutions can be referenced in any internal letter.
    b. Unit chair/director indicates their recommendation and signs the APA Form. Do not use an electronic signature (e.g. Adobe Sign, Adobe Certificate, DocuSign, font) to sign forms or letters. JPEG signature is accepted.

Step 12. **Chair/director's meeting with the candidate.** The chair/director shall provide an oral statement of the strengths and weaknesses of the case to the candidate based on the reviews at the academic unit level; the candidate may choose to withdraw from further consideration at this point. If the candidate chooses to withdraw from further consideration, the chair/director contacts the dean as soon as possible. Then the dean contacts the provost's office as soon as possible.

Step 13. **Submission to the college.** By the deadline established by the supervising college, the unit submits electronic **PDF Portfolio** of each case to college for review and recommendation. All sections below are PDFs (no other formats or folders) that are combined into a PDF Portfolio.
    a. The **PDF Portfolio** shall include sections titled and ordered as follows:
        i. **01_APA Form_Last NameFirst Initial**
        ii. **02_Curriculum Vitae_Last NameFirst Initial**
        iii. **03_Personal Statement_Last NameFirst Initial**
        iv. **04_Unit and College Criteria_Unit Name_College Name** (with bookmarks, as described in Step 3)
        v. **05_Internal Letters_Last NameFirst Initial** (unit personnel committee followed by unit chair/director with bookmarks)
        vi. **06_External Letters_Last NameFirst Initial** (External Reviewers Grid, sample of external reviewer request letter, followed by external letters as ordered on the grid with bookmarks)

       vii. **07_Teaching Evidence_Last NameFirst Initial** (Confirmation of Teaching Evidence, Summary of Student Evaluation of Instruction then other evidence with bookmarks)

      viii. **08_Sponsored Activity_Last NameFirst Initial** (Include a note on the report if no sponsored account information is available or applicable.)

      ix. **09_Publications_Creative Materials_Last NameFirst Initial** (Confirmation of Publications/Creative Materials Selections followed by publications/creative materials in order they appear on the Confirmation of Publications/Creative Materials Selections sheet with bookmarks)

      x. **10_External Reviewer Curricula Vitae_Last NameFirst Initial** (as ordered on the External Reviewers Grid with bookmarks, External Reviewers Grid is not required in this section)

      xi. **11_Supporting Materials_Last NameFirst Initial** (Confirmation of Optional Supporting Materials followed by supporting materials with bookmarks)

      xii. **12_Addendum_Last NameFirst Initial** (If applicable, [Confirmation of Addendum Materials](#) followed by materials (with bookmarks) that were added to the file after the first response from an external reviewer is received. See **Late-add materials** in **Important Reminders** section.)

  b. **PDF Portfolio** should be saved and titled using the following naming convention: COLLEGE–UNIT–LastNameFirstName – ActionAcademicYear (e.g. *CLAS-PSY-SmithJane-PromotionTenure2014-15* or *HIDA-SOA-JonesTom-PromotionFull2014-15* or *BUS-MGT-JonesMary-TenureOnly2014-15* or *NUR-SmithRobert-ProbationaryReview2014-15* or *LAW-ThomopsonMichael-ConditionalReview2014-15* or *NCIAS-SMNS-BrownBrian-Streamline2014-15*)

  c. If possible, unit should reduce PDF and use the text recognition option before submitting to the college. Do not lock the portfolio or the documents.

  d. **PDF Portfolio** should be uploaded to a secure site as directed by each college.

  e. No hard copy file is required.

College responsibilities

Step 14. **Submission to the college committee.** College reviews file for accuracy and completion, and securely submits **PDF Portfolio** to college personnel committee. File includes materials submitted to and by the unit in Steps 8-13.

Step 15. **Addition of college committee letter and signed APA form.** College adds the internal letter, with voting results and page numbers, from the college personnel committee signed by all members of the committee to the end of the **Internal Letters** section of the **PDF Portfolio**. If the committee vote is not unanimous, explicitly state the minority view in a separate section of the letter. Contextualize the vote in terms of the unit bylaws.

  a. If a separate signature page is necessary, please include a sentence about the action that is being taken with the candidate's name at the top of the signature page. Do not lock documents and do not use an electronic signature (e.g. Adobe Sign, Adobe Certificate, DocuSign, font) to sign forms or letters. JPEG signature is accepted.

  b. *Reminder: All internal letters should refer to external reviewers by the C# or L# assigned to them on the External Reviewers Grid; no names of individuals or institutions can be referenced in any internal letter.* (See instructional information in **Important Reminders** section.)

  c. College committee chair indicates their recommendation and signs the APA Form.

Step 16. **Submission to the dean.** College submits **PDF Portfolio** to dean for review and recommendation.

a. Signed dean's letter, including page numbers, is added to PDF Portfolio at the end of the **Internal Letters** section.

