

UNIVERSITY OF ILLINOIS AT CHICAGO
PROMOTION AND TENURE GUIDELINES
2003-04

PART III

PREPARING THE FORMS

INSTRUCTIONS FOR THE PREPARER AND THE TYPIST

This document is a set of instructions for gathering and reporting the data necessary to evaluate promotion and tenure recommendations beyond the department or unit level. Definitions and interpretations are provided in an effort to avoid the submission of unnecessary information. **Please read these instructions carefully, with a blank set of Promotion and Tenure (P&T) forms in hand.**

Questions should be directed to Michele Mancione, Office of the Vice Provost for Faculty Affairs, room 2731 UH, M/C 103, E-mail address MicheleM@uic.edu or at extension 3-7636.

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Section 1

GENERAL INFORMATION AND INSTRUCTIONS

Presentation of the Candidate's Record: All information, apart from supporting documents, must be transcribed onto the P&T forms. **CVs, publications, and other unrequested material may not be submitted.** In the interests of making it easy for readers to find material in the papers, please use the headings you find in the forms, preserving the order and provide an accurate Table of Contents (See Part IV, Forms). When a heading does not apply, please indicate that - do not eliminate the heading.

Data Since Last Personnel Action: Unless otherwise specified, the data requested usually should be confined to the period **since** the candidate's last promotion, or in the case of a faculty member recently hired, since the candidate's initial appointment at UIC.

Required Copies: The forms should be duplicated in the department. **An original and 9 copies will be needed.** The original and 4 copies should be unstapled (but clipped) and copied one-to-one. The remaining 5 copies should be copied back to back (double-sided) and stapled. All 9 copies plus the original should be delivered to Academic Affairs, 2731 UH. **A copy of the preparer and typist checklists should be clipped to the original copy only. In addition, a copy of the forms (in WORD format) and the scanned-in letters of recommendation (PDF format) need to be provided on a disc(s). Each college should compile the information for all its candidates on a single disc (floppy or zip) if possible.** Each candidate's information should be in a separate folder and ideally will contain two files; a Word format file containing the forms and a PDF formatted file containing the scanned external letters.

Font: **Do not use small type/font sizes.** The type size should be 10-12 points and there should be no more than six lines of text within a vertical inch.

Alternative Format: Information provided (in **PART IV FORMS**) for the following **may be printed horizontally (landscape):**

EXPECTED PROMOTION AND TENURE REVIEWS

TEACHING ABILITY AND PERFORMANCE, Section I.A.1. and Section I.B.1.

SPONSORED RESEARCH ACTIVITIES SINCE LAST PERSONNEL ACTION OR PAST FIVE YEARS - Section II, E.

Pagination: All pages will be numbered with Arabic numbers starting with the Cover Sheet as Page 1. Any new information that becomes available after the dossier has left the department must be numbered following the last page of the document. For instance, if the document contains 97 pages, the new information would be numbered page 98, and so on.

One Page Limit Requirement: The one-page limit set on all candidates statements and the recommended font size should be adhered.

Section 2

FORM PAGES

- PAGE 1:** **COVER SHEET.** Most items are self-explanatory. **Please note that the signature of the candidate must now be included on Page 1.**
- PAGE 2-3:** **TABLE OF CONTENTS** - This is a new section and the order must be adhered. Please refer to Section IV, Forms for details.
- PAGE 4:** **ACADEMIC AND EMPLOYMENT INFORMATION: Starting with the Academic and Employment information number the following section sequentially. Please note the order.** There are two items on Page 4 which should be noted: (1) The tenure and contract history must be generated by the department. Do not include salary history, national origin, or names of institutions attended. Include details regarding joint appointments (if any) and rollbacks (if any). In the case of candidates who hold joint appointments, please notify the other unit(s) that the candidate is being considered for promotion and/or tenure; in the case of rollbacks, only the dates are required-
onwards -confidential reasons for the rollback need not be included. This information should be provided on a separate page following this form. (2) Question 3. b. (Official distribution of effort) only needs to be filled out if the Candidate's activities do not follow the usual distribution of effort across teaching, research, and service.

