

General and Electronic Submission Instructions Promotion and Tenure 2017–2018

The criteria and procedures followed in promotion and tenure reviews at the University of Kansas are found in the [Faculty Senate Rules and Regulations, Article VI](#). Candidates and review committee members are encouraged to read this document, as well as the criteria and procedures for promotion and tenure within their home units.

The Promotion and Tenure Dossier consists of the basic documents that are used in the evaluation of candidates for tenure and/or promotion at the University of Kansas. The 2017–2018 versions of the candidate and evaluation sections that comprise the Promotion and Tenure Dossier are posted on the Faculty Development [website](#).

The documents are in Microsoft Word format to facilitate entering the required information. Instructions for completing the forms are included with the documents.

The Promotion and Tenure Dossier (that formerly constituted the “Blue Form” pages) will be submitted electronically to the Office of the Provost for consideration by the University Committee on Promotions and Tenure.

Directions for Candidates

- Start on the Faculty Development [website](#) for Promotion and Tenure by downloading the three documents listed in the section **Candidate Documents**
- Unless otherwise noted below, please complete the forms using the outline format provided in each document
- Save the completed documents in pdf format for submission with the filenames listed below

Candidate Responsibility

The candidate is responsible for assembling the materials, completing the candidate sections of the Promotion and Tenure Dossier, and reviewing the final copy and supporting materials to determine that the files are accurate and complete. The candidate then submits the candidate sections of the Promotion and Tenure Dossier and the supplemental materials (required and optional) to the initial review committee. Once these documents have been submitted to the initial review committee, no other changes are made to the candidate sections. Adherence to established deadlines should ensure that the candidate sections are complete at the time of initial committee review. Candidates who have joint appointments should review the [joint appointment guidelines](#) with the heads of each of their units.

Candidate Documents

1. **Candidate P&T Curriculum Vitae (CV)**(download the file: candidate_cv.doc)
This document contains the instructions for creating the P&T CV required for promotion and tenure review. You may use the MSWord template (i.e., candidate_cv.doc) to complete the P&T CV OR use the [Faculty PRO portfolio system](#) to generate a draft P&T CV that can be easily edited. Regardless of which method you use, you should save the P&T CV for submission as a separate document in pdf format with the filename: **Lastname, FirstInitial P&T CV.pdf**

2. **Candidate Statements** (download the file: candidate_statements.doc)

This document contains the instructions for creating the candidate statements on teaching, professional performance research, and service that you will submit for promotion and tenure review. At the request of Faculty Governance and with the support of the University Committee on Promotion and Tenure, the statement on service has been added for 2017–2018 in recognition of the effort allocated to service by faculty and academic staff and its value to the institution. Create the Candidate Statements in a separate document and save it in pdf format with the filename:

Lastname, FirstInitial Candidate Statement.pdf

3. **Verification and List of Supplemental Materials** (download the file:

verification_supplemental_materials.doc)

Enter your name in the *Candidate* field on the first line. You may sign this page with an electronic signature. Otherwise, please complete the document, print, sign, and scan into pdf format with the filename: **Lastname, FirstInitial Candidate Verification.pdf**

For the Supplemental Materials, please enter the information requested, and delete the instructions on page two and keep a copy of page three for your records.

The summaries of the numeric student evaluations must be submitted electronically as **Lastname, FirstInitial Student Eval Summaries.pdf** and placed in a folder titled **Supplemental Materials/Required/Student Eval Summaries**. Student comments are only required if they are used in the faculty member's annual evaluation.

One copy of each published or completed work since appointment at KU or since last promotion, as appropriate (as listed on CV). These may be submitted as photocopies or electronic files, but not both. If electronic, place in the a folder titled **Supplemental Materials/Required**

Required supplemental materials (e.g., publications) and optional supplemental materials should be submitted as electronic files if available or as hard copies if electronic versions are not available. NOTE: Submit only ONE file of each document whether in electronic or hard copy format. Contact your departmental, area or school for the appropriate procedure to submit these documents.

