

# PROCEDURES FOR TENURE AND PROMOTION DECISION-MAKING AT THE UNIVERSITY OF IOWA

WITH ADDITIONS SPECIFIC TO  
THE COLLEGE OF LIBERAL ARTS AND SCIENCES  
(February 2010)

Overview of Process .....	1
I. Department-level Procedures .....	8
II. College-level Procedures .....	20
III. University-level Procedures .....	23
Appendices .....	25

## OVERVIEW OF PROCESS

### 1. General Principles

The Procedures for Tenure and Promotion Decision-Making establish a uniform system of procedures to be used in all academic units of the University.

The University has allowed the College of Liberal Arts and Sciences to establish additional procedures governing its tenure and promotion decision-making, to guide its departments on points where the University's guidelines require or permit flexibility or variation.

These are procedures only. For University policies regarding **criteria** for tenure and promotion, refer to section [III.10.2 of the Operations Manual](#). Review the College of Liberal Arts and Sciences [criteria for faculty rank](#). The substantive standards contained therein must be satisfied and are not affected by these procedures.

These Procedures rely upon several principles:

- (1) Decisions granting or denying tenure or promotion should be based on a written record of achievement.
- (2) The content of the record that will be relied upon should be known by the candidate and the decision-makers.
- (3) Except for variation related to the nature of the candidate's academic activity, the content of the record should be the same for all candidates in the same academic unit.
- (4) The governing procedures should be the same for all candidates across the University except where conditions or academic cultures justify variation among colleges or among departments within a college.
- (5) University and college procedures should be applied consistently to all candidates.
- (6) Each faculty member participating in the tenure and promotion decision-making process may do so at only one level of the process: departmental, collegiate, or provostial. Faculty with collegiate or provostial administrative appointments of 50% or greater shall

participate in their administrative office, except in rare and special circumstances at the discretion of the Provost.

### The Promotion Record

The qualifications of a candidate for promotion will be determined on the basis of the Promotion Record.

The items below are a general University-wide list of materials suggested by the office of the Provost. But CLAS departments must use the [Table of Contents](#).

- i. the [Recommendation for Faculty Promotion cover sheet](#);
- ii. the collegiate Dean's letter making a recommendation to the Provost;
- iii. the vote (and discussion summary, if any) of the Collegiate Committee on Faculty Promotion and Tenure;
- iv. the Departmental Executive Officer's letter making a recommendation to the Dean;
- v. the recommendation, vote, and report of the Departmental Consulting Group;
- vi. any letters submitted by the candidate at specified stages of the process to correct errors in the internal peer evaluations of the candidate's teaching, scholarship, and service or in the Departmental Consulting Group report, or to respond to a letter or report of the Departmental Executive Officer, the Dean, or the Collegiate Committee on Faculty Promotion and Tenure;
- vii. the candidate's Curriculum Vitae ([CLAS P&T CV](#)), which is accessible via the Academic & Professional Record (APR) on Self-Service;
- viii. a section on the candidate's teaching, including
  1. the candidate's personal statement on teaching,
  2. documentation of peer evaluation of the candidate's teaching, and
  3. other materials related to the candidate's teaching;
- ix. a section on the candidate's scholarship, including
  1. the candidate's personal statement on scholarship,
  2. letters from external reviewers;
  3. documentation of internal peer evaluation of the candidate's scholarship, and
  4. other materials related to the candidate's scholarship;
- x. a section on the candidate's service, including
  1. the candidate's personal statement on service,
  2. documentation of peer evaluation of the candidate's service, and
  3. other materials related to the candidate's service;
- xi. in reviews for tenure, the following materials from the candidate's third-year probationary review for contract renewal: the DEO's letter, the Dean's letter, and the candidate's response(s) to the DEO's and/or Dean's letter

### Special Cases

If the department does not have at least four faculty members eligible and available to participate in the P&T and DCG, during the Spring semester the DEO consults with the Dean prior to inviting appropriate eligible faculty from outside the department to participate in the promotion and tenure process.

If the DEO is seeking promotion or is ineligible to participate in a promotion or tenure decision, the Dean in consultation with the eligible faculty designates an eligible faculty member to perform the promotion and/or tenure related duties assigned to the DEO.

For reviews of jointly appointed faculty, see [Appendix E](#).

### Timing of Reviews

#### Review of not-yet-tenured faculty

The date of the tenure review is established in the letter of initial appointment (although this deadline may be extended for specific reasons with the approval of the Dean and the Provost). If a candidate wishes to undergo tenure review before the year required, he or she must request the review in a letter to the DEO by April 1 of the calendar year in which the review will be initiated. If a candidate requests an early review for tenure, the DEO must submit the written request and an updated copy of the candidate's CV to the Dean by April 15. In those cases of required review for tenure in which an important aspect of the scholarly record is the publication of a book not yet in print, the dossier must include the completed manuscript and the letter from the publisher making the final commitment to publish the book, with a copy of the final contract. In cases in which a candidate seeks early review for tenure and in which an important aspect of the scholarly record is the publication of a book, the candidate is normally ready to be considered for promotion only if the book is in print.

#### Review for promotion to professor

A tenured faculty member who wishes to be reviewed for promotion to full professor must also request the review by April 1 of the calendar year in which the review will be initiated. The College deems it inappropriate for a tenured faculty who has been denied promotion to full professor to be reviewed again until the promotion record has changed substantially. Therefore, a faculty member must ordinarily wait at least a year after being denied promotion to full professor before requesting another review. In those cases of review for promotion to professor in which an important aspect of the scholarly record is the publication of a book, the candidate is normally ready to be considered for promotion only if the book is in print. The dossier should also include any published reviews of the book (see [I.B.3.d.iii and vii](#)).

#### Notification to the Dean's Office

By April 15, the DEO forwards to the Executive Associate Dean a list of all departmental faculty undergoing review for promotion and/or tenure in the upcoming academic year. The DEO includes the CV of a faculty member requesting an early review for tenure or requesting review for promotion to full professor.

## Other Considerations

A candidate has the right to withdraw his or her dossier from further consideration at any point before the Provost has made his/her final decision regarding tenure and/or promotion. In the case of a mandatory tenure review, withdrawal of the dossier must be accompanied by a letter of resignation effective no later than one year past the end of the current appointment. If a candidate withdraws his or her dossier from further consideration, the original dossier, including appendices and any supplemental materials added by the candidate, shall be returned to the candidate. All other materials in the Promotion Record at the time of withdrawal shall be returned to the candidate's department, which shall retain them following the normal departmental or collegiate schedule for retention of promotion and tenure materials. The candidate shall not have access to these materials.

A college, or department with the concurrence of its college, may apply in individual cases to the Provost for an exemption from any of these Procedures for a legitimate and valid reason. The college or department has the burden of convincing the Provost that the exemption adds value, fairness and weight to the evaluation.

These Procedures apply to tenure-track faculty only.

## 2. Definitions

The term "promotion" refers to both promotion and tenure, except where these Procedures clearly distinguish between them.

The term "scholarship" refers to creative work as well as traditional research and publication ([see section I.B.\(3\)\(d\)](#) of these Procedures).

A "candidate" is any faculty member for whom it is the year of required tenure review or any faculty member who has indicated his or her interest in being reviewed for tenure and/or promotion in a written request sent to the DEO by April 1 of the calendar year in which the review is to take place.

The "dossier" is the set of primary materials assembled by the candidate as described in section [I.B.\(3\)](#). The dossier contains appendices all or part of which may be transmitted with the dossier to successive participants in the process as described in section [I.B.\(4\)](#).

The "Promotion Record" is the dossier plus all of the materials that are added to it and transmitted to successive participants in the evaluation process.

The "Departmental Consulting Group" (DCG) consists of all tenured members of the candidate's department at higher academic ranks (and, for tenure decisions, tenured faculty members of the same rank), excluding the collegiate Dean, the Provost and other Provost-level faculty administrators, faculty with unsalaried joint appointments (0%) in the department, faculty with collegiate or provostial appointments of 50% or greater, and any faculty member with a disqualifying conflict of interest. If there are fewer than four faculty members in a department who are qualified to serve on the DCG, the Department must identify, in accordance with the College's written policy governing promotion decision-making, qualified University of Iowa faculty members from outside the department to serve on the DCG (for a minimum of four faculty members in total).

The "Collegiate Consulting Group" (CCG) consists of faculty selected according to each college's written Procedures governing promotion decision making. These Procedures

establish guidelines for the membership of the Group and how it will function within the boundaries of these Procedures in [section II.B](#). In the College of Liberal Arts and Sciences, this group is called the Collegiate Committee on Faculty Promotion and Tenure, and is appointed by the Dean pursuant to [section 27 of the CLAS Manual of Procedure](#).

The term "Departmental Executive Officer" or "DEO" throughout these Procedures refers to the person or entity who has been expressly designated by the College to perform one or more of the functions assigned by these Procedures to the DEO.

"Participate" means to have input into a promotion decision, including but not limited to such activities as preparing a written report or review of the candidate's work, participating in a formal discussion of the candidate's qualifications, voting on a recommendation for or against promotion, or providing consultation except as provided for elsewhere in these procedures.

### 3. Liberal Arts & Sciences Timeline for Promotion and Tenure Process

Departments are expected to make all reasonable efforts to meet these deadlines, though the College and University recognize that minor variations may occur for a range of reasons. (Note: [Departments may establish earlier deadlines.](#))

**By April 1** — A candidate for voluntary review requests review, in a letter to the DEO.

**By April 15** — DEO forwards to the Dean's Office names of all faculty undergoing promotion and tenure review in next academic year, with a copy of the CV for those requesting voluntary review.

**By April 15** — DEO informs candidates for promotion and/or tenure review of the materials to be submitted for the promotion dossier and the deadline for submission.

**By May 1** — DEO begins process of selecting external evaluators and soliciting external evaluations of scholarly/creative record. After consultation with Departmental P&T Committee and candidate, the DEO sends a list of proposed evaluators to the Dean, with a one-paragraph biosketch of each, **before** inviting any of these individuals to submit an evaluation. (Note: DEOs should use the [template](#) to submit names for the Dean's approval. The Dean asks that the list contain twice as many names as the department is required to use.)