If necessary attach an extra page to provide a complete list of academic and other relevant positions.

SUMMARY OF COMMITTEE REVIEW ACTIONS The vote of each committee must be attested to by its chair, by a unit executive officer, in some cases, and in others, by a faculty member. ***A signature is required.*** The "yes" and "no" and "abstain" and "absent" and "not eligible" votes should sum to the total number of members on the reviewing committee. **(See PART I, Section 3, B. for information regarding eligibility to vote).**

STATEMENT OF UNIT/COLLEGE NORMS, EXPECTATIONS AND STANDARDS OF EXCELLENCE A statement from each departmental officer or dean describing criteria used in developing recommendations for promotion must be provided as part of the papers.

Section 3

PLEASE NOTE THAT A SPECIAL SECTION TO DOCUMENT TEACHING ACHIEVEMENT HAS BEEN DEVELOPED FOR COLLEGE OF MEDICINE FACULTY. THIS REPLACES THE TEACHING SECTION IN THE CAMPUS P&T FORM. THE TABLE OF CONTENTS FOR THE COLLEGE OF MEDICINE FORMS HAVE BEEN MODIFIED ACCORDINGLY. THESE ARE AVAILABLE THROUGH THE COLLEGE OF MEDICINE DEAN S OFFICE.

I. TEACHING ABILITY AND PERFORMANCE

A. ACTIVITIES

1. Courses Taught.

List courses taught (include title and course number) by the candidate in each term for the past three years in chronological order (i.e., most recent last). Indicate whether each course is an elective, required or optional. If other than primary instructor, specify the Candidate's role. **Separate each term's offerings by a single line across the page.**

2. Graduate Student Advising and Supervision.

Give the names and degree category of graduate students supervised since the last personnel action, their thesis titles, and the beginning and completion date for each work. Indicate whether the candidate was thesis director or was involved in other ways. Include students for whom candidate is academic advisor as well. Include record of student placement, if pertinent. (If the list is long, provide an abbreviated list that shows the range of recent advising activities.)

3. Undergraduate Advising and Supervision.

Give the names of students for whom candidate has served as an academic advisor. Indicate advising or mentoring related to Honors College students in this section. (If appropriate, provide an abbreviated list of recent advising activities.)

4. Residents and Post-Doctoral Fellows Supervised.

Give the names of residents and post-doctoral fellows supervised since the last personnel action, their assignments, and the beginning and completion date for each resident. Also, provide a brief statement discussing the nature of the interaction between the Candidate and those supervised, the time and effort involved, and the expertise brought by the Candidate to the relationship.

5. Direction of Research Associates, Visiting Scholars, and Technicians.

If the Candidate has provided direction to research associates, visiting scholars, or technicians, describe the nature of the interaction(s) and the Candidate's specific role(s).

6. Contributions to Instructional Techniques and Teaching Materials.

Describe any special instructional techniques and new teaching materials developed by the candidate. Indicate other unique contributions to instruction and/or clinical teaching.

B. EVALUATION OF TEACHING AND RELATED ACTIVITIES

1. Summary of Student Evaluations of Faculty Teaching.

A form is provided for summarizing student evaluations of faculty evaluations*. Units may use an alternative format if they prefer, but this information should be presented in summary form. **Please do not include raw data.** At a minimum, information should be provided for courses taught in the past year. Where less information is provided, the justification for the omission should be included in the executive officer's statement.

*Note: It is inappropriate to ask current doctoral students supervised by the candidate to write a teaching evaluation for the candidate.

For those not in the sciences: The standard deviation is the average variation of a score from the mean of a distribution of scores and should be easy to calculate when evaluation forms are used.

Note: Departments have the option of presenting a summary of the evaluation data in other ways, if they prefer.

If the Candidate has clinical teaching responsibilities, letters from former residents/fellows or others supervised by the Candidate may be appropriate to assist in appraising the Candidate's clinical teaching. **Any such letters should be solicited by the executive officer and not the candidate.** Append these following the course evaluation data, if they are not confidential. If confidential, then append them under Evaluation (See Part III, Section 7, or Part IV, item V.A.).