Candidates should forward the electronic files named in numbers 1 to 3 above to the initial review unit following the unit's specified procedures.

Supporting Materials

Candidates are encouraged to submit supporting materials electronically, however, electronic submission is required only for the one-page summaries of the numerical student evaluations summary reports. Supporting materials submitted as paper copies should be placed in letter-size boxes with file folders labeled Supplemental Folder I, II, etc (or SI, SII, etc). CDs or DVDs of artistic work may also be submitted. Materials may be placed in binders to facilitate handling. All folders and materials should be clearly labeled. Although the promotion and tenure dossier should be complete, it should not contain extraneous material such as works in which the candidate's name is merely mentioned. *Note that FSRR Article VI specifically prohibits the inclusion of the progress toward tenure review evaluation by either the candidate or the unit.*

Preparation of Materials

All sections appropriate to your appointment must be completed and your promotion and tenure dossier should contain the material specified on the form and in the checklists. You may not add any new materials after the initial review (i.e., department, center, or school without departments) is completed, except when there is a “request for information” from an intermediate level committee or UCPT, or in response to a negative recommendation from a committee at any level.

You should prepare your materials so that relevant information is included in a clear and concise form. The supporting documentation should be well organized. Please use at least 11 point font to make reviewing the information easier for review committees at all levels.

Initial Level Review

Initial Review Committee Responsibility

Initial level review committees are encouraged to complete the candidate’s position description early in the promotion and tenure process and to review it with candidates, along with their unit’s criteria for promotion and tenure. This will help candidates in preparing the candidate sections of the Promotion and Tenure Dossier. Initial level review committees should also review the [guidelines for external evaluations](#) prior to soliciting external evaluations. If applicable, they should also review the guidelines on promotion and tenure for candidates who hold [joint appointments](#). Finally, initial level review committees should review the candidate documents and request any revisions necessary for completeness or conformity with the required formats (e.g., of the P&T CV, number or labeling of files, etc.). The initial level review committee is responsible for ensuring that all required information and signatures are complete at the time of submission to the next level of review (i.e., either intermediate review or UCPT).

Initial Review Evaluation Materials

1. **Position Description, Initial Review Evaluations, and Initial Review Composite Evaluation and Recommendation** (download the file: [initial_evaluation.doc](#))

Complete the Position Description early, print it, and secure the candidate’s signature. When the other parts of the initial review evaluation document are completed and signed, scan all sections and include the required letter in one file in pdf format with the filename: **Lastname, FirstInitial Initial Evaluation.pdf**

Note: if the unit chair/director or dean does not concur with the committee’s recommendation or if the unit chair/director or dean concurs with the committee’s negative recommendation, a letter must be included with the reasons for the concurrence or non-concurrence.

2. The peer reviews of teaching (or professional performance if applicable) must be submitted electronically as **Lastname FirstInitial Peer Eval Teach.pdf**, or **Lastname FirstInitial Peer Eval Prof Perform.pdf**.

Peer Evaluations of Teaching and Peer Evaluations of Professional Performance (if applicable) are required and must be added to the dossier by the unit. The evaluations should be included as

electronic files in the Supplemental Materials/Required folder. For more information on developing peer observations, please see the Center for Teaching Excellence's website: <http://cte.ku.edu/developing-peer-observations>.

3. **Department/School Promotion and Tenure Criteria**

The initial review unit P & T criteria for the relevant rank should be submitted in pdf format as:
UnitName P&T Criteria.pdf

4. **External Evaluations** (download the file: external_eval.doc)

Submit the completed External Evaluations form (Items A – F) in one pdf file:
Lastname, FirstInitial External Info.pdf

Submit the six external evaluation letters in one pdf file:

Lastname, FirstInitial External Letters.pdf

5. **Initial Review Evaluation Summary for Candidate**

(download the file: initial_review_summary_for_candidate.doc)

Delete the instructions from this document, complete all sections, sign, and scan into one file in pdf format with the filename: **Lastname, FirstInitial Initial Summary Candidate.pdf**

Note: if the unit chair/director or dean does not concur with the committee's recommendation or if the unit chair/director or dean concurs with the committee's negative recommendation, a letter must be included to the candidate with the reasons for the concurrence or non-concurrence.