**By September 1** — Candidate submits promotion dossier to DEO.

**By September 30** — DEO concludes process of soliciting external evaluations.

**By first working day in November** — The Departmental Promotion and Tenure Committee submits to the DEO its reports evaluating the candidate's teaching, scholarship, and service.

Within 5 working days of the submission of the reports, the DEO places the reports in the Promotion Record and transmits a copy of each to the candidate.

Within 5 working days of the DEO's transmittal of the reports to the candidate, the candidate may write to correct factual errors in the committee's reports.

**In November** — The Departmental Consulting Group members access the Promotion Record, meet to discuss the Record and vote on the decision, and are consulted on the summary report of the discussion and vote. The candidate receives a copy of the meeting summary and has five days to respond to factual errors in the DCG meeting summary.

**Early December**—(specific deadlines are established annually for tenure decisions and for promotion of tenured faculty and announced in April so that departments can plan the schedule of review meetings) — The DEO submits the Promotion Record to the Dean's Office, with the record of the Departmental Consulting Group discussion and vote and with the DEO's letter of recommendation.

If the DEO's recommendation is negative, the candidate receives a copy of the DEO letter. The candidate then has three working days to request redacted documents from the Promotion Record and, within five working days of receiving the materials, may submit a written response and additional information to the Dean.

**In early to mid-February** — The Dean submits the Promotion Record to the Provost, including the vote and recommendation of the Collegiate Committee on Faculty Promotion and Tenure and the Dean's letter of recommendation for or against tenure.

If the Collegiate Committee's recommendation is negative and contrary to that of the DCG or DEO, the candidate receives a summary of the Collegiate Committee's discussion. The candidate has three working days to request redacted documents from the Promotion Record and, within five working days, may submit a written response before the Dean's recommendation is submitted to the Provost.

If the Dean's recommendation is negative, the candidate receives a copy of the Dean's letter. The candidate then has three working days to request redacted documents from the Promotion Record and, within five working days, may submit a written response to the Provost.

**In March** — The Provost notifies the Dean of decisions. The Dean notifies candidates and DEOs. If the Provost's decision is negative, the candidate is informed of appeal procedures.

#### **4. Basis for Evaluation: The Promotion Record**

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- viii. a section on the candidate's teaching, including
  - a. the candidate's personal statement on teaching,
  - b. documentation of peer evaluation of the candidate's teaching, and
  - c. other materials related to the candidate's teaching;
- ix. a section on the candidate's scholarship, including
  - a. the candidate's personal statement on scholarship,
  - b. letters from external reviewers,
  - c. documentation of internal peer evaluation of the candidate's scholarship, and
  - d. other materials related to the candidate's scholarship;
- x. a section on the candidate's service, including
  - a. the candidate's personal statement on service,
  - b. documentation of peer evaluation of the candidate's service, and
  - c. other materials related to the candidate's service.



- xii. in reviews for tenure, the following materials from the candidates' third-year probationary review for contract renewal: the DEO's letter, the Dean's letter, and the candidate's response(s) to the DEO's and/or Dean's letter;

## 5. **Special Cases under These Procedures in Liberal Arts and Sciences**

***If the department does not have at least four faculty members eligible and available to vote on the promotion and/or tenure decision,*** the DEO in consultation with the Dean invites appropriate eligible faculty from outside the department to deliberate and vote with the department on the decision.

***If the DEO is seeking promotion or is ineligible to participate in a promotion or tenure decision,*** the Dean in consultation with the eligible faculty designates an eligible faculty member to perform the duties assigned to the DEO during the review.

***For reviews of jointly appointed faculty,*** see [Appendix E](#).

## 6. **Timing of Reviews in the College of Liberal Arts and Sciences**

**Review of not-yet-tenured faculty.** The date of the tenure review is established in the letter of initial appointment (although this deadline may be extended for specific reasons with the approval of the Dean and the Provost). If a candidate wishes to undergo tenure review before the year required, he or she must request the review in a letter to the DEO by April 1 of the calendar year in which the review will be initiated. If a candidate requests an early review for tenure, the DEO must submit the written request and an updated copy of the candidate's CV to the Dean by April 15.

In those cases of required review for tenure in which an important aspect of the scholarly record is the publication of a book not yet in print, the dossier must include the completed manuscript and the letter from the publisher making the final commitment to publish the book, with a copy of the final contract.

In cases in which a candidate seeks early review for tenure and in which an important aspect of the scholarly record is the publication of a book, the candidate is normally ready to be considered for promotion only if the book is in print.

**Review for promotion to professor.** A tenured faculty member who wishes to be reviewed for promotion to full professor must also request the review by April 1 of the calendar year in which the review will be initiated. The College deems it inappropriate for a tenured faculty who has been denied promotion to full professor to be reviewed again until the promotion record has changed substantially. Therefore, a faculty member must ordinarily wait at least a year after being denied promotion to full professor before requesting another review.

In those cases of review for promotion to professor in which an important aspect of the scholarly record is the publication of a book, the candidate is normally ready to be considered for promotion only if the book is in print. The dossier should also include any published reviews of the book (see [I.B.3.c.iii and vii](#)).



**Notification to the Dean's Office:** By April 15, the DEO forwards to the Executive Associate Dean a list of all departmental faculty undergoing review for promotion and/or tenure in the upcoming academic year. The DEO includes the CV of a faculty member requesting an early review for tenure or requesting review for promotion to full professor.

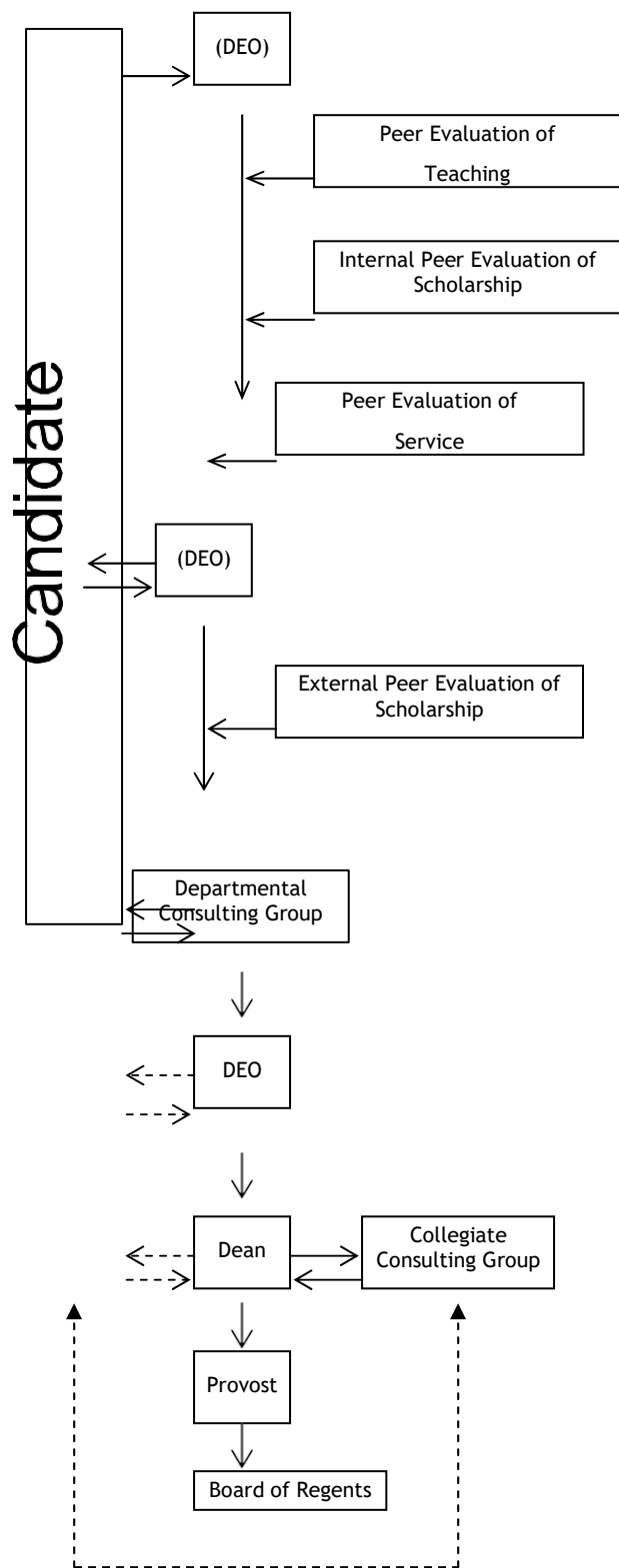
## **7. Other Considerations**

A candidate has the right to withdraw his or her dossier from further consideration at any point before the Provost has made his/her final decision regarding tenure and/or promotion. In the case of a mandatory tenure review, withdrawal of the dossier must be accompanied by a letter of resignation effective no later than one year past the end of the current appointment. If a candidate withdraws his or her dossier from further consideration, the original dossier, including appendices and any supplemental materials added by the candidate, shall be returned to the candidate. All other materials in the Promotion Record at the time of withdrawal shall be returned to the candidate's department, which shall retain them following the normal departmental or collegiate schedule for retention of promotion and tenure materials. The candidate shall not have access to these materials.

A college, or department with the concurrence of its college, may apply in individual cases to the Provost for an exemption from any of these Procedures for a legitimate and valid reason. The college or department has the burden of convincing the Provost that the exemption adds value, fairness and weight to the evaluation.

These Procedures apply to tenure-track faculty only.