2. Formal Recognition of Distinction in Teaching.

Self-explanatory.

Letters from senior colleagues attesting to the Candidate's performance in off-campus lectures or seminars while a member of the UIC faculty may also be used.

Include any other information indicating outstanding performance such as successful placement of students in employment or placement of undergraduates who have done extensive work with the candidate in graduate or professional schools or advanced training programs.

3. Candidate's Statement on Teaching Goals, Approaches and Accomplishments.

This statement should discuss current efforts and progression related to the department's teaching mission. **There is a one-page limit.**

Section 4

II. RESEARCH ABILITY AND ACHIEVEMENT

In this section, assemble evidence on research, creative and other scholarly activities for the items below, where applicable.

A. - D. POST Ph.D. (OR TERMINAL DEGREE) HONORS AND AWARDS, etc.

Provide dates and a brief explanation of the nature of awards.

E. SPONSORED RESEARCH ACTIVITIES SINCE LAST PERSONNEL ACTION OF PAST FIVE YEARS (whichever covers the longer time period)

Include full information on all sponsored research, (whether internal or external to UIC), and all grant and fellowship applications, whether funded or not or still pending. List both requested amount and approved funding levels. If not funded, indicate "NF" or "O", even if proposal was rated as "approved, but not funded." List principal investigator if other than Candidate. On multiple investigator projects, indicate both total amount and amount controlled by Candidate. **Amounts should be corroborated with college or university records.** Arrange entries in chronological order of submission. Indicate any competitive renewals. Please add commentary on entries where qualifications are needed; as for instance, actual role on grants, priority score, etc. This form may be printed horizontally (landscape). (Note that sabbatical support and teaching awards (e.g., CETL Awards), are not considered supported research and should **not** be listed as such).

F. PUBLICATIONS AND OTHER SCIENTIFIC, CREATIVE, OR SCHOLARLY WORKS.

The Candidate's productivity should be documented in the following categories:

1. **In Chronological Order**, List Publications or Other Creative Work Relevant to the Discipline Dated **Before** Last Personnel Action (Initial Appointment or Most Recent Promotion, Whichever Is Relevant). Use the Following Categories:
 - a. Books and monographs
 - b. Edited volumes and translations
 - c. Articles in refereed journals (including on-line refereed journals).
 - d. Other articles, including bulletins and technical reports
 - e. Chapters in books
 - f. Book reviews
 - g. Creative works, (e.g., poetry, composition, exhibitions)
 - h. Patents
 - i. Other, (e.g., notes and comments)
2. Publications or Other Creative Work Relevant to the Discipline Dated **Since** Last Personnel Action, with Same Subdivisions as under F., 1.
3. Work Completed and Accepted for Publication, with Same Subdivisions as under F., 1.
4. Work in Progress.

5. Papers Presented at Professional Meetings since last personnel action. If Relevant, Distinguish Between Volunteered, Refereed, and Invited Papers. Indicate if any are exceptionally honorific.
6. Specify Other Scientific Contributions, Creative or Scholarly Works Which Are Notable in Terms of Originality and Importance, since last personnel action (e.g., Case Reports, Literature Reviews Appropriate to Clinical Work, Internal Reports, Etc.).

Place a heading for the appropriate category of each listing. If a work was refereed in a category other than in sections F1c, F2c or F3c, it should be indicated by an asterisk in the left margin, and other types of publications should be identified, (e.g., monograph or bulletin, article, review or abstract). **In case of joint authorship, indicate senior author, if any, by underlining.** Give complete bibliographical references inclusive of pagination. If any publication has been reprinted, please provide full bibliographical reference for the reprint immediately following the citation of the place of first publication.

If works were juried or subjected to outside evaluation, indicate the award, competitive ranking, critical acclaim, or other form of recognition.

- G. CANDIDATE'S STATEMENT ON CURRENT AND PLANNED RESEARCH, CREATIVE, OR SCHOLARLY WORK (**one-page limit**).