The file should be sent to the candidate as an e-mail attachment by the head of the initial review unit (i.e., department chair, center director, or dean) via the candidate's KU e-mail account and marked CONFIDENTIAL. Save a copy of the email.

The Initial Review Evaluation Summary for Candidate and a copy of the e-mail (from the Sent Items folder of the department chair, center director, or dean of the initial review unit) should be submitted to the next level of review to verify transmission of the summary to the candidate.

Transmission deadline: The e-mail should be sent to the candidate to allow sufficient time for the candidate to meet the deadline for a response to the committee at the next level of review in the case of a negative recommendation or marginal/poor evaluation in any area. Units which conduct intermediate level reviews may wish to set a target date for initial review units to transmit initial review summaries to candidates.

6. **Initial Review Unit Checklist** (download the file: initial_review_unit_checklist.doc)

This document should be completed and saved by the initial review unit. It is not necessary to forward to the next level review.

Supporting Materials

Initial review units (departments, centers, schools without departments) may include *Solicited Letters of Support* (**except** for the external reviewer letters) in supplemental materials. Files containing solicited letters should be clearly labeled and a copy of the solicitation letter, which must include the School/College confidentiality policy, should be included in the file.

Submission to Next Level of Review

Initial review units in schools with departments, the College, or Office of Research should forward all documents listed above (except the unit checklist) and the candidate documents electronically to the intermediate level review unit following the intermediate review unit's specified procedures and submission deadline.

Schools without departments and the Libraries should forward these documents and the candidate documents electronically (preferably on a memory stick) to the Provost's Office for UCPT review by **5 p.m. on Tuesday, January 2, 2018**. See page 7 for sample folder layout for electronic submission of files. Contact Faculty Development, facultydev@ku.edu, telephone: 864-4912 to transmit the files.

Supplemental materials that are not in electronic format must be delivered by the initial review unit to either the intermediate level unit or the Provost's Office as appropriate.

Candidate Response Forms

Candidates who receive a negative recommendation or marginal/poor evaluation rating at any level of review have the option to submit a response and additional materials to the committee at the next level of review. Candidates may choose to submit a response either electronically in pdf format or in hardcopy format. If submitting electronically, please contact the office at the next level of review to obtain the name of the person to whom the materials should be submitted.

Intermediate Level Review

Intermediate Review Committee Responsibility

Intermediate review committees are responsible for ensuring that all required documents have been transmitted by the initial review unit. If that is not the case, the intermediate level review committee must collect any missing documents from the initial level committee. After completion of the intermediate review, the intermediate unit is responsible for ensuring that all required intermediate review information and signatures are complete at the time of submission to UCPT.

Request for Information

FSRR Article 6.2 gives intermediate committees permission to request additional information to assist in evaluation of a candidates' record. Article 6.2 **requires** that the intermediate review committee request additional information prior to the final vote on its recommendation when the preliminary vote favors **(1)** a negative recommendation OR **(2)** a recommendation that differs from the department or primary unit recommendation. It further requires in FSRR 6.2.1 that if the request for information is based on a negative preliminary vote, the request for information must "notify the candidate of this fact and specify the reasons for the negative recommendation." All requests for information should specify the information sought by the committee and the reason for the request.

The request is sent to the department chair or unit administrator who must immediately provide a copy to the candidate and inform the initial review committee. The chair, or committee chair, is required to provide the response to the intermediate unit by the stated deadline. Candidates must be given every opportunity to submit a response to the request for information and to include documents supporting the response.

Intermediate Review Evaluation Materials

1. **Intermediate Review Composite Evaluation and Recommendation**

(download the file: intermediate_review_composite_eval.doc)

Intermediate level units should complete the composite evaluation form, secure signatures, and scan the form and required letter and save in one pdf format file with the filename: **Lastname, FirstInitial Intermed Evaluation.pdf**

Note: if the dean or vice chancellor does not concur with the committee's recommendation or if the dean or vice chancellor concurs with the committee's negative recommendation, a letter must be included with the reasons for the concurrence or non-concurrence.