### OVERVIEW OF PROMOTION & TENURE DECISION-MAKING PROCEDURES



- Sequential Development of Promotion Record through Decision-Makers:**
1. Candidate and DEO compile dossier
  2. Peer evaluation of teaching
  3. Internal peer evaluation of scholarship
  4. Peer evaluation of service
  5. Candidate's opportunity to respond
  6. External peer evaluation of scholarship
  7. Departmental Consulting Group's vote and report
  8. Candidate's opportunity to respond
  9. DEO's letter to Dean
  10. Candidate's opportunity to respond, if DEO's recommendation is negative
  11. Collegiate Consulting Group's vote and summary report, if any\*
  12. Candidate's opportunity to respond\*
  13. Dean's letter to Provost
  14. Candidate's opportunity to respond, if Dean's recommendation is negative
  15. Provost's recommendation to the Board of Regents
- \*If recommendation is negative and contrary to DEO or DCG recommendation

## I. DEPARTMENT-LEVEL PROCEDURES

### A. Informing the Candidate of Materials to Be Submitted

The Departmental Executive Officer must send candidates written notification at several points in time of the material that the candidate must compile and submit for the promotion dossier. The notice must also inform the candidate that the promotion dossier is due by September 1 in the academic year of the tenure and promotion decision. These times of notification by the DEO are

- in the year of appointment to a tenure-track position,
- in the year of contract renewal, and
- by April 15 of the calendar year in which the tenure and/or promotion decision will be made.

### B. The Candidate's Dossier

- (1) **September 1 submission deadline.** It is the candidate's responsibility, with the advice of the Departmental Executive Officer, to compile and submit substantive material for inclusion in the promotion dossier (the core of the Promotion Record) by September 1 of the academic year in which the promotion decision is to be made, or by an [earlier date established by the department](#).
- (2) **DEO responsibilities.** It is the responsibility of the Departmental Executive Officer to advise the candidate in compiling material for the dossier, to complete the compilation of the dossier (and subsequently to complete compilation of the Promotion Record by adding materials to it throughout the departmental decision-making process), and to ensure to the greatest extent possible that the Promotion Record serves as a fair and accurate evaluation of the candidate's strengths and weaknesses and not purely as a record of advocacy for the candidate. The responsibility to advise the candidate in compiling the dossier material is not limited to the immediate period of the tenure and promotion review, but rather is an ongoing responsibility that begins when the faculty member is appointed to the department.
- (3) **Materials to be included in the candidate's dossier.**

By September 1, or an earlier date specified in the departmental procedures, the candidate submits to the DEO the materials described below. If the department requires additional documents, these are described on the [College's website](#).

The dossier will contain the following, in the order listed—except that information on the CLAS P&T CV need not be repeated elsewhere:

- a. the "Recommendation for Faculty Promotion" **cover sheet**, with the section that is to be filled out by the candidate completed (see [Appendix B](#));
- b. **[on the CLAS P&T CV]** a record of the candidate's **educational and professional history**, consisting of the following sections in the order listed:
  - i. a list of institutions of higher education attended, preferably from most to least recent, indicating for each one the name of the institution, dates attended, field of study, degree obtained, and date the degree was awarded;

- ii. a list of professional and academic positions held, preferably from most to least recent, indicating for each one the title of the position, dates of service, and the location or institution at which the position was held; and
  - iii. a list of honors, awards, recognitions, and outstanding achievements, preferably from most to least recent.
- c. a record of the candidate's **teaching** at The University of Iowa, including:
- i. the candidate's personal statement on teaching (consisting of a summary and explanation—normally not to exceed 3 pages—of the candidate's accomplishments and future plans concerning teaching; comments on these accomplishments and plans; and comments on other items included in the dossier related to teaching);
  - ii. a list of the candidate's teaching assignments semester-by-semester, preferably from most to least recent. See the College's [Model Chart for Summarizing Teaching Record](#);
  - iii. **[on the CLAS P&T CV]** a list of graduate students, fellows, or other post- doctoral students supervised, including each student's name, degree objective, and first post-graduate position;
  - iv. a list of other contributions to instructional programs;
  - v. copies of course materials, including syllabi, instructional Web pages, computer lab materials, etc. (see [I.B.4, paragraph 2](#));
  - vi. and, as an appendix to the dossier, copies of teaching evaluations by students for each course taught (the candidate will include all student teaching evaluations in her or his custody) (see [I.B.4, paragraph 2](#));
- d. a record of the candidate's **scholarship**, including:
- i. the candidate's personal statement on scholarship (consisting of a summary and explanation—normally not to exceed 3 pages—of the candidate's accomplishments and future plans concerning scholarly and artistic production; comments on these accomplishments and plans; and comments on other items included in the dossier related to scholarly or creative work);
  - ii. **[on the CLAS P&T CV]** a list, preferably from most to least recent, of the candidate's publications, exhibitions, or productions (with, for each multi-authored work or coherent series of multi-authored works, a brief statement of the candidate's contribution to the work or series of works and, as an appendix to the dossier, verification of exhibits, installations, and productions in the form of published notices, programs, or reviews [see also item iii, below]);
  - iii. **[on the CLAS P&T CV]** a list and (as an appendix to the dossier) copies of all published reviews of the candidate's scholarly or creative work of which the candidate, the departmental promotion and tenure committee, and/or the DEO has knowledge (if the number of these reviews is very large, see section I.B.4, which allows the candidate, in consultation with the DEO, to select appropriate representative reviews that will be forwarded with the dossier);
  - iv. **[on the CLAS P&T CV]** a list of attained support including grants and contracts received by the candidate;

- v. for candidates for tenure who have received a flexible-load assignment, the request for the assignment, outlining the work to be conducted during the assignment, and the follow-up report on work accomplished during the assignment;
  - vi. **[on the CLAS P&T CV]** a list of inventions and patents;
  - vii. **[on the CLAS P&T CV]** a list of invited lectures, conference presentations, etc.;
  - viii. **[on the CLAS P&T CV]** a list of pending decisions that might affect the promotion deliberations, including grant proposals, book contracts, and other publishing decisions anticipated in the near future;
  - ix. for each book manuscript in the dossier, a copy of the College's checklist (see [Appendix E](#)), to show where the book is in the production process;
  - x. for books that are not yet in print, the letter from the publisher making the final commitment to publish the book, with a copy of the final contract (see also [Timing of Reviews](#));
  - xi. and, as an appendix to the dossier, copies of the candidate's published work (and work that is in print or has been accepted for publication), indicating where each work has been or will be published;
- e. a record of the candidate's **service** to the department, college, university, profession, community, and State of Iowa, including:
    - i. the candidate's personal statement on service (consisting of a summary and explanation—normally not to exceed two pages—of the candidate's accomplishments and future plans concerning service; comments on these accomplishments and plans; and comments on other items included in the dossier related to service); and
    - ii. **[on the CLAS P&T CV]** a categorized list, preferably from most to least recent, of offices held in professional organizations; editorships of journals or other scholarly publications; service on review panels; service on departmental, collegiate, or university committees; departmental, collegiate, or university service positions; relevant community involvement and service to the State of Iowa; and other contributions;
  - f. in reviews for tenure, the following materials from the candidates' third-year probationary review for contract renewal: the DEO's letter, the Dean's letter, and the candidate's response(s) to the DEO's and/or Dean's letter;
  - g. within the appropriate section(s) of the dossier as listed above, **other information** relevant to the candidate's record in teaching, scholarship, or service deemed important in the candidate's judgment or required by the department's written policy governing promotion decision-making.
- (4) **Selecting representative materials.** Where the volume of material of a particular kind which is required to be included in the dossier is large and potentially unmanageable, a candidate, in consultation with the Departmental Executive Officer, may select and identify representative portions of the required material for special attention. Only the material selected as representative will become part of the Promotion Record and be transmitted to successive participants in the promotion decision-making process.

Required materials segregated from the representative material will be available for review and located in a readily accessible location under the Departmental Executive Officer's custody. If any participant in the promotion decision-making

process relies upon initially segregated material in preparing a written evaluation of the candidate's qualifications, that material should be added to the Promotion Record; the fact of that addition should be noted in the written evaluation, and the candidate should be notified in writing of the addition at the time it is made.

- (5) **Work in progress.** The candidate's work in progress not completed by the specified date but anticipated to be completed in the fall, early enough for full and deliberate evaluation, as determined by the Departmental Executive Officer, may be identified at the time the dossier is submitted and added to the dossier if and when completed as anticipated.
- (6) **Late additions to the dossier.** Other materials which could not have been available by the specified date but which are completed early enough for full and deliberate evaluation may be added to the promotion dossier by the candidate through the Departmental Executive Officer. Materials added to the original dossier or materials in the original dossier that are amended, should be labeled as such, including the date when added or amended and with any amendments clearly marked.

### C. **The Departmental Promotion and Tenure Committee**

It is the candidate's responsibility to cooperate in obtaining peer evaluations of the candidate's teaching, scholarship, and service, as described in sections D, E, and F of this document.

In the College of Liberal Arts and Sciences, the DEO appoints a departmental promotion and tenure committee for each candidate, consisting of at least four faculty members eligible to vote on the decision, and appoints a chair for each committee from among its members. This committee performs the peer evaluation of the candidate's teaching, scholarship, and service, following the procedures described below (I. D, E, and F). The DEO may not be a member of the promotion and tenure committee. (**Note:** Some departments have established [additional specifications](#) for the formation or composition of this committee.)

The peer evaluations of the candidate's teaching, scholarship, and service will be contained in one or more reports that analyze the relevant materials in the Promotion Record as detailed in the respective sections that follow, and shall be signed by each peer evaluator. These reports are intended to go beyond a mere *description* of what the candidate has included in the dossier and provide a thorough *evaluation* of the quantity and quality of the candidate's teaching, scholarship, and service from a departmental perspective.

By the first working day of November, the promotion and tenure committee submits their evaluations of the candidate's teaching, scholarship, and service, in light of the University's, the College's, and the department's criteria for tenure and/or promotion and the norms of the discipline.

Within 5 working days of the submission of these evaluations, the DEO places the reports in the Promotion Record and transmits a copy of the report to the candidate, who may submit a letter within another 5 working days correcting any factual errors in the evaluations.

## D. Evaluation of the Candidate's Teaching

It is the candidate's responsibility to cooperate in obtaining **internal** peer evaluation of the candidate's teaching by participating in the following process:

- (1) In the College of Liberal Arts and Sciences, the departmental promotion and tenure committee (see part I.C) performs the peer evaluation of teaching according to the procedures described below. The evaluation must incorporate various types of evidence (including at a minimum review of syllabi and other teaching materials from courses at a variety of levels of instruction, classroom observation, confidential evaluations solicited from faculty members with whom the candidate has team-taught courses and who are at or above the rank to which the candidate seeks promotion and/or tenure, and evidence of successful supervision of graduate students).