On the page provided, the candidate should give a statement pertinent to his/her research, creative and scholarly efforts, as well as describing accomplishments. **The statement should tie together past scholarly work and how it relates to plans for future scholarly activity and to teaching and service responsibilities.** The statement will be read by senior colleagues who are not technical experts. Avoid jargon and specialized technical information. **There is a one-page limit.**

Section 5

III. SERVICE

Definition: Ability and performance in university, disciplinary, patient care, continuing education, and public service.

A. ADMINISTRATIVE RESPONSIBILITIES SINCE LAST PROMOTION OR PERSONNEL ACTION WITH DUTIES INDICATED BELOW

List the candidate's administrative responsibilities, with specific duties indicated, in the period since the last promotion.

B. SERVICE TO THE DEPARTMENT/COLLEGE SINCE LAST PROMOTION

List the candidate's special contributions to the development of the academic unit and its programs, (e.g., major committee assignments and projects undertaken on behalf of the unit).

C. SERVICE WITHIN THE UNIVERSITY SINCE LAST PROMOTION

In **chronological order**, indicate committee assignments since the last promotion or other personnel action with inclusive dates. Departmental, College and University committees should be listed separately. Where committee assignments have been minimal, an explanation, (e.g., departmental policy for junior faculty) should be given.

If the service was a result of being elected to the post, indicate by means of an asterisk in the left margin. When applicable, attach written statements from committee chairpersons outside the department assessing the nature and effectiveness of the candidate's committee work.

D. SERVICE RELATED TO PATIENT CARE

Describe the candidate's contributions to university-related patient care services. Support letters from internal reviewers and colleagues who can evaluate the candidate's contributions to patient care and the health care team may be appended to this section.

E. SERVICE RELATED TO STUDENTS

Indicate any special counseling services, clinical or health services, work with student groups or organizations, **and** other student services. Student research and academic advising is included in Section 1 (Teaching Ability and Performances).

F. SERVICE TO THE PROFESSION/DISCIPLINE

Describe non-university professional activities such as offices held in professional organizations, editorships, and other activities (i.e., grant review activity) providing the candidate with national or international recognition. Give inclusive dates, most recent first. **DO NOT** include mere membership in societies unless membership is limited to highly qualified individuals and is indicative of significant service contributions.

G. PUBLIC SERVICE

Describe external activities based on professional expertise and related to UIC's public service mission. These should be listed with inclusive dates, **in chronological order**, in the categories enumerated.

H. CANDIDATE'S STATEMENT OF CURRENT AND PLANNED SERVICE ACTIVITIES

This statement should discuss current efforts and progression of university, disciplinary, and public service activities over past years and expectations for the future. The statement should explain how these efforts fit into the department's norms and policies. **There is a one-page limit.**

Section 6

IV. INTERDISCIPLINARY WORK - OPTIONAL

Candidates who are involved in interdisciplinary work (or who plan to be so involved) are asked to provide a statement on the existence, nature and significance of their interdisciplinary work, (i.e., teaching, research, service). **There is a one-page limit.**

Section 7

V. EVALUATIONS

A. PEER EVALUATION OF FACULTY TEACHING

The executive officer is responsible for obtaining peer evaluation of the candidate's teaching ability. Such evaluation is best when collected over a period of years. This section of the papers should include a brief description of the peer evaluation process as well as the outcome of these reviews.

If the executive officer solicits confidential evaluation from former trainees (e.g. from fellows and residents in the College of Medicine), they should be included here.

B. EVALUATION LETTERS FROM EXTERNAL REFEREES - **THIS SECTION SHOULD NOT BE SHOWN TO THE CANDIDATE**

Selection of Referees: (This is a reminder of policies covered in PART I, Sec. 3, Policies and Procedures). In order to give a yield of at least 4 substantial responses, the executive officer should obtain a written evaluation from **not less than 5, but no more than 8** members of the profession from academic or research settings outside the campus who have **NOT** had a close association with the candidate. Referees should be **full professors**. **DO NOT** request evaluations from former professors, fellow students, past or present departmental colleagues, post-doc advisors, co-workers, etc. Referees should not be suggested by the candidates, though they may indicate to the paper preparers persons who may be inappropriate as reviewers along with the reasons for which the candidates object.