Reminder: All internal letters should refer to external reviewers by the C# or L# assigned to them on the External Reviewers Grid; no names of individuals or institutions can be referenced in any internal letter. (See instructional information in **Important Reminders** section.)

b. Dean indicates their recommendation and signs the APA Form. Do not lock documents and do not use an electronic signature (e.g. Adobe Sign, Adobe Certificate, DocuSign, font) to sign forms or letters. JPEG signature is accepted.

Step 17. **Dean's meeting with the candidate.** Before sending the case forward to the provost, the dean shall provide an oral statement of the strengths and weaknesses of the case to the candidate based on the reviews at the college level; the candidate may choose to withdraw from further consideration at this point. If the candidate chooses to withdraw from further consideration, the dean contacts the provost's office as soon as possible.

Step 18. **Submission to the provost's office.** By the deadline established by the university, college submits the electronic **PDF Portfolio** of each case to university for review and recommendation. All sections below are PDFs (no other formats or folders) that are combined into a PDF Portfolio.

a. The **PDF Portfolio** shall include sections titled and ordered as follows:

i. **01_APA Form_Last NameFirst Initial** (revised to include college committee and dean's signatures)

ii. **02_Curriculum Vitae_Last NameFirst Initial**

iii. **03_Personal Statement_Last NameFirst Initial**

iv. **04_Unit and College Criteria_Unit Name_College Name** (with bookmarks, as described in Step 3)

v. **05_Internal Letters_Last NameFirst Initial** (unit personnel committee, unit chair/director, college committee, dean with bookmarks)

vi. **06_External Letters_Last NameFirst Initial** (External Reviewers Grid, sample of external reviewer request letter, followed by external letters as ordered on the grid with bookmarks)

vii. **07_Teaching Evidence_Last NameFirst Initial** (Confirmation of Teaching Evidence, Summary of Student Evaluation of Instruction then other evidence with bookmarks)

viii. **08_Sponsored Activity_Last NameFirst Initial** (Include a note on the report if no sponsored account information is available or applicable.)

ix. **09_Publications_Creative Materials_Last NameFirst Initial** (Confirmation of Publications/Creative Materials Selections followed by publications/creative materials in order they appear on the sheet with bookmarks)

x. **10_External Reviewer Curricula Vitae_Last NameFirst Initial** (as ordered on the External Reviewers Grid with bookmarks, External Reviewers Grid is not required in this section)

xi. **11_Supporting Materials_Last NameFirst Initial** (Confirmation of Optional Supporting Materials followed by supporting materials with bookmarks)

xii. **12_Addendum_Last NameFirst Initial** (If applicable, [Confirmation of Addendum Materials](#) followed by materials (with bookmarks) that were added to the file after the first response from an external reviewer is received. See **Late-add materials** in **Important Reminders** section.)

b. **PDF Portfolio** should be saved and titled using the following naming convention:
COLLEGE–UNIT–LastNameFirstName – ActionAcademicYear
(e.g. *CLAS-PSY-SmithJane-PromotionTenure2014-15*)

    c. If possible, college should reduce PDF and use the text recognition option before submitting to the university. Do not lock the portfolio or the documents.

    d. **PDF Portfolio** should be uploaded to a secure college-specific file on provost's share drive as directed by the university and notify the provost's office by email that the file has been uploaded.

    e. **Please do not send a hard copy of the file.**

IMPORTANT REMINDERS

50-Page/10 MB Limit
- Candidates may provide up to 50 pages not to exceed 10MB of electronic material highlighting excellence in teaching, research, and/or service.
- The 50-page/10MB limit includes materials provided by the candidate in both the **Teaching Evidence** and **Supporting Materials** sections.
- The 50-page/10MB limit does not include:
  - Confirmation of Teaching Evidence form
  - Summary of Student Evaluation of Instruction
  - Academic unit-directed peer visit reports, if required by the unit/college bylaws
  - Confirmation of Supporting Materials form

Sponsored Activity Report
- A Faculty Sponsored Activity Report shall be included in the case file for all promotion and/or tenure case files. Prior to initial internal review, the unit secures from the dean's office a Sponsored Activity Report from OKED Research Analytics.
- Both the summary and detailed reports pages should be included and combined into one PDF, with bookmarks for Summary, Proposals, Awards and Expenditures.
  - If there is no data in the report ($0 in all categories), you may print the summary page only and bookmarks are not needed.
  - If there is no expectation of external funding, this should be noted on the summary page of the report.
- Units are strongly encouraged to review the Sponsored Activity Report with candidate prior to unit personnel committee review of case materials.
- No changes should be made to the report. A candidate can include more information in the curriculum vitae, personal statement, or supporting materials. If candidate wants to include additional information regarding the data on the Sponsored Activity Report, note on the Sponsored Activity Report that additional information is included in the Supporting Materials or Addendum section of the case file.
- The report should reflect activity from 2000 or time of hire for each fiscal year.