The peer evaluation of teaching draws on materials and raw data considered in faculty reviews leading up to the review for promotion and/or tenure. The departmental promotion and tenure committee may use only the materials and data considered in those earlier reviews, not the review report itself. For example, the peer evaluation of teaching in a review for tenure will draw on the student evaluations of teaching from each class and the record of each classroom observation conducted for annual reviews since the original appointment.

- (2) At a minimum, one class session must be observed as part of every peer evaluation of teaching in the College of Liberal Arts and Sciences—that is, in each probationary review, each associate professor review, and each review for promotion and/or tenure. Departmental procedures may require more frequent observations of classroom teaching. In each peer evaluation, a written report of the classroom observation must be submitted. If the [Peer Teaching Evaluation Form](#) is completed, it should be submitted with the written report. Under Regents' rules, the evaluation of teaching must explicitly consider the oral communication competence of the candidate. (**Note:** [A list of departments and the number of classroom observations](#) each requires in a review for promotion and/or tenure is available on the College's website.)

In promotion and/or tenure reviews, the classroom observation must be undertaken by one or more members of the departmental promotion and tenure review committee—or appropriate designee(s) of the committee, with approval of the DEO—and the class observation report must be included in the report referred to in part I.D.6, below.

Departments may conduct classroom observations for the promotion/tenure review in the spring and/or the fall semester of the calendar year in which the review takes place. These must be specifically designated as observations for the promotion/tenure review and may not be the same classroom observations that are conducted for the fifth-year probationary review.

- (3) In the College of Liberal Arts and Sciences, the member(s) of the departmental promotion and tenure committee designated to perform the classroom observation will discuss with the candidate possible dates for the observation, in order to avoid test dates and other inopportune times. Classroom observations must produce as little disruption as possible.
- (4) If expressly agreed to by both the candidate and the departmental promotion and tenure committee, video observation may be substituted for actual observation of teaching in the College of Liberal Arts and Sciences.



- (5) In the College of Liberal Arts and Sciences, the departmental promotion and tenure committee solicits confidential evaluations of teaching from faculty members with whom the candidate has team-taught courses and who are at or above the rank to which the candidate seeks promotion and/or tenure. The Departmental Executive Officer adds these solicited evaluations as another appendix of the Promotion Record.

No unsolicited letters evaluating the candidate's teaching, whether signed or anonymous, will be entered into the Promotion Record.

- (6) The internal peer evaluation of the candidate's teaching will be contained in a report that analyzes the relevant materials in the Promotion Record, and will include a comparative analysis of the quality of the candidate's teaching in the context of the candidate's department or unit; a summary analysis of the student teaching evaluation data contained in the Promotion Record, including departmental average comparison data where possible; a description, where appropriate, of the balance between the candidate's undergraduate and graduate teaching; a description and assessment of the candidate's academic advising responsibilities; and a consideration of any special circumstances concerning the faculty member's teaching performance.

In the College of Liberal Arts and Sciences, the report is due the first working day of November. The report of the departmental promotion and tenure committee must include a summary of the student evaluations obtained in each course taught by the candidate. The appendices containing the student evaluations are not submitted to the Dean's Office with the promotion record but are available to the Dean and the College's Committee on Faculty Promotion and Tenure upon request.

- (7) The faculty members who perform the peer evaluation of the candidate's teaching will enter their classroom observation report into the section of the Promotion Record that is dedicated to the history and evaluation of the candidate's teaching.

## **E. Peer Evaluation of the Candidate's Scholarship and Selection of External Evaluators**

It is the candidate's responsibility to cooperate in obtaining peer evaluation of the candidate's scholarship by participating in the following process:

### **(1) Internal Peer Evaluation of Candidate's Scholarship**

- a. In the College of Liberal Arts and Sciences, the internal peer evaluation of the candidate's scholarship will be carried out by the departmental promotion and tenure committee.

The internal peer evaluation of the candidate's scholarship will be contained in a report that analyzes the relevant materials in the Promotion Record, *excluding the external evaluations of the candidate's scholarship*, and will include a statement concerning the norms for publication and/or creative activity in the relevant field; a brief description of the quality of journals or other forums in which the candidate's work has appeared; and a brief description of the norms of authorship and co-authorship in the field. If the dossier contains published reviews of the candidate's scholarly/creative work (see section I.B.3.d.iii), the College asks that the written internal peer evaluation refer to the assessments contained in these reviews.

The written report is an independent, substantive assessment of the candidate's record with reference to the University, collegiate, and departmental criteria for tenure and/or promotion, the norms of the discipline, and the quality of the forums in which the candidate's work has appeared. The departmental promotion and tenure committee does **not** read or consult the external evaluations of the candidate's scholarship in preparing this peer assessment. The external evaluations are not entered into the Promotion Record until the committee has submitted its report.

- b. The faculty members who perform the peer evaluation of the candidate's scholarship will enter their report into the section of the Promotion Record that is dedicated to the history and evaluation of the candidate's scholarship.
- c. No unsolicited letters evaluating the candidate's scholarship, whether signed or anonymous, will be entered into the Promotion Record.

## (2) Selection of External Evaluators

- a. In the College of Liberal Arts and Sciences, the process of selection of external evaluators of scholarship will begin no later than May 1 of the academic year in which the promotion decision will be made and must be completed by September 30. [Departments may establish an earlier timeline](#), beginning as early as the preceding January.
- b. In the College of Liberal Arts and Sciences, departments must obtain for the promotion record no fewer than 4 and no more than 8 external evaluations for each candidate. Each department must specify a number within this range that the department will work to obtain (see below). Every evaluation solicited and obtained must be included in the promotion record.

Numbers of external evaluations specified by units for which these Guidelines are relevant:

American Studies .....	4	Health & Human Physiology.....	4
Anthropology .....	6	History .....	4
Art & Art History .....	4	Journalism & Mass Communication .....	5
Asian & Slavic Languages & Literatures .....	4	Linguistics .....	4
Biology.....	6	Mathematics.....	5
Chemistry .....	6	Music.....	4
Cinematic Arts.....	4	Philosophy.....	4
Classics .....	5	Physics & Astronomy .....	6
Communication Sciences & Disorders....	4	Political Science .....	4
Communication Studies.....	4	Psychological & Brain Sciences .....	6
Computer Science .....	6	Religious Studies.....	4
Dance .....	4	Rhetoric.....	4
Earth & Environmental Sciences.....	5	Social Work .....	4
English.....	4	Sociology.....	5
French & Italian .....	4	Spanish & Portuguese.....	4
Gender, Women's, & Sexuality Studies.....	4	Statistics & Actuarial Science .....	5
Geographical & Sustainability Sciences.....	6	Theatre Arts .....	5
German .....	5		

- c. The Departmental Executive Officer will solicit from the candidate a list of appropriate external reviewers from peer institutions (e.g., AAU, CIC or Big Ten, major public, Carnegie Research I) or institutions in which the corresponding department or individual evaluator is of peer quality.
- d. The Departmental Executive Officer will add suggestions to the list and give the list to the departmental promotion and tenure committee, who will also perform the internal peer review of the candidate's scholarship as described in subsection (1), above; those faculty will add other potential external reviewers and return the completed list to the Departmental Executive Officer.
- e. The Departmental Executive Officer will share the completed list of potential external reviewers with the candidate. The candidate shall identify any potential external reviewers with whom s/he has worked in any capacity and describe the nature of the relationship. If the candidate feels that any potential external reviewer on the list might be unfairly biased, the candidate may prepare a written objection and give it to the Departmental Executive Officer, who will take the objection into consideration when selecting external reviewers.
- f. In identifying potential external reviewers, all participants in the selection process will take into account the standing of the prospective reviewer in the discipline, the likely knowledge of the reviewer of the material to be reviewed, the apparent impartiality of the reviewer, and the contribution to achieving an overall "balanced" review among the reviewers on any criterion for which there might be a range of perspectives. It is critical to avoid any situation in which a personal and/or professional relationship (including advising, mentoring, co-authoring, etc.) between the candidate and a prospective reviewer could undermine the reviewer's apparent impartiality.
- g. The Departmental Executive Officer will determine, in consultation with the departmental promotion and tenure committee, which of the potential external evaluators will be asked to provide a letter of evaluation. The DEO will then submit the proposed names [on this form](#), along with a one-paragraph biographical sketch of each, to the Dean and Executive Associate Dean. No letter of invitation may be sent until the DEO has received approval from the Dean's Office.
- h. The College expects that the potential external evaluators will not include any individual who served as a reference at the time the candidate was appointed nor any individual who was approved to serve as an evaluator in an earlier review for promotion and/or tenure.

If the DEO feels there are extraordinary circumstances that make it desirable to extend an invitation to such an individual, the DEO must write to the Executive Associate Dean to formally request a waiver of this guideline and to explain the circumstances.
- i. The Departmental Executive Officer, using a form letter which substantially conforms to the [sample letter in Appendix C](#), will ask the reviewers approved by the Deans to provide an assessment of the quality and quantity of the candidate's scholarship.
- j. After or in anticipation of an invitation to an external reviewer to evaluate the candidate's published work, neither the candidate nor any faculty member other than the Departmental Executive Officer will communicate with the reviewer concerning the subject of the review or the review process.
- k. The Departmental Executive Officer will keep a record of

- i. the list of suggested reviewers,
  - ii. the names of persons invited to review,
  - iii. the names of actual reviewers,
  - iv. comments submitted by the candidate, the Departmental Executive Officer, and the internal faculty reviewers,
  - v. correspondence and other communications between the Departmental Executive Officer and invited reviewers and actual reviewers.
- l. All letters received from external reviewers will be entered by the Departmental Executive Officer into the Promotion Record after the reports of the departmental promotion and tenure committee have been entered therein. The external evaluators' letters will be placed in the section dedicated to the history and evaluation of the candidate's scholarship, along with
- i. a list of all invited reviewers—indicating whether the reviewer was suggested by the candidate, the DEO, or the internal faculty reviewers—and a brief explanation of why any invited reviewer declined;
  - ii. the candidate's written objection to any potential external reviewer on the basis of unfair bias, if a letter was solicited from that reviewer;
  - iii. a copy of the letter or letters of solicitation to external reviewers;
  - iv. a brief description of each external reviewer's qualifications;
  - v. a statement of how the reviewer knows the candidate's work if it is not obvious from the reviewer's letter;
  - vi. a statement that identifies and addresses circumstances that might call into question the impartiality of the reviewer; and
  - vii. if the reviewer is not from a peer institution but from a peer institution but from an institution where the corresponding department or individual evaluator is of peer quality, an explanation of why the choice of that reviewer was made.
- m. In the College of Liberal Arts and Sciences, the candidate in consultation with the DEO and the departmental promotion and tenure committee determines what sample of his or her scholarly or creative work is to be sent to the external evaluators. Each external evaluator receives the same sample of work, the candidate's current *curriculum vitae*, and the candidate's statement regarding his or her accomplishments and future plans in scholarly or creative work.