All external evaluations of the Candidate that were solicited by the department for the review must be included in the candidate's file even if the reviewer's letter is a simple statement of inability/unwillingness to review or simply did not respond. (Letters from co-authors that document the contributions of the candidate to co-authored work should not be included among the letters of evaluation. They should be included in PART IV FORMS, V., B.).

Sample Letter of Solicitation: **Please include a copy of the letter used to solicit the reviews of outside evaluators appended to the first referee letter.** Also include a detailed list of all the materials sent to the reviewers. (See Page 8 in Part I, Policies and Procedures). In the case of unpublished material, it should be clearly specified in what form and how much material was sent out online, draft, proofs, etc. A sample letter of solicitation is included on page 11 of this section.

Responses: All letters received in response to a solicitation from the department for this review must be included in the candidate's file, whether favorable or not.

Redacted Letters of Reference: In the past, a few departments permitted candidates to read external letters from referees after identification of referees was suitably removed. **In the interest of uniformity and fairness, candidates should NOT be allowed to read letters of reference.**

Biographical Sketch: A **brief** biographical sketch of each referee should immediately precede the letter of reference with which it is associated. Be sure that the biographical sketch makes it clear why the referee was chosen.

Pagination Use V.,B., 2, EXTERNAL REFEREES, from PART IV of the forms packet, modified with appropriate pagination and duplicate as needed for each referee. At the bottom of the form, the individual nominating the referee should be identified, as well as the referee's relationship to the Candidate. The sequence of this section should run:

letter for soliciting evaluations;
detailed list of all materials sent to the reviewer (see above)
number of reviewer s solicited,
first referee's biography,
first referee's letter,
second referee's biography,
second referee's letter,
and so forth.

SAMPLE LETTER FOR EXTERNAL REFEREES

Dear Dr. _____:

The Promotion and Tenure Committee of the Department of _____ is preparing to consider Dr. _____ for promotion to the rank of _____ with indefinite tenure. To assist us in evaluating his/her work, we would very much like to have your appraisal of his/her scholarship.

Every effort will, of course, be made to maintain the confidentiality of your report. Dr. _____ will not see even an edited version of your letter. The members of the Promotion and Tenure Committee will have access to your letter, as will University Committees and administrative officers involved in the promotion process. I should add that in light of a Supreme Court decision (EEOC vs. University of Pennsylvania), such reports may be subject to involuntary disclosure in legal proceedings.

In your letter would you please,

- Compare the candidate with other faculty of roughly the same cohort.
- Comment on the quality of the candidate's scholarship.
- Comment on the volume of the candidate's scholarly activities relative to the standards in the field.
- Remark on the quality of the publishing outlets and the source of funding when such is not obvious.
- Estimate the impact of the candidate's scholarship on the appropriate field and indicate his/her standing in the field.
- Discuss the work in a critical fashion.
- Specify all relationships with the candidate, past or current, if any.

Please note that we do not ask you to make a recommendation regarding promotion itself, since that decision will be based partly on considerations such as teaching and service. Nor are we asking for a summary of the vitae. What we seek is a substantive evaluation of the scholarly component of Dr. _____'s qualifications for promotion to the rank of _____. However, if you are in a position to comment on his/her teaching or other pertinent aspects of his/her professional activities, please feel free to do so.

Since we are required to submit a biographical sketch of each referee, I would appreciate your sending me a recent *curriculum vitae*. The members of our institutional review committees represent diverse interests and this information is useful to them. Information of the sort needed is not always easy to acquire from standard sources. In addition, please remember to specify in your letter your past or current relationship with the candidate, if any.

I realize that requests of this kind impose a burden on people who have attained a position of leadership in their field, as you have, but we are very eager to have your evaluation and hope that you will be able to help us reach a decision. I am enclosing a copy of Dr. _____'s updated *curriculum vitae*. Please let me know at your earliest convenience whether you would be willing to prepare an evaluation, and I will send you copies of Dr. _____'s work, published or accepted for publication. We would need the report itself by (date).