2. **Intermediate Review Summary for Candidate** (download the file: intermediate_review_summary_for_candidate.pdf)

Delete the instructions from this document, complete all sections, sign and scan with any required letters into one file in pdf format with the filename: **Lastname, FirstInitial Intermed Summary Candidate.pdf**

Note: if the dean or vice chancellor does not concur with the committee's recommendation or if the dean or vice chancellor concurs with the committee's negative recommendation, a letter must be included to the candidate with the reasons for the concurrence or non-concurrence.

The file should be sent to the candidate as an e-mail attachment by the head of the intermediate review unit (i.e., dean or research vice chancellor) via the candidate's KU e-mail account and marked CONFIDENTIAL.

The summary of review file and a copy of the e-mail (from the Sent Items folder of the dean or vice chancellor) should be submitted to UCPT to verify transmission of the summary to the candidate.

Transmission deadline: The e-mail should be sent to the candidate to allow sufficient time for the candidate to meet the deadline for a response to UCPT in the case of a negative recommendation or marginal/poor evaluation in any area.

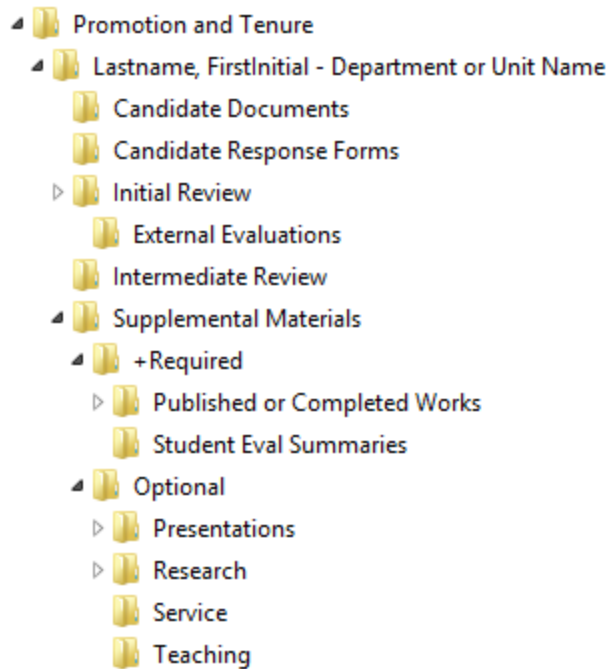
3. **Intermediate Review Unit Checklist** (download the file: intermediate_review_checklist.doc)

This document indicates with a check that the EVALUATION document files are included in the dossier at the end of the intermediate review prior to forwarding the dossier to UCPT. Save the completed checklist for your records. It is not necessary to forward to the next level review.

Submission to UCPT

Intermediate review units should forward all candidate, initial review, and intermediate review documents electronically (preferably on a memory stick) to the Provost's Office for UCPT review by **5 p.m. on Tuesday, January 2, 2017.**

Sample Folder Layout for Electronic Submission of Files



Supplemental materials that are not in electronic format must be delivered by the unit to the Provost's Office by the same deadline.

Units should contact Faculty Development, facultydev@ku.edu, telephone: 864-4912, to arrange for transmission of the files and hard copy materials.

Candidate Response Forms

Candidates who receive a negative recommendation or marginal/poor evaluation rating at any level of review have the option to submit a response and additional materials to the committee at the next level of review. Candidates may choose to submit a response either electronically in pdf format or in hardcopy format. If submitting electronically, please contact the office at the next level of review to obtain the name of the person to whom the materials should be submitted.

Contact for Questions

Coordinator for Faculty Development, email: facultydev@ku.edu, telephone: 864-4912
Vice Provost for Faculty Development, email: TBD, telephone: 864-4904