External Review
- External letters of evaluation are solicited on a confidential basis. Neither the names of the reviewers nor the contents of the letters are to be shared with the applicant for tenure or promotion.
- Solicitation letters to external reviewers should include a statement which describes who will have access to the letters of review and the extent to which confidentiality can be assured.
- All original external evaluation letters received must be included with the file. If possible, academic unit chairs/directors and deans should explain any troublesome or confusing statement made by an external reviewer in their internal evaluation letter.
- Typically there should be a minimum of five external evaluators who are professors in highly respected colleges/universities (e.g., peer or aspirational peer institutions).

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Internal Review

- Each level of review should provide a substantive evaluation of the case and directly address questions arising at earlier levels of review. Internal letters SHOULD NOT repeat case details that have already been addressed. Rather, evaluate the case, correct misstatements, substantiate or challenge claims, and provide additional information. Be scrupulous about providing evidence and documentation for important assertions about the case, and be sure to contextualize these assertions (acceptance rates in journals, significance of specific awards in your field, etc.).
- Each level of review should make an independent recommendation that is informed by recommendations from previous levels of review.
- All committee letters must list the names of all committee members. If a committee member does not participate, either due to absence or recusal or is ineligible to vote, it should be noted in lieu of a signature and included in the summary of the vote. The best practice is to explicitly state the vote such as "The vote for promotion of CANDIDATE to RANK with tenure (if applicable) is: # recommend and # not recommend, with # abstaining, # recused without presence and # absent."
    - Recommend: In favor of the personnel action under consideration
    - Not Recommend: Not in favor of the personnel action under consideration
    - Abstain: Was present for the discussion, but did not vote because insufficient evidence was provided to make a decision. (Abstentions should be rare.)
    - Recused without presence: Was not present for the discussion and did not vote because of a possible conflict of interest, personal relationship, or because the committee member had voted on the case in a prior level of review. If a committee member is ineligible to vote because they are not at the rank being considered, they are considered recused.
    - Absent: Was not present for the discussion and did not vote
- Internal letters should explicitly address the following:
    - Detailed evaluation of the candidate's scholarly/creative activities including assessment of the quality and impact of the work.
    - Evaluation of the volume of scholarly activity and expected future contributions.
    - Unit/department expectations and disciplinary culture regarding (co-) authorship, authorship order, and grant activities.
    - Clear specifications of the candidate's contributions to collaborative projects (including external funding).
    - Comparative analysis of the candidate's standing in the field, relative to national peers.
    - Analysis of the candidate's scholarly/creative activities with respect to the unit's and college's missions.
    - Analysis of the candidate's teaching effectiveness.
    - Analysis of the quality of the candidate's service contributions.
    - If the committee vote is not unanimous, explicitly state the minority view in a separate section of the letter. Contextualize the vote in terms of the unit bylaws.

Personnel Committee

- All unit, college and university committees meeting to review tenure and/or promotion files must inform the chair/director or dean (as appropriate) if there are major faults or omissions in the material or if significant questions or possible misunderstandings arise. The dean may approve inclusion of additional material in order to address the concerns raised. If additional material is approved for inclusion in the case, that material would go into the addendum (see Late-add Materials).
- A plurality of the committee should be present and voting on each case.

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Late-add Materials

- Candidates <u>seeking tenure in their mandatory review year</u> must have their file complete by the deadline established by the college for submission to begin the review process. Any additional, revised or updated materials received after process has begun is included as an addendum.
    - For materials sent to the external reviewers, the process has begun after the first response from an external reviewer has been received.
    - For materials that are not sent to the external reviewers, the process has begun after the file is shared with the first level of internal review.
    - If the information is received after the first level of internal review, then the materials are forwarded to each previous internal level of review, in order of initial review. A brief statement should be written at each review level stating whether or not the new material would change their earlier recommendation in any way. The statement should be included after the original internal letter by that level of review. The deadline to submit additional materials, including the statement by each prior level of review, to the dean for the case is determined by the college, but cannot be later than November 30th. Any additional materials after that time require the dean or university librarian to seek approval from the provost's office for submission.
- Candidates for <u>promotion only</u>, or candidates <u>seeking tenure before their mandatory review year</u>, must have their file complete at the time of initial submission (which is when the materials are sent to external reviewers). Each college determines that deadline, typically by June 1. There will be no additional materials accepted for candidates seeking promotion to full professor or candidates seeking tenure before their mandatory review year, as they should have their case intact prior to making an application. If a significant new achievement occurs, the dean can discuss the possibility of those materials being added with the provost's office.