We appreciate your help in this regard.

C. EVALUATION FROM DEPARTMENTAL COMMITTEE (OPTIONAL)

D. EVALUATION FROM DEPARTMENTAL EXECUTIVE OFFICER

This statement must be written by the executive officer of the originating Department or unit. **Even if a senior faculty member has been delegated as the paper-preparer, the executive officer must present his/ her own summary assessment and recommendation.** This summary assessment should include an evaluation of the Candidate's activities in the areas of teaching ability, research and scholarship, service activities, interdisciplinary efforts, and promise for the future, as well as a general assessment of the candidate's role within the framework of the department's mission and the goals of the campus. The executive officer may also explain the norms of the discipline, if that has not been done elsewhere in the papers.

The evaluation should address split votes at the Department level and should contain separate headings for the following:

Overall Assessment and Justification for Recommendation

Appraisal of Candidate s Teaching Record: Comment on the candidate's overall teaching ability, including the extent to which the candidate has matured in teaching effectiveness over the time period considered. This assessment should be justified in a statement indicating what formal appraisal system is used in the department, its nature, and how the candidate ranks with respect to department, college, or university norms.

Appraisal of Candidate s Contribution to Curriculum and Other Instructional Materials or Products: Assess the candidate's contributions to curriculum development. Specify the basis of the appraisal (e.g., indicate the receipt of such awards as a UIC curriculum development award or an award from an external body).

Appraisal of Candidate Contributions to Research including Candidate s Contributions (if any) to Collaborative Research: Assess the candidate s research and scholarship. When there has been significant collaborative work, please document the contributions of the candidate in co-authored publications and in co-PI funded research projects. It is important to include any details regarding collaborative projects (if any) that he or she may have with the candidate (See E. below).

Appraisal of Candidate s Service Record: Justify this assessment of the candidate with respect to Department, College or University norms and attach any supporting documents.

E. LETTERS FROM COLLABORATORS

These are optional and to be solicited by the executive officer. Letters from co-authors or co-PI s that help address collaborative research may be included in this section.

F. COLLEGE DEAN/UNIT DIRECTOR, REGIONAL DEAN (IF APPLICABLE)

These assessments should be written by the dean or director of the unit to which the originating unit reports. the Chair of the Campus P&T Committee, and by the Dean of the Graduate College, and finally the assessment of the Provost.

Section 8

VI. NEW INFORMATION:

It is possible that the candidate's record may improve significantly or that other information pertinent to a case may come to light during the course of the review. **If, in the judgement of the executive officer or other preparer of the promotion and tenure papers, new information could affect the outcome of the case, it should be submitted at any stage of the process by the preparer.** In the interest of time and consistency, the executive officer of the originating unit should formally transmit all such material directly to the level at which the case is currently under review, and to all intervening levels. Since information about grants awarded, publications accepted should have been foreshadowed in the papers with the modifiers such as "pending" or "under review," cases usually do not need to be reconsidered at prior stages. The office currently reviewing the case should incorporate this new material into the candidate's papers for submission to any further levels of review. **Ideally this new information could be incorporated into the body of the dossier before it leaves the College.** If this is not possible and if the information becomes available after the dossier has left the College, then it should be submitted as described below. The candidate's name should be typed in the upper right hand corner and the pages numbered in sequence after the last page of the completed dossier (e.g. if V.F in the table of contents ended on page 60, then new information should be numbered from 61). Ms. Michele Mancione (MicheleM@uic.edu) should be contacted for the requisite number of copies (3-7636).

Section 9

THESE SECTIONS WILL BE APPENDED IN THE OFFICE OF ACADEMIC AFFAIRS

- VII. The Chair of the Campus P and T committee and the Dean of the Graduate College will provide their assessment to the Vice Chancellor for Academic Affairs.
- VIII. The Vice Chancellor for Academic Affairs will provide the justification for his recommendation.