



**FREQUENTLY ASKED QUESTIONS ABOUT
PROMOTION AND TENURE
2019-2020**

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CONFIDENTIALITY

1. *What is confidentiality in relation to the promotion and tenure process?*

Confidentiality of the promotion and tenure process is to be respected forever, not just during that particular year of review. Members of promotion and tenure committees participate with the understanding that all matters related to their deliberations remain confidential. In addition, faculty candidates under review are discouraged from approaching committee members at any time concerning the disposition of their review and should understand that inquires of this type are deemed entirely inappropriate.

It is expected that both the candidates and the committees will adhere to the confidentiality of the promotion and tenure process. (Pages 2-3, I.E.)

THE DOSSIER

2. *As Colleges are in difference phases of implementation of Activity Insight by Digital Measures to store faculty data, including information used to generate the dossier, how will the use of Activity Insight impact the dossier and review process?*

There is no difference as producing a dossier via the functionality of Activity Insight as it is merely a tool for generating the dossier. While the format may look a bit different when producing a document through this platform, the output is compliant with expectations contained in the traditional dividers as well as the Administrative Guidelines.

3. *Who is responsible for the preparation of the dossier?*

That responsibility is assigned to the department head (or director of academic affairs or division head), but the faculty member must cooperate by assembling whatever materials are in his or her possession by the time line given by the department head and insuring that the parts of the vita that are used in each section of the dossier are up-to-date and accurate before they are reviewed by the department head. (Pages 6-7, III.B; page 11, III.E.1)

4. *Besides letters from external reviewers, can there be material included in the dossier that is not made available to the candidate for review when he or she signs the signature statement?*

Only the material identified in the *Administrative Guidelines* on page 8, III.C.2.1. (external letters of assessment), is listed as confidential and excluded from the candidate's review or inspection. Before the dossier goes to the committee, the candidate signs a statement that he or she has reviewed all materials in the dossier, with the exception of that section. If material is added to the dossier afterwards, excluding the committee and administrative letters, the candidate should be so informed and be able to review it. (Page 8, III.C.2.m.; pages 11-12, III.F.; page 51, Appendix F.)

5. *Can there be internal letters, outside of the required committee and administrative letters, added to the dossier, and can these be confidential?*

If the unit feels that important information can be added to the dossier by seeking an occasional letter internal to the unit, the entire letter (not a summary or selective sections from it) should be included in the dossier, in the section which it addresses most significantly, and it should therefore be reviewed by the candidate with the rest of the contents of the dossier preceding section I. (Page 8, III.C.2.1.; page 9, III.C.9)

6. *If candidates disagree with statements by peer or internal reviewers, may they ask that they be removed or write a rebuttal?*

If statements are factually inaccurate, candidates should discuss their concerns with the department head who should do what is possible to correct factual errors. However, if the disagreement is with the evaluation itself, there should be no change, and no rebuttal. Candidates sign they have reviewed the dossier, not that they agree with any assessments made in it. If they feel that something about their intentions or methodology needs to be clarified, they may address that in their narrative statement. (Page 7, III.C.2.e.)

7. *Can information be added to the dossier after the department committee has reviewed it, and if so, must the committee meet again to review the dossier and write a new letter?*

It is not appropriate to add information to the dossier after it has been reviewed if that information was available at the time the dossier was assembled and reviewed, unless a significant error had been made. However, until February 15, if there are new achievements that might have an impact on the record—a judgment will need to be made by the appropriate administrator—then that information must be sent back to all who have already acted on the dossier. If the new information has no impact on the recommendation, then that is all that need be indicated. (Pages 11-12, III.F.)

8. *Can a dossier be withdrawn after it has been sent forward for review?*

Once a dossier has been completed and the candidate has signed that he or she has reviewed it, and the peer review committee begins its review, the formal process has begun. However, if it is a promotion review only, and if the peer review committee does not recommend promotion and the department head agrees, the head should discuss with the candidate the advisability of withdrawing the dossier from further consultation. (Page 19, V.D.)