The promotion record forwarded to the Dean contains the same sample of work. The candidate in consultation with the DEO and the departmental promotion and tenure committee determines whether any work not part of the sample should be placed in an appendix which is forwarded to the Dean.

## **F. Peer Evaluation of the Candidate's Service**

- (1) It is the candidate's responsibility to cooperate in obtaining peer evaluation of the candidate's service by participating in the following process:
- (2) In the College of Liberal Arts and Sciences, the internal peer evaluation of the candidate's service will be carried out by the departmental promotion and tenure committee. This evaluation has two components: service to the profession and service to the department, College, University, community, and State of Iowa.

If departmental procedures so specify, the departmental promotion and tenure committee may solicit assessments of the quality of candidates' service. The letter soliciting the assessment must specify that the solicitation is a standard part of the department's review procedures, and a copy of the letter must be included in an appendix to the promotion record, with the evaluations received in response to the letter. The candidate in consultation with the departmental promotion and tenure committee will generate a list of individuals who may be asked for such an assessment. The Departmental Executive Officer adds these solicited evaluations as an appendix of the Promotion Record. **(Note: [A list of departments that solicit assessments of candidates' service is available on the College's website.](#))**

No unsolicited letters evaluating the candidate's service, whether signed or anonymous, will be entered into the Promotion Record.

- (3) The internal peer evaluation of the candidate's service will be contained in a report that analyzes the relevant materials in the Promotion Record in the context of the expected service contributions in the department and the profession.
- (4) The faculty members who perform the peer evaluation of the candidate's service will enter their report into the section of the Promotion Record that is dedicated to the history and evaluation of the candidate's service.

#### **G. Candidate's Right to Respond to the Report of the Departmental Promotion and Tenure Committee**

The candidate will be given an opportunity to respond to the internal peer evaluations as follows:

- (1) Within 5 working days of the submission of the internal peer evaluations, the Departmental Executive Officer will send to the candidate a copy of the peer evaluations of the candidate's teaching, scholarship, and service that have been entered into the appropriate sections of the Promotion Record.
- (2) The candidate will have 5 working days from the date of receipt of the internal peer evaluations of his/her teaching, scholarship, and service to submit in writing any corrections to errors in the internal peer evaluations.
- (3) If the candidate submits a letter correcting errors in the internal peer evaluations of the candidate's teaching, scholarship, and service, the Departmental Executive Officer will enter it into the Promotion Record before the DCG makes its recommendation.

#### **H. The Departmental Consulting Group**

The Departmental Consulting Group (see [definition](#)) will participate in the promotion decision-making process as follows:

- (1) Following the principle that each individual participating in the promotion decision-making process may vote for or against the granting of promotion to a candidate only once, Departmental Consulting Group members who are also members of the Collegiate Committee on Faculty Promotion and Tenure will participate in the promotion decision for a candidate from their department at the departmental level and may not participate in the deliberations or voting of the Collegiate Committee in regard to that candidate.
- (2) In the College of Liberal Arts and Sciences, the Departmental Executive Officer attends the meetings of the Departmental Consulting Group and ensures procedural correctness. The DEO may not vote, participate in the discussion other than to provide

factual information, or contribute to the written report summarizing the discussion of the Departmental Consulting Group.

- (3) The Promotion Record available to the Departmental Consulting Group will consist of the candidate's dossier with appendices (publications and student teaching evaluations, including those student teaching evaluations added to the Promotion Record by the Departmental Executive Officer); confidential evaluations from those faculty members with whom the candidate has team-taught courses and who are at or above the rank to which the candidate seeks promotion and/or tenure; and solicited evaluations of the candidate's service (if provided for in the department's promotion and tenure review procedures); the external peer evaluation of scholarship and internal peer evaluations of scholarship, teaching, and service, entered into the appropriate sections of the Record; and the candidate's letter correcting factual errors in the internal peer evaluations, if any.

The promotion record must be available only to the DEO and to those faculty eligible to participate in the discussion, all of whom must have made a careful study of the promotion record. All those eligible to participate in the decision have an ethical duty to participate unless disqualified by a conflict of interest or unless prevented from studying the promotion record and participating in the discussion of the record (e.g., by an off-campus career developmental assignment award).

- (4) The Departmental Consulting Group will meet to discuss the candidate's qualifications and to vote by secret ballot for or against the granting of promotion.

In the College of Liberal Arts and Sciences, the chair of the departmental promotion and tenure committee is responsible for leading the discussion of the Departmental Consulting Group, preparing a summary report of the discussion, documenting the final vote, and entering that information into the Promotion Record.

The chair of the departmental promotion and tenure committee will see that those attending meetings of the Departmental Consulting Group sign in, so that there is a record of who were present for the discussion and therefore voted. The summary report of the meeting must list those eligible faculty who were not present for the discussion and therefore did not vote, with the reason for the absence.

The chair of the departmental promotion and tenure committee is responsible for submitting the report summarizing the discussion of the Departmental Consulting Group. The report must record the number voting to grant tenure and/or promotion and the number voting to deny it. The summary report will contain a recommendation for or against the granting of promotion based on the criterion that a 60% majority of those present for the DCG discussion defines a positive recommendation for promotion.

This report shall not reiterate the details of the internal and external peer reviews or restate other material already in the dossier; rather, it shall identify those specific aspects of the dossier that formed the basis of the DCG recommendation. The summary report must reflect the range of opinions expressed in the meeting and must include the Departmental Consulting Group's analysis of the external evaluations of the candidate's scholarship. The report must be written in a way that does not violate the expectation of confidentiality on the part of members of the Departmental Consulting Group, external evaluators of the candidate's scholarship, or others who wrote in expectation of confidentiality.

A draft version of the summary report must be made available to the members of the Departmental Consulting Group. Individual faculty members will forward any comments and requested changes to the chair of the departmental promotion and tenure committee, who will then prepare a final version of the report and make that version

available to members of the DCG. Any faculty member eligible to participate in the tenure and/or promotion decision may submit a further confidential evaluation that will be appended to the report. (These evaluations may be made available to the candidate after redaction, under the conditions specified in section 5 below.) The College publishes an [optional form for the confidential evaluation](#) on its website.

- (5) The results of the Departmental Consulting Group's vote and the summary report of its discussion (with any appended confidential comments from individual faculty) will be transmitted to the Departmental Executive Officer as part of the candidate's Promotion Record. A copy of the DCG vote and summary report is also provided to the candidate. In the College of Liberal Arts & Sciences, the candidate does not receive a redacted version of the summary report, but a duplicate of the report submitted for the Promotion Record. The report must therefore be prepared in a way that protects the confidentiality of any individual contributions, whether from external reviewers or University of Iowa faculty members. The DCG report must not attribute comments to identifiable members of the faculty or external evaluators.
- (6) The candidate will be allowed 5 working days after receiving the DCG's summary report of its discussion to submit in writing to the DEO any corrections of factual errors about the candidate's record in the DCG's summary report of its discussion.
- (7) If the candidate submits a letter correcting errors in the DCG's summary report, the DEO will enter it into the Promotion Record before making a recommendation to the Dean.

## **I. DEO's Letter and Recommendation to the Dean**

The DEO will participate in the promotion decision making process as follows:

- (1) Should the Departmental Executive Officer receive any correspondence concerning a candidate for promotion from individual members of the Departmental Consulting Group, that correspondence will be entered into the section of the Promotion Record that contains the Departmental Consulting Group's vote and report.
- (2) Based on the Promotion Record, including the candidate's response, if any, to the report of the departmental consulting group, the Departmental Executive Officer will recommend that promotion be granted or denied in a separate letter to the collegiate Dean for each candidate.
- (3) As with the DCG report, the Departmental Executive Officer's letter to the Dean should not reiterate the details of material that is already in the dossier. Rather, it will explain her or his reasons for recommending for or against promotion, stating how the candidate has or has not met the relevant criteria. When the recommendation of the Departmental Consulting Group is not followed, the letter will explain why a contrary recommendation is being made and will address any disagreement between the Departmental Executive Officer's evaluation and the evaluation of the Departmental Consulting Group as reflected in the summary report of the DCG discussion. In the College of Liberal Arts and Sciences, the DEO's letter must be prepared in a way that protects the confidentiality of external reviewers and University of Iowa faculty members. The DEO's letter must not attribute comments to identifiable members of the faculty or external evaluators.
- (4) Even if the Departmental Executive Officer recommends that the candidate be promoted, the Departmental Executive Officer's letter to the Dean will address any negative aspects of the Promotion Record; and, if tenure is recommended, the Departmental Executive Officer will indicate in the letter to the Dean how the candidate has met the criteria for tenure.
- (5) The Departmental Executive Officer's letter will be transmitted to the Dean as part of the candidate's Promotion Record.



The department must complete its review process and transmit the promotion record to the Dean's Office by deadlines in early December established annually by the Dean's Office. The College announces these deadlines in April so that departments can plan the schedule of review meetings.

