1. ***Guidelines from the CHES Promotion and Tenure Committee:***

The College of Human Environmental Sciences (CHES) uses *Digital Measures* as a platform for hosting and reviewing the dossiers of faculty candidates with research responsibilities who are seeking promotion and/or tenure (P&T) at The University of Alabama. For the purpose of this document, faculty members seeking to be promoted and/or tenured will be referred to as “candidates”.

The primary responsibility for preparing a promotion and/or tenure dossier rests with the faculty candidate, but the department chairperson will provide appropriate assistance upon request (please also see below: II. ***Guidelines from CHES Administrators about the Review Process and Digital Measures (DM)***). Following university protocols, completed dossiers for annual reviews should be submitted to the CHES administrators by the appropriate deadline. Listed below are the types of annual reviews required by The University of Alabama, along with the annual deadlines for submitting dossiers for each review, and the levels of review for each type.

***Table I.******Schedule for Types of Review, Submission Deadlines, and Review Levels***

|  |  |  |
| --- | --- | --- |
| **Type of Review** | **Submission Deadline** | **Review Levels** |
| 1st year Probationary Review | January 15th | Department Chair  College P&T Committee  Dean |
| 2nd year Probationary Review | September 1st | Department Chair  College P&T Committee  Dean |
| 3rd year Probationary Review | September 1st | Department Chair  College P&T Committee  Dean |
| 4th year Mandatory Retention Review | September 1st | Department Chair  College P&T Committee  Dean  Provost/VP for Academic Affairs |
| 5th year Probationary Review | September 1st | Department Chair  College P&T Committee  Dean |
| 6th year Mandatory Promotion and Tenure Review | September 1st | Department Chair  College P&T Committee  Dean  Provost/VP for Academic Affairs  President (makes final decision) |

The CHES Promotion and Tenure (P&T) committee follows the guidelines in the UA Faculty Handbook when reviewing dossiers. The P&T committee strongly encourages candidates to *carefully* read the University of Alabama’s Faculty Handbook paying particular attention to **Chapter 2** and the appropriate section(s) relevant for your review (i.e., promotion, awarding tenure, preparation of dossiers, etc.,) to be informed of the university policy regarding application for promotion and/or tenure. The link to the UA’s faculty handbook relevant to promotion and tenure can be located at: <http://facultyhandbook.ua.edu/chapter-2.html> However, since this link may change, candidates are encouraged to search the UA website using the keywords “Faculty Handbook” for the most recent version.

Prior to submission of the dossier for review, the P&T committee recommends that the candidate consider:

* Starting early.
* Seeking advice from tenured colleagues.
* Working with your chairperson prior to the deadline to determine adequacy of dossier materials.
* Confirming the accuracy of all materials prior to the deadline.

Please also review *II. Guidelines from CHES Administrators about the Review Process and Digital Measures (DM)* for additional information in preparing your dossier.

1. ***Guidelines from CHES Administrators about the Review Process and Digital Measures (DM):***

The CHES review of the dossier unfolds according to the sequence depicted below, with candidates having an opportunity to submit a written explanatory or rebuttal statement, if desired, after each review (i.e., 2, 3 and 4 on Table 2). The explanatory or rebuttal statement becomes part of the candidate’s dossier and will be reviewed and responded to in writing by the level reviewer before it goes to next review. Both the candidate’s statement and the level reviewers’ response(s) will be added to Digital Measures and become part of the candidate’s materials.

***Table 2. CHES Sequence for Probationary and Mandatory Reviews***

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| 1) Submission by Review Candidate | \* 2) Department Chairperson Review | | \* 3) CHES P&T Committee Review | | \* 4) Dean Review | |
|  | Candidate Rebuttal opportunity |  | Candidate Rebuttal  opportunity |  | Candidate Rebuttal opportunity |

**\*** Candidate is given opportunity to submit a written explanatory or rebuttal at these levels.

The candidate will submit the dossier for review by the appropriate deadline (see section **I.** ***Guidelines from the CHES Promotion and Tenure Committee - Table 1.)*** For 6th year reviews, also see below: ***III. Schedule, Templates and Information about External Reviews.***

**The Department Chair Review:**

The candidate’s department chairperson will review the dossier.

* The department chairperson may add any additional information that he or she considers to be relevant. In the event information is added, the department chairperson shall inform the candidate, and the candidate shall have the right to add explanatory or rebuttal material unless the additions are external letters of review that the candidate has waived the right to view.