9. *Section II.D says that “It is expected that units encourage and support collaborative and interdisciplinary research and that units will develop methods to assess these activities.” How are such measures to be presented in the dossier?*

The unit should address what potential measures could or should be used in its criteria statement/guidelines. If, for example, publications in the major journals in the field are an indication of quality, then those journals should be listed in the guidelines. In the dossier itself, those achievements should be itemized in section II.D. If, for example, citation indices are being used, the results should be presented in objective form in this section. (Page 6, II.D.)

10. *Are there other places where unit-specific criteria might result in a listing that does not appear in the bullets on the dividers? For example, there seems to be no place listed for conference proceedings, which have a particular value in certain disciplines. Might such a category be added as an additional bullet by a unit?*

The simple answer is yes, if done selectively and with care, and if the new bullet is put in the most appropriate place in the dossier. In the example above, the University assumption is that an article that appeared in conference proceedings would be listed as a refereed or non-refereed article, depending on

where it is most appropriate, in the already existing lists, but if a unit feels that it would be best to separate conference proceedings out as a separate category, or as a sub-category, it should feel free to do that. (Similarly, a unit might want to separate out what it considers to be notes, rather than articles, into a separate listing or subcategory.) (Page 6, II.D.; pages 8-9, III.C.7.)

11. *Can peer review letters be written by academic administrators?*

This is acceptable according to our *Guidelines* and is most often seen in teaching evaluations. (Page 44, “The Scholarship of Teaching and Learning,” Appendix F)

12. *Do refereed publications need to be verified?*

Regardless of the outlet for articles published (electronically or print), the assumption is that the status of the category used for the listing (refereed status, editorial board, etc.) are authenticated and verified before including in the listing. Articles posted electronically by the individual faculty member without a formal review are not to be listed in the dossier. (Pages 8-9, III.C.7)

13. *What happens when a tenure-eligible faculty member in their tenure-review year fails to submit a dossier?*

If a tenure-eligible faculty member in his or her tenure-review year does not submit a dossier, withdraws a dossier, or otherwise fails to comply with the procedural requirements of AC23, the faculty member will have voluntarily resigned from the tenure-eligible appointment and be terminated on June 30 of the current academic year. Tenure-eligible faculty members who submit a letter of resignation from a tenure-track position indicating intent to resign effective June 30 of the current academic year are eligible for consideration for a non-tenure-line faculty appointment at Penn State, if one is available. The resignation letter must be submitted prior to the deadline for submission of the final dossier.

THE RELATIONSHIP BETWEEN TENURE AND PROMOTION

14. *What is the current thinking about the relationship between tenure and promotion?*

While a faculty member could be promoted without being tenured, the presumption is that a faculty member whose achievements and promise make him or her tenurable should also be promoted out of the assistant professor rank. If a committee or administrator would recommend that an assistant professor be tenured but not promoted, the burden would be on them to make the argument for the special circumstance that merits such separation. (Page 10, III.C.12.c.; page 18, C.1; page 21, V.H.3.)

PEER REVIEW COMMITTEES

15. *When is it appropriate for a committee member to abstain from voting on a candidate who is under review for promotion and/or tenure?*

Committee members should abstain only when there is a legitimate conflict of interest, such as a relative being considered for promotion or tenure, or when there may have been an earlier vote on the candidate in the same review year, or if there was significant collaboration with the candidate. (Page 21, V.H.3.e.)

16. *How should a tie vote at a committee level review be treated?*

It is recommended in the *Administrative Guidelines* that in order to avoid tie votes, committees should have an odd number of members. However, on a rare occasion when a tie vote occurs at a committee level of review (most likely due to an abstention), that tie vote is treated as a negative recommendation under both AC-23 and the *Administrative Guidelines*. Therefore, in such circumstance, the committee chair should mark the “Not Recommended” block on the Promotion and Tenure Form. (Page 14, IV.B.2)

17. *Who has responsibility for writing the committee letter, and what should it include?*

The chair of the committee has responsibility for writing the letter with input from the committee. If there is disagreement on the decision reached for a particular candidate, the minority opinion must be included in the committee’s letter. Only one letter is written, and it should contain the committee’s singular overall vote count. The letter should not contain separate vote counts for each of the three evaluative criteria. If there are abstentions, the general reasons for the abstentions might also be included. These same procedures should be followed for second- and fourth-year reviews. (Pages 21-23, V.H.)

18. *Is it appropriate for a faculty member to serve on a peer review committee when that faculty member is also being reviewed for promotion to professor?*

There is nothing in AC-23 or the *Administrative Guidelines* that prohibits this although it is not a practice that we encourage. It is possible to allow the faculty member to serve on the committee and then to step out when his or her case is being considered. However, individual units might have their own guidelines or practices to avoid the potential awkwardness of this situation. (See page 1, I.B., for a discussion of applicability of guidelines and improvements to the effectiveness and efficiency of the review process.)

19. *Should there be separate committees for tenure and promotion at the various levels?*

No, we assume that single committees decide all tenure and promotion cases in a given year at each level, and that both decisions are addressed in a single letter from each committee. The exception would be when additional senior faculty need to be added to the senior faculty on a promotion and tenure committee in order to consider a candidate for promotion to senior rank. Members below the rank to which a faculty member is being recommended should be excluded from deliberations and are ineligible to vote on such promotion cases. (Pages 13-15, IV.)

20. *Are there policy restrictions on committee members serving while on sabbatical leaves?*

Although a faculty member may serve on a peer review committee while on a sabbatical leave, as long as it is still possible to participate fully in the deliberations, the department should respect the purposes of the sabbatical, and there should be no expectation that faculty on sabbatical leave donate their research time for department service of any kind. (See pages 14-15, IV.C. for a discussion of selection and appointment of review committees.)

21. *Are college committees informed of the dean’s recommendations on cases going forward for University-level review?*

The disposition of a candidate’s case is a confidential matter. Therefore, there is no duty for a dean to inform the college committee on whether a case is proceeding to the University-level of review. However, should a confidential consultation occur between the dean and the college committee, the natural flow of dialogue often includes a sense of what the dean’s decision(s) will likely be. (Pages 20-21, V.G.)

22. *What is the thinking on allowing academic administrators, or individuals who report directly to the dean, to serve on peer review committees?*

This is prohibited by our *Guidelines*. The problem is that an individual who reports directly to the administrator (one who does have line responsibility) is that he or she may well bring that administrator's point of view into the committee room. Moreover, his or her presence on the committee might make some committee members feel that they do not have the necessary independence they need to say things and to act in ways that might displease the administrator. (Page 15, IV.E.)

23. ***Should Promotion and Tenure Review Committee Members retain personal faculty notes?***

Committee members should not retain personal faculty notes. The University does not consider the personal faculty notes of committee members to be official University records. These personal notes must be securely destroyed beyond recovery immediately after the committee has reached a decision or concluded the promotion and tenure process.

CRITERIA AND EXPECTATIONS

24. *How are entries in the dossier to be weighted?*

Neither AC-23 nor the *Administrative Guidelines* assign weights to any item in the dossier. It is expected that each administrator and committee will weigh the evidence presented in the dossier, according to its own criteria and expectations, to judge the extent to which it demonstrates excellence in each area. Each subsequent level of review is dependent on the discipline itself, and its guidelines and criteria statements, to indicate the importance of items listed in the dossier, and to explain its judgment in the committee and administrator letters that evaluate the candidate's achievements. (Pages 3-6, II.)

25. *Can collegiality be a factor in tenure reviews?*

If collegiality is to be considered as a factor, it should be according to its impact on the candidate's contributions to one or more of the three cells evaluated in the dossier. For example, a candidate's lack of collegiality, defined as the ability to collaborate and cooperate constructively, can be addressed in the teaching cell when it impinges on his or her ability to work with colleagues in advising students or in preparing them for prerequisites for more advanced courses, or in preparing them for group activities required of the academic discipline; or in the research cell when it impinges on the candidate's ability to work collaboratively with colleagues in developing research or creative activities, or in creating grant proposals or organizing conferences; or in service when it prevents departmental committees or programs from functioning as they should.

At the same time, we need to heed the warning from the 1999 AAUP report, that "invoking collegiality as a separate element can insure homogeneity and threaten academic freedom. Moreover, it can be confused with the expectation that a faculty member exhibit enthusiasm, dedication, a constructive attitude, and a willingness to defer to the judgments of superiors." (*Chronicle for Higher Education*, September 22, 1999)

26. *How are deans (primary and secondary) of a faculty member jointly appointed in two colleges kept informed of the process? (Pages 20-21, V. F.4.)*

The primary dean should copy the secondary dean on all communications.

ASSESSMENT PROCEDURES FOR TEACHING

27. *What is appropriate to include in the dossier in the way of peer reviews of teaching?*

Full peer review reports of teaching should be included in their entirety in the dossier—not just a summary of the evaluation. (Pages 4-5, II.C.)

28. *Who can conduct peer reviews of teaching?*

Unless determined by the unit's governance procedures, peer reviews of teaching are arranged by the department head or the director of academic affairs or the division head, who can ask that they be conducted by any faculty member in the department. (Page 5, II.C.c.)

29. *Are peer reviews of teaching accessible for review by the candidate at the time when the candidate signs that he or she has reviewed the dossier?*

Yes, peer reviews of teaching are accessible for review by the candidate. (Page 8, III.C.2.m.; III.C.3.)

30. *What is appropriate to include in the dossier in the way of student reviews of teaching?*

The overall SRTE scores for instructor and course for each course reviewed must be presented. For provisional faculty, SRTE results from all sections of all courses should be included; courses taught at other institutions or at Penn State during non-tenure-eligible appointments should not be included. In addition, there must be at least one other method (such as summary of student comments) for presenting student evaluations of teaching. (Page 4-5, II.C.1; pages 26-31, Appendix A.)

31. *Where can the candidate address the issue of his or her teaching?*

According to legislation of the University Faculty Senate, the issue may be addressed in the narrative statement, and/or in supplementary material provided, such as a teaching portfolio. (Pages 4-5, II.C.1.b; page 7, III.C.2.e; page 8, III.C.5.)

32. *When a previous promotion occurred five or more years ago, how far back may one go in regard to including teaching and service information?*

Our Guidelines do not specify or mandate a minimum number of years as there is no requirement for time-in-rank to be promoted. Normally, teaching assessments or evaluations and service activities since the last promotion review are included. To provide sufficient evaluations of teaching and service, a faculty member may choose to report information about teaching and service for up to 10 of the most recent consecutive years since the last formal review. If using Digital Measures/Activity Insight, be aware that course and SRTE data may only be available from 2011 and onwards. If a faculty member would like to include course and SRTE data prior to 2011, such data can be entered manually or the faculty member can work with the Faculty Activity Management Services Team (L-AI-Support@lists.psu.edu) to enter the data. When running the University Dossier report in Activity

Insight, please note that Teaching and Service sections will reflect the data entered for the time period selected while the research section will include information that spans the faculty member's entire career. (Page 10, III.C.12.b.) What is appropriate to include in the dossier in the way of student narrative comments?

If including student narrative comments in the dossier, these should be summarized rather than inserting all or a selection of the narrative comments. This summary can be prepared by the department head, division head, director of academic affairs or a department head's administrative or faculty delegate. Sometimes this may be done in consultation with the chair of the department's promotion and tenure committee in order to ensure consistency in presentation. A candidate should not be involved in preparing the summary of student comments. (Page 4, II.C.1.a.1.)

PROVISIONAL REVIEWS (Prior to sixth-year, or ninth-year at the College of Medicine, and early)

33. *Can a candidate be terminated as a result of a second- or fourth-year review, or third- or sixth-year reviews at the College of Medicine, (or special third- or fifth-year review, or special fourth-, seventh- or eighth-year review at the College of Medicine)? Don't we guarantee our candidates a sixth-year review, or ninth-year review at the College of Medicine?*

There is no such guarantee—only that for candidates who are on the tenure track a tenure decision will be made by the end of the sixth-year, or ninth-year at the College of Medicine. However, a decision not to continue a faculty member on the tenure track can be made during an earlier review. (Pages 16-25, V.)

34. *Must second- and fourth-year reviews (and special third- and fifth-year reviews) be reviewed by the college committee? For the College of Medicine third- and sixth-year (and special fourth-, fifth-, seventh- or eighth-year reviews).*

The use of the college committee in second- and fourth-year reviews, (or third- and sixth-year reviews at the College of Medicine) is at the discretion of the dean, but the dean should seek the advice of the college committee before terminating as a result of a provisional review. (Pages 17, V.B.2.)

35. *What is the timing of a decision to terminate in provisional years in regard to the candidate having an additional year of employment?*

Any notice after March 1 of the first year requires the additional year. (Page 23, V.I.3.)

36. *When is it appropriate to call for a special third- or fifth-year review, or at the College of Medicine a fourth-, fifth-, seventh-, or eighth-year review?*

A dean may require a special review when, as a result of the second- or fourth-year (or at the College of Medicine a third- or sixth-year) review, the record is judged to be strong enough to merit continuation but weak enough to suggest that without measurable progress by the following academic year termination from the tenure-track would be an appropriate action. Deans may call for such a review as a result of a recommendation from the department head or the department or college committees, but they need not accept such recommendations and may decide to terminate or continue without such a review. At the same time, there is no requirement that a provisional candidate be given a special third- or fifth-year review before termination, and the call for a special review should not be a substitute for making a negative decision when a candidate has not been making satisfactory progress. Third- and fifth-year reviews, or fourth-, fifth-, seventh-, or eighth-year review at the College of Medicine, for candidates who continue on the tenure-track become part of the permanent dossier that builds towards the final, sixth-year decision or ninth-year at the College of Medicine. (Pages 17, V.B.2.)

CONSULTATION

37. *When do the department head and the dean need to consult with their committees? Can the department head, dean, or the committees redo their letters as a result of this consultation?*

Actually, all reviewing agents, administrators, or committees must consult with the unit that made the prior recommendation if they seek clarification or if they render a contrary recommendation or decision. They must call for that consultation only after they have received the review letters from the previous reviewers, but before they write theirs, and those letters cannot be changed as a result of the consultation. The purpose of the review is to ensure that the current reviewer fully understands the reasons that the previous one used to reach a decision that may be divergent before rendering final judgment, but there is no opportunity for the current reviewer to influence or pressure the previous one into changing the already considered and written recommendation. In addition, for candidates holding joint appointments, prior to writing the evaluative letter, the dean of the primary college must consult with the dean of the secondary college. (Page 20, V.G.3.)

THE UNIVERSITY PROMOTION AND TENURE REVIEW COMMITTEE

38. *Are all sixth-year, or ninth-year at the College of Medicine, and promotion decisions reviewed by the University Promotion and Tenure Review Committee?*

A positive tenure or promotion recommendation from the dean must be reviewed by the University Promotion and Tenure Review Committee, as well as by the Provost and President. A negative decision by the dean is final, unless all other committees and administrators prior to the dean have been positive. (Page 18, V.B.4.g-j.)

EARLY TENURE, TIME TOWARD TENURE, AND IMMEDIATE TENURE

39. *I have heard that bringing faculty members up for early tenure is discouraged. Is it still possible, and if so under what circumstances?*

There is a sense in which it is discouraged, since the normal provisional period is seven years, over which time we have an opportunity to measure candidates' abilities to develop and sustain a tenurable record before investing a multi-million dollar commitment over the rest of their working lives at Penn State. At the same time, we should be willing to recognize special excellence or a circumstance when we see it, and our policies allow for early tenure decisions in those situations. Deans must make requests of the Provost's Office before undertaking early tenure reviews. (Page 53, Appendix H)

40. *If a candidate is reviewed for early tenure and the decision is negative, can that individual be reviewed again in the sixth-year, or ninth-year at the College of Medicine, or earlier? Is the candidate damaged for having had an earlier negative decision?*

The candidate is not penalized in any way and may be reviewed again up through the sixth-year, or ninth-year at the College of Medicine, without jeopardy to his or her case. Earlier external letters should be excluded from subsequent tenure reviews. (Page 53, Appendix H)

41. *If a faculty member had been granted time towards tenure when hired, would he or she then have to pass the “exceptional” criteria before coming up for tenure at what would be early had she not been granted such time?*

A faculty member who had time granted towards tenure upon hiring, presumably because he or she has already spent some time in provisional status in a previous institution, normally should not be coming up for “early tenure” at Penn State, but rather according to a normal timetable with the time granted towards tenure being listed as time earned towards tenure just as if such time were spent at Penn State. (See Policy AC 23, “Promotion and Tenure Regulations,” Provisional or Pre-tenure Period, 5.)