## **J. Candidate's Right to Respond to the Recommendation of the DEO**

The candidate will be given the opportunity to respond to a recommendation against promotion by the DEO as follows:

- (1) At the same time that the Promotion Record is submitted to the Dean, if the Departmental Executive Officer's recommendation is negative, she or he will provide the candidate with a copy of her or his letter to the Dean.
- (2) If the DEO's recommendation is negative, the candidate will, upon request, have access to the promotion record. In the College of Liberal Arts and Sciences, the candidate will be allowed 3 working days after receiving the DEO's letter to submit a request to the Dean for access to the Promotion Record. The following provisions apply:
  - a. the external reviews of the candidate's scholarship must be redacted as appropriate to protect the confidentiality of reviewers; and
  - b. any comments in the Promotion Record referring to external reviews of the candidate's scholarship must be redacted as appropriate to protect the confidentiality of reviewers.
- (3) In the College of Liberal Arts and Sciences, the candidate will be allowed 5 working days after receiving access to the Promotion Record, to submit to the Dean
  - a. a written response to the DEO's negative recommendation and
  - b. additional information to be included in the Promotion Record.
- (4) If the candidate submits a written response to the Dean for inclusion in the Promotion Record, the candidate also shall give the DEO a copy of the response.

## **II. COLLEGE LEVEL PROCEDURE**

### **A. Additions to Promotion Record**

- (1) If the candidate submits a letter of response to the Departmental Executive Officer's letter to the Dean, the Dean will place the candidate's letter in the Promotion Record.
- (2) No unsolicited correspondence evaluating the candidate's record, whether signed or anonymous, will be entered into the Promotion Record at the Collegiate level.

### **B. Collegiate Committee on Faculty Promotion and Tenure**

The Collegiate Consulting Group ([see definition](#)) shall participate in the promotion decision-making process as follows:

The Dean adds the Collegiate Committee's letter to the Promotion Record before transmitting the Promotion Record to the Provost.

- (1) Each year the Dean of the College of Liberal Arts and Sciences, in consultation with the College's elected Executive Committee, appoints a Collegiate Committee on Faculty Promotion and Tenure. The Committee consists of six tenured full professors who

represent the various disciplines of the College; members are appointed for one year and can serve no more than 3 years consecutively.

A member of the Collegiate Committee participates in the promotion decision for a candidate from his/her department at the departmental level and may not participate in the Collegiate Committee's deliberations or voting in regard to that candidate.

- (2) The Dean and the Associate Deans participate in the meetings of the Collegiate Committee on Faculty Promotion and Tenure. Neither the Dean nor the Associate Deans vote with the Collegiate Committee on Faculty Promotion and Tenure nor do they contribute to the written report summarizing the Collegiate Committee's discussion.

The Dean of the College and those associate deans with appointments of 50% or greater in the Dean's Office are not part of the Departmental Consulting Group in the departments in which they hold faculty appointments. ([See the definition of Departmental Consulting Group in these procedures.](#))

- (3) The Promotion Record available to the Collegiate Committee on Faculty Promotion and Tenure will consist of the Promotion Record available to the Departmental Executive Officer, with the same sample of the candidate's scholarly or creative work that was sent to external evaluators.

The Promotion Record available to the Collegiate Committee on Faculty Promotion and Tenure will also include the Departmental Executive Officer's letter and the candidate's letter(s) of response (if any) following receipt of the Departmental Consulting Group's recorded vote and discussion summary and the recommendation of the Departmental Executive Officer.

For the information on student evaluations of teaching that is sent forward to the Dean's Office, see [section I.D.6](#).

- (4) If necessary, the Collegiate Committee on Faculty Promotion and Tenure may submit to the Departmental Consulting Group and/or the Departmental Executive Officer a written request for additional information or clarification of the Promotion Record.
- (5) The Collegiate Committee on Faculty Promotion and Tenure meets with the Dean and the Associate Deans:
  - (a) to discuss the candidate's qualifications,
  - (b) to vote and make a recommendation for or against the granting of promotion, with a 60% majority of those present for the discussion defining a positive recommendation for promotion, and
  - (c) to assign one or more of its members
    - i. to prepare a summary report of the discussion, if its recommendation to the Dean is negative and contrary to that of the DCG or DEO;
    - ii. to document the final vote, and
    - iii. to enter that information into the Promotion Record.
- (6) The Dean adds the Collegiate Committee's letter to the Promotion Record before transmitting the Promotion Record to the Provost.

### **C. Candidate's Right to Respond to the Recommendations of the Collegiate Committee**

The candidate will be given the opportunity to respond to the Collegiate Committee's recommendation under the following conditions:

- (1) If the Collegiate Committee's recommendation is negative and contrary to that of the DCG or DEO, the candidate shall be provided with a copy of the Collegiate Committee's vote and summary report, and will have three days to request access to the Promotion Record, with the following provisions:
  - (a) the external reviews of the candidate's scholarship must be redacted as appropriate to protect the confidentiality of reviewers; and
  - (b) any comments in the Promotion Record referring to external reviews of the candidate's scholarship must be redacted as appropriate to protect the confidentiality of reviewers.
- (2) The candidate will have 5 working days after receiving access to the Promotion Record to submit a written response to the Collegiate Committee's negative recommendation.

### **D. Dean's Recommendation**

In making the promotion recommendation, the Dean may, at the Dean's discretion, consult with the College's Associate Deans. The Dean shall participate in the promotion decision-making process as follows:

- (1) If the candidate submits a written response to the Collegiate Committee's negative recommendation, the Dean will place the response in the Promotion Record before making a recommendation to the Provost.
- (2) When any materials that were not available at the time of the departmental action are forwarded by the Departmental Executive Officer to the Dean, the Dean, in consultation with the DEO, will make a determination whether it is likely that the new material would have substantially altered the departmental evaluation of the candidate's record by the Departmental Consulting Group and/or the Departmental Executive Officer.

If, in the Dean's judgment, a substantial change in the departmental evaluation is likely, the Dean will return the case to the Departmental Executive Officer for reconsideration of the Promotion Record, as appropriate, so that the Dean will be able to act in the light of an accurate indication of departmental judgments.

If the Dean does not return the case to the department, the Dean will annotate the new material when it is entered into the Promotion Record, for the Provost's information, stating that it was not reviewed by the Departmental Consulting Group or the DEO.

- (3) Based on the Promotion Record, including the response of the candidate, if any, to the report of the Collegiate Committee, the Dean will recommend that promotion be granted or denied in a separate letter to the Provost for each candidate.
- (4) The Dean's letter to the Provost will explain the Dean's reasons for recommending for or against promotion. As with previous steps in this process, the Dean's letter to the Provost shall not reiterate the details of material that already is in the dossier; rather, it shall identify those aspects of the dossier that formed the basis of the Dean's recommendation.
- (5) When the Dean's recommendation is contrary to the vote of the Departmental Consulting Group, the recommendation of the Departmental Executive Officer, and/or

the vote of the Collegiate Committee on Faculty Promotion and Tenure, the Dean's letter will explain why the contrary recommendation is being made.

- (6) The Dean's letter will be transmitted to the Provost as part of the candidate's Promotion Record.
- (7) At the same time that the Dean's letter is submitted to the Provost, the Dean will inform the Departmental Executive Officer of the recommendation that has been forwarded to the Provost. The DEO, in turn, will inform the members of the DCG of the Dean's recommendation and also will inform the candidate if the Dean's recommendation is positive.
- (8) The Dean will transmit to the Provost one copy of the Promotion Record for each candidate in the College, and a single copy of these CLAS Procedures governing promotion decision-making.

### **E. Candidate's Right to Respond to a Negative Recommendation of the Dean**

The candidate will be given the opportunity to respond to a negative recommendation by the Dean as follows:

- (1) At the same time that the Promotion Record is submitted to the Provost, if the Dean's recommendation is against promotion, the Dean will provide the candidate with a copy of the Dean's letter to the Provost.
- (2) In the College of Liberal Arts and Sciences, the candidate will be allowed 3 working days after receiving the Dean's letter containing a negative recommendation to submit a request to the Provost for access to the Promotion Record, with the following provisions:
  - (a) the external reviews of the candidate's scholarship must be redacted as appropriate to protect the confidentiality of reviewers; and
  - (b) any comments in the Promotion Record referring to external reviews of the candidate's scholarship must be redacted as appropriate to protect the confidentiality of reviewers.
- (3) In the College of Liberal Arts and Sciences, the candidate will be allowed 5 working days after receiving access to the Promotion Record, to submit
  - (a) a written response to the Dean's recommendation and
  - (b) any additional information to be included in the Promotion Record.
- (4) If the candidate submits a letter of response to the Provost for inclusion in the Promotion Record, the candidate shall also give the Dean a copy of the response.

## **III. UNIVERSITY LEVEL PROCEDURE**

### **A. Promotion Record**

- (1) The Promotion Record available to the Provost will consist of the Promotion Record available to the Dean, the Dean's letter, and the candidate's letter of response (if any) following receipt of the recorded vote of the Collegiate Committee on Faculty Promotion and Tenure and the recommendation of the Dean. Although the appendices to the Promotion Record (consisting of student teaching evaluations and publications) are part of the Promotion Record, they will not normally be physically moved to the Provost's custody unless the Provost requests them.

- (2) When any materials that were not available at the time of the departmental action are forwarded to the Provost, the Provost will make a determination whether it is likely that the new material would have substantially altered the departmental evaluation of the candidate's record. If, in the Provost's judgement, a substantial change in the departmental or collegiate evaluation is likely, the Provost will return the case to the Departmental Executive Officer or Dean, respectively, for any appropriate supplementary action, so that the Provost will be able to act in the light of an accurate indication of departmental and collegiate judgment.
- (3) On the basis of the Promotion Record available to the Provost, the Provost will make a decision that promotion should be granted or denied, and will recommend that the Board of Regents grant promotion to those candidates determined to be deserving.
- (4) In making the promotion decision, the Provost may, at the Provost's discretion, consult with other administrators, including the associate provosts and the collegiate deans.