The departmental chairperson will write an independent letter to the Dean discussing the candidate’s progress toward promotion and tenure and give the candidate a copy of the letter.

* The chairperson’s letter will be uploaded to Digital Measures no later than **September 30th** (second thru sixth year candidates) and **January 30th** (first year candidates). If the candidate submits a written explanatory or rebuttal statement to the Chair’s letter, the candidate’s written statement will be uploaded to their Digital Measures.

**The CHES Promotion & Tenure (P&T) Review:**

The CHES P&T committee will review the dossier, the department chairperson’s letter (along with any response from candidate and chair, if added), and any letters from external reviewers (sixth year candidates), if applicable.

* The P&T committee will view the candidate’s dossier and letters through Digital Measures. The time frame of this committee workload will occur between **October 1-December 1** (second thru sixth year candidates) and **February 15**-**April 1** (first year candidates).
* The P&T committee will write a letter to the Dean discussing the candidate’s progress towards tenure and/or promotion in the areas of research, teaching and service. The P&T letter will make recommendations to the Dean about the candidate’s appointment, including the committee members’ votes. A copy of the letter to the Dean will be sent to the candidate and the candidate’s chair. The letter will also be uploaded to the Digital Measures repository for each candidate.
* The CHES Promotion and Tenure committee’s letter will be uploaded to Digital Measures no later than **December 1**(second thru sixth year candidates) and **April 1** (first year candidates).
* Once the dossier is being reviewed by the CHES P&T committee, the committee asks that no additions or corrections be made to the dossier. However, after receiving the P&T letter, the candidate may make the P&T aware of additions to, or correction of, the dossier through the rebuttal process, if necessary. If the candidate submits a written explanatory or rebuttal statement in response to the P&T’s letter, the candidate’s written statement will be uploaded to his/her Digital Measures by the candidate. Candidates will have 10 days to provide the P&T committee with the explanatory material or rebuttal from the day of receiving the P&T letter. The CHES P&T committee will respond in writing to the candidate’s rebuttal and vote again on the candidate’s materials. Both the candidate’s rebuttal or explanatory statement and the P&T’s response to the candidate’s rebuttal or explanatory statement will be uploaded to Digital Measures.

**Dean Review**

The Dean will review the materials provided through Digital Measures, the department chairperson’s letter (along with any rebuttal and response from the chair), any letters from external reviewers (sixth year candidates), and the P&T committee’s letter (along with any rebuttal and response from the P&T committee ).

* The Dean will draft a letter of review for each candidate and upload this letter into their Digital Measures repository.
* The candidate will have the option of submitting a one page response to the Dean’s letter. This response letter would then need to be uploaded to their Digital Measures within 7 days of receiving the committee letter.

1. ***Original Letter of Appointment***
   * A copy of the original letter of appointment will be uploaded to each candidate’s Digital Measures repository by the Dean’s office.
2. ***Application for Promotion and Tenure Review***
   * Provide an application letter highlighting your contributions to teaching, research, and service, highlighting your strengths and accomplishments.
   * Limit the application letter to three, double-spaced pages or less. Upload the application letter to the Digital Measures workflow page.
   * List accomplishments since date of hire or promotion.
   * Highlight evidence that demonstrates progress toward, and supports your candidacy for, promotion and/or tenure in:
     + *Scholarship/Research*
       - Show evidence of the quality and quantity of productive research, grantsmanship, publication, scholarly achievement, and creative activity.
     + Show evidence of a strong, continuing record of productive research, publication, creative activity, and scholarly achievement appropriate to your field of specialization; this record must be sufficient in both quantity and quality to demonstrate substantial progress toward an outstanding level of performance.
     + *Teaching/Mentoring*
       - Show evidence of the quality and effectiveness of classroom instruction, student evaluations, and student mentoring.
     + **S***ervice*
       - Show evidence of responsible academic citizenship.
   * This file should be saved using the following format: file name\_faculty last name\_year

Example: Application\_Letter\_Smith\_2018

1. ***Review Letters***
   * The Dean’s office will upload copies of recommendation letters received in previous years for each candidate in their Digital Measures repository.
   * Letters to be uploaded will be uploaded from:
     + Department Chairperson
     + CHES Promotion and Tenure Committee
     + Dean
     + Academic Affairs (following the 4th year review)
   * For the sixth year review, letters submitted by three external reviewers will also be uploaded by the Dean’s office.
   * This file should be saved using the following format: file name\_faculty last name\_year
     + Example: Dean\_Letter\_Smith\_2017

***Digital Measures***

Each candidate has a unique Digital Measures profile. Access to this profile is available through “Digital Measures” link on the “Faculty” tab on *my*Bama: <https://mybama.ua.edu/cp/home/displaylogin>.