42. *Is it better to grant a faculty member with time on the tenure clock elsewhere time towards tenure or rather have them take no years towards tenure and then bring them up for early tenure?*

That should be decided on a case-by-case basis, but units should not make it policy to refuse time towards tenure so that they have the most flexibility. This is not fair to a candidate who should have a clear sense of what the tenure clock would be, and who should not be in a position of being evaluated by the standard of an exceptionally strong case that early tenure decisions require. Nor is it fair to the unit, which should want to see a tenurable record built in what is close to a normal combined provisional period. Circumstances and the strength of a candidate’s record should dictate how much time is granted towards tenure. (See reference above.)

43. *What then are the expectations for immediate tenure?*

Immediate tenure may be granted to new faculty appointments, almost always when they have a tenured appointment at the institution they are leaving. **The immediate tenure process must begin before the candidate’s start date.** Because we assume that they are being hired because they increase the excellence of the department, and that they are being recruited in a competitive market, we do not ask departments to slow the negotiation process by asking such faculty to develop full Penn State dossiers. They must, however, go through the full Penn State process, with the usual letters from the usual committees and administrators. **Letters that address the candidate’s qualifications for tenure that were written for the search process may be used in lieu of external letters solicited by the department. In addition,** there must be evidence of good teaching before any new faculty member is granted tenure. Presented for review **is** the candidate’s vitae, **four external letters**, and evidence of good teaching, **to** which will be added **in** the review process the normal administrative and committee letters. The formal signatory page and dividers used in the standard promotion and tenure dossiers should not be used for immediate tenure cases. (Related to Administrative Guidelines, pages 54-56, Appendix I)

NOMINATION FOR PROMOTION

44. *Can a candidate nominate himself for a review? If not, what has to happen before a candidate is considered for promotion?*

A candidate can request to be considered for review, but that request does not by itself begin the review process. To begin the process, a candidate must be nominated by an appropriate academic administrator who would be in the review process, or by a peer review committee, in consultation with the department head. (Pages 18-19, V.C.)

EXTERNAL LETTERS

45. *How are external reviewers chosen?*

External reviewers are chosen from a list of possibilities submitted by the candidate and another list compiled by the department head, usually in consultation with senior faculty in the field. It is best if the preponderance of external evaluators not be names that appeared solely on the list compiled by the faculty member. At no point should the candidate be informed of the final list of evaluators who will be asked to contribute letters. (Page 8, III.C.3.; pages 12-13, III.G.; page 49, dossier divider, "External Letters of Assessment," Appendix F)

46. *The Guidelines say, in addition to former mentors and students, significant collaborators should not be external evaluators. What is meant by "significant?"*

Disciplines will have to make that judgment, but clearly external evaluators should not be in the position of evaluating their own work in writing a letter about the quality of the candidate's publications, nor should they be such close collaborators that their objectivity will be questioned by those who read the dossier. (Letters of appreciation of the skill and achievement of a candidate by a collaborator, who might also comment on the particular nature of the candidate's contribution, may be solicited, but such letters would belong in the research section of the dossier, rather than in the section on external evaluations.) Collaborators are not meant to include editors of books or journals in which candidates have published, or co-researchers on a very large project, or one of a number of people who are listed as contributors to a book of conference proceedings. (Page 13, III.G.10.)

47. *Can external letters be requested for provisional reviews prior to the sixth-year, or ninth-year at the College of Medicine, review?*

We advise against this practice. Administrators who go back to fourth-year reviewers for sixth-year, or at the College of Medicine the sixth- and ninth-year, letters might be able to choose referees according to letters that were received previously. In addition, external referees might be confused by being asked to write letters in response to a tenure review after they had already written assessments in the fourth-year, or else they simply might refuse to write again. Departments are expected to make assessments of their provisional faculty on their own in accord with the criteria and guidelines established by the University, colleges, and departments. (See pages 17-18, V.B.1-3., for a discussion of participants in provisional tenure reviews.)

48. *What is the process for logging in external letters, even when a response is not received or in the case of a letter that is non-responsive?*

The log should only include those evaluators who received items detailed in line 11 of the External Letters of Assessment section. Do not include preliminary requests made by telephone or by a brief e-mail in which potential referees are asked if they would be responsive to a formal written request. (Appendix F, Page 49, dossier divider, "External Letters of Assessment," bullet points 1 and 4; page 50, dossier divider, "Log of External Letters,")

49. *Is it appropriate for candidates to contact external reviewers who may be asked by the department head to write a letter of assessment for them?*

It is inappropriate for candidates to initiate any contact with external reviewers concerning their potential roles in the review process. Those units that feel it is a matter of courtesy for potential reviewers to be called in advance of receiving a letter requesting an assessment should make such calls through the dean or department head. Of course, any such preliminary contact with a potential reviewer

should not give any indication of whether a positive or negative evaluation is desired. (Pages 12-13, III.G.)

50. *Is it appropriate for peer review and administrator letters to quote directly from external letters?*

Peer review and administrator letters may excerpt quotes from external letters as long as there is no reference to the referee's institution or other information that would violate the anonymity of the referee. (See page 8, III.C.3. for a discussion of confidentiality of external letters.)

51. *If we cannot get the required minimum of external letters, is it all right to have fewer letters?*

Every effort should be made to receive the minimum of four letters required by the University. If an evaluator who has promised to write a letter fails to deliver one, a substitute should be sought. It is therefore best to give yourself some leeway between when you are asking letters to be sent to you and when they are actually needed. (Page 12, III.G.4.)

52. *Must external references come only from academe?*

If there is a person of stature who is appropriate to write an external evaluation, even if he or she is not in the academy, that is acceptable. That should be the exception, though, and the preponderance of letters should be from people with the appropriate academic rank. (See pages 12-13, III.G. for a discussion of expectations of external evaluators.)

53. *If a candidate had been reviewed two years ago, for example, is one required to solicit new external letters?*

Yes. All letters should be fresh and newly solicited. The assumption is that something has happened in the past two years to require an updated assessment. (Page 12, III.G.1.)

TIMETABLE

54. *What is the appropriate timetable of reviews?*

The University timetable is printed annually in the *Administrative Guidelines*. Departments and colleges may set their own schedules in conjunction with the University timetable. Once a dossier has been reviewed and signed by the candidate, it is considered to be in the sequence for formal review. (Pages 32-33, Appendix B)

55. *When are candidates informed about decisions?*

Deans must send forward to the University Promotion and Tenure Review Committee all dossiers that are still under consideration for positive decisions by March 1, and at that time they should tell candidates whether or not their dossiers have been sent forward. The only recommendation that they need share concerning the dossiers they are sending forward is the one that they themselves are making. Candidates who are reviewed by the University Committee and the Provost and President can expect to receive a letter from the President in mid-May. (Pages 23-24, V.I.2, 3 and 6.)

SUPPLEMENTAL MATERIAL

56. *Are there any limitations of what is to be included in the supplemental file?*

We do not say what should be in the supplemental file, and leave that up to individual units, with the assumption that there should be consistency as to what is allowed from candidate to candidate. Units might want to make some suggestions as to what might be put on file (including any items that they want to mandate, such as copies of publications), and to say what may not be included (such as certain kinds of notes or e-mail messages), with the understanding that the administrator has the right and responsibility to make other decisions on a case-by-case basis concerning whether submitted items are appropriate. (Page 8, III.C.5.)

STAYING OF THE PROVISIONAL TENURE PERIOD

57. *What is appropriate to include in the dossier regarding staying of the provisional tenure period?*

A staying of the provisional tenure period should not, in any way, penalize or adversely affect the faculty member during a tenure review and is intended to ensure equity in the tenure system. The signatory page of the dossier contains an area to indicate, as appropriate, the academic year of any granted staying of the provisional tenure period. This is the only place in the dossier in which this should be referenced. No reference to the reason or rationale for the stay should appear anywhere in the dossier (including on the promotion and tenure form). (Page 25, VI; Page 52, Appendix G.)

58. *Are department promotion and tenure review committees involved in reviewing requests for staying of the provisional tenure period?*

No. The reason or rationale for a stay is often quite personal and should be kept confidential. It would also be a conflict of interest for the department promotion and tenure review committee to have knowledge of the basis of such individual requests. (Page 25, VI; page 52, Appendix G.)

Revised: July 1, 2019