#### **B. The Provost's Recommendation to the Regents**

- (1) The Provost will inform the Dean in writing of the Provost's recommendation to the Board of Regents.
- (2) The Dean will inform the candidate in writing of the Provost's recommendation to the Board of Regents, and in the case of a recommendation against promotion or tenure will inform the candidate of the availability of the official Faculty Dispute Procedures as explained in [section III.29, subsections 1-5, of the University Operations Manual](#), and will enclose a copy via certified mail.
- (3) The collegiate Dean will inform the Departmental Executive Officer of the Provost's recommendation, who, in turn, will inform the members of the DCG.

## **Appendix A—Points to be Determined by Collegiate Procedures**

The following points must be covered by the Collegiate Procedures (as approved by the Provost) to satisfy a requirement of or to provide a variation from a provision of the University Procedures:

- General Principles: how qualified faculty members from outside the department will be identified to serve on the DCG, if there are fewer than four faculty members in the department who are qualified to serve on the DCG;
- General Principles: who will perform the functions assigned in these Procedures to the DEO, if they will not be performed by an individual who holds that title;
- General Principles: in nondepartmentalized colleges, what the role of department-like units and their administrative officers, if any, will be;
- General Principles: how and when a candidate for whom it is not the year of required tenure review will notify the department and/or college of his or her interest in being reviewed for tenure and/or promotion;
- I.B.(1) the date substantive material for the promotion dossier will be due from the candidate, if before September 1;
- I.B.(3)(f) any supplementary material to be included in the dossier in addition to the required minimum described in these Procedures;
- I.C. who shall perform the internal peer evaluations of teaching, scholarship, and service;
- I.D.(1) - (4) details about the process of peer observation of teaching;
- I.E.(2)(a) when the process of selection of external reviewers will begin;
- I.E.(2)(b) how many external reviewers will be asked to provide assessments of the candidate's scholarship, and what sample of the candidate's scholarship each will review;
- I.E.(2)(d) the process by which the faculty members assigned to perform internal peer review of the candidate's scholarship will go about adding to the list of proposed external reviewers;
- I.E.(2)(g) the process by which the DEO will go about selecting the final list of external reviewers;
- I.G.(2) the period of time allowed the candidate to review the internal peer evaluations of teaching, scholarship, and service for errors (normally five to ten working days);
- I.H.(4) details of the DCG's voting procedure, and how the DCG determines which of its members will prepare the summary report of its discussion, document the final vote, and enter that information into the Promotion Record;
- I.H.(6) the period of time allowed the candidate to submit in writing to the DEO any corrections of factual errors regarding the candidate's record in the DCG's report (normally five to ten working days);
- I.J.(3) the period of time allowed the candidate to submit a response after receipt of a DEO's negative recommendation to the Dean (normally five to ten working days);

**Appendix B—Recommendation for Faculty Promotion Cover Sheet (Fill out form online) NOTE: Change SSN to Employee ID No.**

The Recommendation for Promotion Form is available via [Self-Service](#) (HR Transaction System/Faculty Promotion/Faculty Promotion Cover Sheet), and basic information will be automatically populated. Insert all additional required information, including the Proposed Rank, Date to Present Rank within Track, DCG vote, DEO Recommendation, and DEO signature. Include a copy of the completed form in the Promotion Record and deliver the original form to [Brenda Gritsch](#) in the Dean's Office at the same time as the 3 hard copies of the Promotion Record.

**The University of Iowa  
Recommendation for Faculty Promotion Cover Sheet**

<b>Distribution</b> Payroll Provost's Office Dean Department
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**To be completed by the candidate:**

Name: \_\_\_\_\_ Social Security Number: \_\_\_\_\_

Primary Appointment: \_\_\_\_\_  
College Department

Secondary Appointment: \_\_\_\_\_  
College Department

Date of Initial Appointment (Assistant Professor or above at The University of Iowa): \_\_\_\_\_

Present Rank: \_\_\_\_\_  With Tenure  Without Tenure Date attained: \_\_\_\_\_

**To be completed by the Departmental Executive Officer:**

Proposed Rank: \_\_\_\_\_  With Tenure  Without Tenure Date effective: \_\_\_\_\_

If proposed rank is without tenure, indicate term of appointment.  
 This is a \_\_\_\_\_ year appointment beginning \_\_\_\_\_ (mo. day yr.) and ending \_\_\_\_\_ (mo. day yr.)

**Vote of Departmental Consulting Group:**

Primary Appointment For promotion: \_\_\_\_\_ Against promotion: \_\_\_\_\_ Abstained: \_\_\_\_\_

Secondary Appointment For promotion: \_\_\_\_\_ Against promotion: \_\_\_\_\_ Abstained: \_\_\_\_\_

**To be completed by the Dean:**

Is there a summary report from the Collegiate Consulting Group?  Yes  No

**Vote of Collegiate Consulting Group:**

Primary Appointment For promotion: \_\_\_\_\_ Against promotion: \_\_\_\_\_ Abstained: \_\_\_\_\_

Secondary Appointment For promotion: \_\_\_\_\_ Against promotion: \_\_\_\_\_ Abstained: \_\_\_\_\_

**Recommendations:**

**Primary Department:**

Recommend  Do not recommend \_\_\_\_\_ Executive Officer

Recommend  Do not recommend \_\_\_\_\_ Dean

**Secondary Department:**

Recommend  Do not recommend \_\_\_\_\_ Executive Officer

Recommend  Do not recommend \_\_\_\_\_ Dean

**Provost:**

Recommend  Do not recommend \_\_\_\_\_ Provost

\_\_\_\_\_ Provost Date



## Appendix C—Sample Letter from DEO to External Evaluator

A Departmental Executive Officer's letter to solicit an external evaluation must:

- be neutral in tone;
- indicate the rank for which the candidate is being considered and whether the promotion includes the awarding of tenure;
- explicitly state what portion of the candidate's work the reviewer is being asked to assess;
- request that the reviewer not communicate with the candidate or with faculty other than the DEO;
- state that the reviewer's response will be protected as confidential; and
- request a brief biographical sketch if one has not been obtained by other means.

### The following is a sample letter from the DEO:

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

As I mentioned to you [on the telephone / by e-mail] on [date], \_\_\_\_\_ will be considered for [tenure and] promotion to [proposed rank] in the Department of \_\_\_\_\_ during this academic year. I am grateful to you for agreeing to serve as an external evaluator.

Enclosed with this letter are Professor \_\_\_\_\_'s curriculum vitae, his/her Statement on Research, and copies of the publications [or creative works] you have agreed to review: [list works].

Please begin with a statement of how you know the candidate and his or her work. In this context, please address any circumstances that might raise issues of impartiality as they related to your assessment of the candidate. We would like you to critique the quality of this work and, if possible, to assess its quantity and quality in comparison to the work of others in this discipline at comparable stages in their careers. We would particularly appreciate your evaluation of the contribution that the candidate's work has made to the field, viewing each published [or creative] work separately or in combination as seems appropriate. We would be interested in your judgment of the quality of the journals [or exhibits] and the importance of the conferences through which Professor \_\_\_\_\_ has communicated this work. We also would be interested, of course, in any other insights you might have about Professor \_\_\_\_\_'s scholarly [or artistic] accomplishments.

[In appropriate cases] Professor \_\_\_\_\_ received a one-year [two-year] extension of the standard tenure-clock, approved by the College and the University. This extension does not change the normal criteria for a tenurable record, nor does it imply that Professor \_\_\_\_\_ will be held to a standard higher than the one he/she would have had to meet if the tenure decision had been made in the year when it was originally scheduled.

If you have any questions about Professor \_\_\_\_\_'s materials or experience, please contact me directly. In accordance with our governing procedures, we must ask you not to communicate with either the candidate whose work you are reviewing or other members of the department or college concerning your evaluation or the review process.

Your letter will be available to the tenured faculty in this department as well as to the Dean, the Collegiate Consulting Group (Promotion Advisory Committee), and the Provost's Office. Beyond that, we will regard your letter as a confidential document. To the extent permitted by law, your evaluation will be made available to the candidate only upon his/her explicit request following a negative recommendation at various stages of the review process, and then only after your name and other identifying information have been removed.

[Only if it is not possible otherwise to obtain a short statement of the reviewer's qualifications, add the following paragraph:] Would you please send me a brief biographical statement when you send your letter? Although our departmental faculty know you and your work well, the Dean and the Collegiate Consulting Group would find your biographical sketch helpful when considering your letter.

Again, thank you for your willingness to help us with this important review process.

[Signature of DEO]

## Appendix D—Comments on the Procedures

[I.B.\(2\)](#). The candidate and the DEO should work together to ensure that a candidate's teaching, scholarship, and service, including those activities of an interdisciplinary or multidisciplinary nature, are accurately portrayed in the promotion dossier.

[I.B.\(3\)\(c\)](#) It is assumed that all faculty members obtain regular student evaluations of their teaching in accordance with collegiate and University policy and that, under the college's policy, there are adequate provisions for consistent practice to ensure the integrity of the evaluation process and to ordinarily preserve the anonymity of the student evaluators. A college is permitted to include evaluations by students who are identified but whose identity is treated as confidential vis-à-vis the candidate. When such a practice is employed, it is imperative that the college's written policy governing promotion decision making specify its details and that it be applied evenhandedly. The candidate's dossier is not expected to include teaching "evaluations" used for experimental, mentoring, or other non-evaluative purposes.

[I.B.\(3\)\(f\)](#) The college may want to require additional items in the dossier such as teaching materials; refereed conference papers; invited papers, lectures, or presentations; unfunded grant proposals; etc. The college's written policy governing promotion decision making should specify the items required and apply the requirement evenhandedly to all candidates.

[I.B.\(6\)](#) Examples of "materials which could not have been available by the specified date" include decisions on submitted manuscripts or grant proposals after the specified date, published book reviews of which the candidate had no previous knowledge, teaching evaluations of classes being taught in the fall semester.

[I.D.](#) The minimal procedures specified here for evaluation of teaching are not assumed to be adequate for purposes of mentoring and teaching-improvement, and this proposal is not intended to discourage other and different methods for satisfying those purposes.

It should be stressed that "teaching" is described here in traditional terms and that appropriate extrapolations must be made for teaching in fields such as the creative or performance arts.