Candidates will complete entries for their P&T materials in the following sections of Digital Measures by the appropriate deadline. Entries must be accurate, including dates.

1. ***General Information***
   * Candidates should review and, where needed, correct the general information provided in their Digital Measures profile. In addition, candidates should complete, update, add, or delete entries to any of the sub-areas that might inform their candidacy, including:
     + Awards and Honors
     + Consulting
     + Graduate/Post-Graduate Training
     + Faculty Development Activities Attended
     + Licensures and Certifications
     + Media Appearances and Interviews
     + Professional Memberships
     + Work History
     + Goals
       - Be sure to indicate the type of goal as teaching, research, service, or administrative (where applicable)
2. ***Teaching/Mentoring***
   * Candidates should document the quality and effectiveness of their teaching/mentoring efforts in the following areas:
     + Academic Advising
     + Directed Student Learning (e.g. thesis, dissertations)
     + Mentoring
     + Non-credit Instruction Taught
     + Scheduling Teaching
     + Student Opinions of instruction
       - Closely review these entries for accuracy. If you find an error immediately communicate it to your department chairperson.
     + Teaching innovations and Curriculum Development
     + Learning Outcomes matrix
       - This is a separate document that needs to be uploaded for each course you teach. See *Learning Outcomes Matrix* table on page 9 of this document.
3. ***Scholarship/Research***
   * Candidates should document the quality and quantity of their scholarship/research efforts in the following areas:
     + Contracts, Fellowship, Grants and Sponsored Projects
       - Closely review these entries for accuracy. If you find an error immediately communicate it to your department chairperson.
     + Other Funded Projects
     + Exhibits and Performances
     + Intellectual Property (e.g. patents)
     + Presentations
     + Publications
       - Closely review these entries for accuracy. If you find an error immediately communicate it to your department chairperson.
       - Indicate all relevant information in the entry including: contribution type, publication status, whether the effort was peer-reviewed/refereed, an uploaded copy of the publication, and date submitted/accepted/published
     + Research Activity
4. ***Service***
   * Candidates should document their service efforts in the following areas:

* University
* Professional
* Public
* General Service Repository

**Learning Outcomes Matrix**

Seek advice from department chair OR departmental assessment coordinator as you complete this table for each course you teach.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Course** | **Student Learning Outcome** | **Assessment Measures** | **Performance Criteria** | **Results** | **Actions Taken** |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |
|  |  |  |  |  |  |

***III. Schedule, Templates and Information about External Reviews.***

March, week 1 The candidate notifies the Department chairs and the Dean

of his/her intent to apply for promotion/tenure.

March, week 3 Request for External Reviewers. Department chairs work

With candidates and faculty (tenure earning and tenured) to identify six to eight potential external reviewers for candidates’ tenure and/or promotion review. (Candidates should notify chairs and dean one year in advance of review of intent to request letters from external reviewers).

April, week 1 External Reviewers. Department chairs will solicit participation of external letters. External letters due to chairs

one month after solicitation, and no later than end of August.

September, week 1 Candidates submit completed Digital Measures.

September, week 2 Department chairs add any additional relevant materials to

dossier. Department chair submits recommendation letter via Digital Measures.

October, week 4 HES P&T Committee reviews materials of all tenure-track faculty and for those tenured faculty recommending promotion.

November, week 3 CHES P&T Committee will upload recommendation letters on Digital Measures with copies to candidates and their department

chairs. The P&T letters will notify candidates of decision vote

and recommendations.

January, week 2 First-year tenure-track faculty members submit materials

and upload documents to Digital Measures.

The process outlined below will be followed for all candidates who are to include external reviews in the dossier:

1. The Department Head will request from candidates for promotion and/or tenure a

list of 6-8 potential external reviewers who are recognized as experts in professional

areas of relevance to the candidate's evaluation. The Department Head will ask the

candidate why the reviewer is suggested (e.g., does the reviewer have published manuscripts in similar areas as the candidate?) The potential reviewers cannot be mentors, former teachers, colleagues or collaborators. In addition, the potential reviewers must be at an academic rank above the candidate’s current rank. For example, if the candidate is an Assistant Professor, then all reviewers must hold the rank of Associate or Full Professor. If a candidate is applying for promotion to full Professor, then the reviewers should all be full Professors. The candidate will specify the qualifications of the individuals recommended as well as the nature of the candidate's relationship, if any, with these individuals.

2. The Department Head will request from faculty in the Department a list of names

of individuals who can provide an evaluation of the candidate's record of scholarship.

The list should specify the qualifications of the individuals recommended. In addition, the Department Head will ask faculty in the department why the reviewer is suggested (e.g., does the reviewer have published manuscripts in similar areas as the candidate? Has the reviewer served on editorial boards? etc., ).

3. The Department Head will select two names submitted by the candidate and one name submitted by the faculty in the Department. The names of the individuals selected will be discussed with the candidate.

4. The Department Head will contact the potential reviewers by phone or email to determine their willingness to provide the reviews in a timely manner (see sample email). Subsequently, the Department Head will send a standardized letter prepared for use in soliciting external reviews (see sample letter).

5. Reviewers will receive the UA guidelines for Tenure and Promotion, reprints of three articles authored by the candidate, or creative activities, and the candidate’s curriculum vita. The reviewers will be asked to evaluate and comment on the candidate's scholarship/research. In some cases, if opinions on professional activities are important to the candidate's case, the reviewer may also be asked to comment on those pertinent activities. In no case will the reviewer be asked to provide a recommendation regarding the personnel action per se. Reviewers will be asked to submit letters of external review to the Chair within a month of receiving the request.

6. The Department Head will include a statement of personal and/or professional relationships between the candidate and the external peer reviewers ultimately selected and the reviewer's qualifications as an addendum to his/her letter to the tenure/promotion committee. The Department Head will also insert the three letters from the external reviewers into the dossier.

**TEMPLATE LETTER TO EXTERNAL REVIEWERS**

Draft 4/2/2018

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

Dr. ———, who is currently an assistant/associate professor in the Department of ——— in the College of ——— at The University of Alabama is being considered by this department for promotion to associate professor/promotion to associate professor with tenure/promotion to full professor/promotion to full professor with tenure. We would greatly appreciate your help in evaluating her/his scholarly achievements.

For faculty members seeking promotion to associate professor or full professor, our criteria for promotion and/or tenure require that the candidate present a record of research, publication, creative activity, and scholarly achievement appropriate to his/her discipline and fields of specialization; this record must be sufficient in both quantity and quality to demonstrate the potential for progress toward an outstanding level of performance.

Enclosed, along with the faculty member’s dossier, please find a copy of our college and university guidelines for tenure and promotion. In making your evaluation of the candidate's scholarship, please assess whether Dr. ———‘s research and professional contributions meet the standards outlined there. In addition, it will be particularly helpful if you would:

* State if the candidate is known personally to you and if so, how long and in what capacity,
* Evaluate the candidate in comparison to several other scholars who are at the same point in their careers and in the same field of study,
* Comment on the degree of recognition already achieved by Dr. ——— in her/his discipline, noting any distinctive contribution,
* Evaluate the scope and significance of the candidate's research interests and activities in terms of their importance,
* Assess the quality and visibility of the outlets in which Dr. ----- has presented her/his work,
* Evaluate the candidate's promise for further growth as a scholar,
* Provide any additional insights that may be helpful to the department and to the Promotion and Tenure Committee of the College of \_\_\_\_\_\_\_ in determining whether or not to recommend promotion/tenure.

There is no need to comment on the teaching aspects of Dr. ———‘s record as these will be addressed separately by other reviewers on campus.

The identity of an external reviewer will be kept confidential to the extent provided by the law of the State of Alabama. Efforts are made to limit review of external review letters to appropriate tenured faculty in the Department, the Department Chair, the Dean, the college-wide Tenure & Promotion committee members, and other appropriate university administrators. The candidate has waived the right to view the letter. We request that you not communicate with the candidate, or other members of the Department or the College, regarding your evaluation or the review process.

For your convenience, we enclose Dr. ———'s curriculum vitae, which includes a bibliography of her/his work and reprints and/or examples of some of the candidate's most recent work. We would appreciate receiving your evaluation at your earliest convenience, with a final deadline of ---------, since the review process requires that all materials be in hand early in the academic year.

You may return your letter (on your departmental letterhead) either electronically (using the secure link <<\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_>>) or in hard copy. Please also attach a copy of your own curriculum vitae, as this is also part of the formal record.

I am well aware that reviews of this kind require considerable effort, and appreciate your willingness to help us. If you have any questions, please don’t hesitate to contact me at [dept chair email address].

Sincerely,

[department chair]