[I.D.\(2\)](#) This provision in no way privileges or elevates "observation" over such written materials as course syllabi or teaching materials created by the candidate. These written materials will be a part of the candidate's dossier and will be subject to evaluations as part of the total record on the basis of which the candidate is evaluated. Nor should this provision be taken to devalue still other aspects of the teaching process, such as supervising in a clinical setting, supervising dissertation work, advising graduate students, or overseeing the work of teaching assistants; although those teaching activities are not easily reduced to writing nor are they ordinarily subject to observation, these activities are important and nothing in these Procedures prevents a college that is able to evaluate these other teaching activities from doing so as part of the promotion decision-making process. In this connection, as elsewhere, the critical requirement is that a college inform candidates in its written policy governing promotion decision making that this evaluation will occur and how it will be carried out, as well as that the college apply its policy consistently to all candidates.

[I.E.\(2\)\(11\)](#) Although the records related to external reviewers that are required to be kept under subsection do not become a part of the Promotion Record concerning each candidate, they would be available for consideration should a question subsequently arise concerning the denial of a promotion to that candidate or another candidate for promotion in the department.

[I.H.\(1\)](#) The integrity of academic decision making requires that all participants base their evaluation on a careful study of the relevant materials, and standards of ethical academic behavior require nothing less. The integrity of particular academic decisions also requires 1) that

all faculty members honor their duty to participate fully in the assessment of their colleagues, and 2) that the evaluation of the candidate's qualifications not be compromised by the participation of anyone having a disqualifying conflict of interest. This requirement entails that any faculty member or administrator who would otherwise participate in the recommendation to grant or deny a promotion should be disqualified if that person has a relationship or interest which would give the appearance of biasing that person either in favor of or against the candidate. Conflicts of interest exist not because actual bias is assumed, but because of the appearance of a lack of sufficient impartiality. Whether a disqualifying conflict of interest does exist often presents the difficult question of degree, and it depends upon a determination by a participant in the process to identify the conflict and to disqualify herself or himself when appropriate. In lieu of disqualification, it can be sufficient that the circumstances giving rise to an apparent conflict of interest be fully disclosed. When disqualification is required, that can be effected by a decision of a member of the DCG not to vote or otherwise to participate in the evaluation process; at a stage of the process involving a single decision maker, such as the DEO or the collegiate Dean, more burdensome arrangements for a substitute decision maker would have to be made. Although treatment of conflicts of interest in the college's written policy governing promotion decision making would be appropriate, these Procedures have not attempted to address the specific situations that might create conflicts of interest nor to provide procedures for avoiding them. (For general guidelines on conflict of interest, refer to sections [II.18](#) and [III.8](#) of the [University's Operations Manual](#).)

The integrity of the promotion decision-making process also requires that all documentary material be available only to those entitled to participate in the process and that every participant treat as confidential all information obtained from reading documents in the Promotion Record or from participating in any discussion concerning the qualifications of a candidate for promotion.

[I.H.\(5\)](#) and [I.I.\(3\)](#) Because the Promotion Record may be redacted to protect reviewers' confidentiality where appropriate, it will be especially important that the DCG's report and the DEO's letter be written in sufficient detail to enable the candidate to submit a written response should the candidate choose to do so.

[I.I.\(5\)](#) This is the first point in the decision process at which there is a specific reference to transmitting the Promotion Record. Prior to this stage of the process, it is assumed that the Promotion Record is compiled within the department under the joint management and custody of the DCG and the DEO. If the location of the Promotion Record would not otherwise be clear, the college's written policy governing promotion decision making should provide some means of informing decision-makers of the location of various materials comprising the Promotion Record from time to time as the decision process moves from the candidate to the DCG to the DEO.

## APPENDIX E—REVIEW PROCEDURES FOR FACULTY WITH JOINT APPOINTMENTS

Note: Any agreement negotiated with Dean Curto and formulated in a Memorandum of Understanding with the candidate and DEOs takes precedence over the provisions below, which form Appendix E of the current CLAS/UI Procedures for Promotion and Tenure Decision Making.

- A. In the case of a non-0% joint-appointment candidacy for promotion, the departments shall form (a) joint internal review committee(s) (see [Section C](#) of this appendix, below), roughly proportional in its (their) makeup to the percentage of faculty effort in each department and with at least one committee member from each department. The DEO(s) or the candidate may seek approval of the dean(s) for an alternative structure in exceptional circumstances, including cases of marked discrepancy between percentage effort and percentage salary support across the two units, or in the case of a joint but non-interdisciplinary appointment, such that joint review is inappropriate.

When standard review procedures differ between units (e.g., delegation of review of teaching, scholarship, and service to separate subcommittees vs. using a single internal review committee for all three areas), a joint decision shall be made establishing procedures that are mutually acceptable to the faculty member and the units in advance of deliberations of the review committee[s]. The joint internal review committee shall report, both in writing and at (a) meeting(s) with at least one internal review committee member from each department present, to each DCG.

- B. The departments involved must determine, together with the affected faculty member, whether the DCGs will meet jointly or separately and, if jointly, whether the DCGs will have joint or separate votes and reports.

If separately,

- (a) if a faculty member holds a 50-50 joint appointment, each DCG will make an independent and primary decision using its college's written policy governing promotion decision making;
- (b) if a faculty member holds a 1% to 49% joint appointment in a department, the departments involved must determine, together with the affected faculty member, whether each DCG will make an independent decision or whether the DCG in which the faculty member holds the smaller percentage appointment will be limited as described in [section C](#) below. These determinations should be made by mutual agreement of the faculty member, both DEOs, and the Dean(s) early in the joint appointment and set forth in a letter of agreement, copied to the Provost.
- C. If a faculty member holds a 1% to 49% appointment in a department, and a determination is made that that department shall not make an independent decision, then that department shall participate in the following manner (see the department-level procedures for the [Departmental Consulting Group](#) and the [DEO recommendation](#) for additional detail).
- (1) The DCG shall:
- (a) receive the candidate's dossier including the letters of the external reviewers;
  - (b) review and discuss the candidate's qualifications;
  - (c) make a recommendation for or against the granting of promotion based on a secret-ballot vote;
  - (d) write a brief report of its discussion, including its vote and recommendation for or against the granting of promotion. If a majority of the DCG requests, it may delegate writing this report to the DEO.

(2) The DEO shall:

- (a) write a letter
  - (i) reporting the DCG discussion, including its vote and recommendation for or against the granting of promotion, if requested by a majority of the DCG to do so, and
  - (ii) making an independent recommendation that promotion be granted or denied;
- (b) add the DCG report, if any, and this letter to the Promotion Record, and
- (c) submit the Promotion Record to the primary department in time for consideration by the DCG of that department.

Similarly,

(3) the CCG of the college in which a faculty member has a 1% to 49% appointment shall:

- (a) receive the candidate's Promotion Record from the DEO of the primary department;
- (b) review and discuss the candidate's qualifications, and
- (c) make a recommendation for or against the granting of promotion based on a secret-ballot vote, with a brief report of its discussion if the recommendation is negative. If a majority of the CCG requests, it may delegate writing this report to the Dean.

(4) The Dean shall:

- (a) write a letter
  - (i) reporting the CCG discussion, including its vote and recommendation for or against the granting of promotion, if requested by a majority of the CCG to do so, and
  - (ii) making an independent recommendation that promotion be granted or denied;
- (b) add the CCG report, if any, and this letter to the Promotion Record;
- (c) submit the Promotion Record to the primary college in time for consideration by its CCG.

D. If a faculty member holds a 0% joint appointment in a department, that department may be limited to a subordinate consultative role in the tenure and promotion process and the affected departments may decide how this role shall be carried out. These determinations should be made by mutual agreement of the faculty member, both DEOs, and the Dean(s) at the beginning of the joint appointment and set forth in a letter of agreement, copied to the Provost.

**APPENDIX F****CLAS CHECKLIST: PROGRESS TOWARD PUBLICATION OF BOOK IN THE DOSSIER**

For the information of the review committee, departmental consulting group, and collegiate consulting group, the candidate completes this checklist for each book-length publication and inserts it in the appropriate section of the dossier (see the CLAS/University Procedures for Promotion and Tenure Decision-making, I.B.3.d.ix-x; CLAS/University Clinical-Track Promotion Procedures, I.B.3.e.vi).

**Please mark the boxes for all steps in the publication process that have been completed.**

Books in the dossier will be assessed by the department, external evaluators, and the College on the basis of the quality and importance of the work, its venue, its potential impact on the field, and any discipline-specific expectations.

**Note:** Please see the CLAS/University Procedures for Promotion and Tenure Decision-making, section 6, "Timing of Reviews in the College," for expectations in cases in which an important aspect of the scholarly record is the publication of a book.

**Title of Book/Manuscript** \_\_\_\_\_

**Name(s) of Author(s) or Editor(s)** (in the case of an edited collection, critical edition, etc.) \_\_\_\_\_

**1. Review for publication:**

- The manuscript was submitted for review to [name of press] \_\_\_\_\_
- The manuscript was recommended for publication by the press's external referees (please attach referees' reports).
- The editor has recommended the book to the editorial board.
- The editorial board has approved the recommendation to publish the book.

**2. Acceptance by the press:**

- The publisher has written to the author(s) making the final commitment to publish the book (if the printed book is not in the dossier, please attach a copy of the letter).
- The publication contract has been signed by all parties (if the printed book is not in the dossier, please attach a copy of the contract).

**3. In production:**

- The author has revised the manuscript and responded to any editorial questions.
- The author has supplied the final manuscript, including the text and (as agreed upon with the publisher) tables, appendices, notes, bibliography, illustrations, captions, etc.
- The author has supplied any written permissions necessary to reproduce text or illustrations.
- The author has corrected the copy-edited text and returned it to the publisher.
- The author has corrected the page proofs and returned them to the publisher.
- The author has received a pre-publication copy, which is included in the dossier.

**4. In print:**

- The publisher has issued the book and a copy is included in the dossier.
- Reviews have appeared and are included in the dossier.

Candidate's comments: