

## THE DOSSIER

### (Guide for creating the notebook to support Promotion Decisions for Regular, Support, and Research Faculty and to support tenure Decisions for Regular Faculty)

8/3/2016

There are three types of faculty – regular faculty, support faculty, and research faculty (See Faculty Titles and Ranks Policy ACA.FG.100.006). Promotion in rank and tenure are approved by the Chancellor according to criteria set forth in the University’s policies and the departmental/unit guidelines. The Chancellor’s decisions are based upon the evaluations and recommendations of the faculty member’s chair, dean, the Graduate Dean or Vice Chancellor for Research and Sponsored Programs, and the Provost/Executive Vice Chancellor for Academic Affairs. For their evaluations and the Chancellor’s decision to be based on sound evidence, a dossier documenting the case for or against tenure and/or promotion must be compiled.

The process for **promotion** begins with a request from the candidate. When the candidate submits a request for promotion, the chair should provide the candidate with departmental deadlines for the various stages in the promotion process. Forms for promotion, instructions on preparing the promotion dossier, and University deadlines will be available in the office of the Provost/Executive Vice Chancellor for Academic Affairs. The faculty member is responsible for providing the materials in the Application Section of the Dossier. Before applying for promotion, the candidate should read the section on academic promotion in the Online Policy Directory ([www.olemiss.edu/policy](http://www.olemiss.edu/policy)).

The year in which a faculty member is considered for **tenure** is determined by the timeline established at the time of hire. The faculty member is responsible for providing the materials in the Application Section of the Dossier. The chair shall ensure that the candidate has a copy of this document. The chair shall set a timetable for the submission of the various parts of the Application Section, so that the information is available to the tenured faculty prior to their meeting to discuss the candidate. The Dossier shall become a permanent part of the tenure record and will accompany the official University Faculty Tenure Report forms.

In addition to the Application Section and the recommendations forms of the various academic officers, the Dossier will consist of at least the lettered/numbered items listed below. *If an item is inappropriate and no entry is made, its letter and number should appear followed by “none” or “not appropriate” or some other explanatory remark.*

Candidates applying for both tenure and promotion should submit only **one** dossier. It should be noted, however, that the schedules for tenure and promotion are somewhat different at certain stages. (The sections numbers I – XII correspond with the tabs in the notebook.)

#### **I. APPLICATION** (*Provided by the Candidate – Formerly the “A-K Document”*)

- A. Candidate’s Request to be Considered for Promotion ONLY** (*Note that a candidate’s request to be considered for promotion is NOT required when the candidate is also being considered for tenure.*) **OR**  
**Chair’s Notification to Candidate being considered for Tenure** (*with or without promotion*)

## **B. Employment Record**

1. Service with the University. (Give date and rank of original employment with a record of subsequent promotions or other change of status if any.)
2. Previous full-time academic employment. (Give institutions and dates.)
3. Other employment or activity considered as contributing to academic competence.

## **C. Academic Record**

1. Degrees completed. (Give granting institutions and dates.)
2. Prospective additional degrees. (Give granting institution, anticipated date, and requirements still to be met.)
3. Other pertinent academic work.

## **D. Teaching Record**

1. Course load. (List, by semesters, courses taught at the University of Mississippi. For faculty at the University less than two years, also list courses taught at other institutions in the last two years. For each course, provide course designation, enrollment, contact hours, lecture and/or laboratory schedule.)  
*HINT: You can print teaching information in a table through the Faculty Activity Report system for a range of years. Under your Faculty tab in MyOleMiss, click "Faculty Activity" then "Create Custom Faculty Activity Report." You can select the start and end dates. If you applying for full professor, then you would only need to include the courses taught at UM for the last 5-6 years.*
2. Dissertations and theses directed. (Give number of doctoral dissertations and masters theses directed to completion.)
3. Director of dissertations and theses in progress. (Give number of dissertations and theses currently under active direction.)
4. Other pertinent teaching activity.

**FOR SUPPORT FACULTY:** In addition to the items above, provide the following in Appendix A: Teaching

- a) Course Syllabi (Place a copy of the most recent syllabus for each course taught in Appendix A: Teaching.)
- b) Course student evaluations. (Provide the "Condensed Summary" for each course evaluation in Appendix A: Teaching.)
- c) Exams, paper assignments, and other class exercises. (Include representative samples for each recent class in Appendix A: Teaching.)

- d) Other evidence of teaching effectiveness and professional development. (Include any additional evidence in Appendix A: Teaching.)
- e) Reflective Statement. (Include a reflective statement in Appendix A: Teaching. This brief statement should indicate efforts to improve teaching and professional currency. It should not exceed 2 pages.)

## **E. Publication**

1. Printed publications. (List publications in bibliographical form, exclusive of minor reviews. Please include copies of publications and creative activity in Appendix B: Research.)
2. Pending publications. (List materials accepted for publication or submitted in presumed final form for publication, giving details.)
3. List other pertinent publication information. (Do not include material to be shown below under “Grants”.)

## **F. Performances, Exhibitions, and Compositions**

1. Performances, recitals, and concerts. (List title, part, location, date, and sponsor.)
2. Compositions. (Give composer, title and type, performance data, and publication data.)
3. Productions. (List role, nature of production, location, and sponsor.)
4. Exhibitions. (Indicate time, place, jurors, whether one-person exhibit, etc.)
5. Commissioned works.
6. Other pertinent information about performances or exhibitions.

## **G. Grants**

1. Grants approved. (List training, research, or other grants of outside funds obtained on the basis of proposals prepared entirely or largely by individual concerned. Give type of grant, collaborators, dates, amount awarded, granting agency.)
2. Grant proposals pending. (List pending grant proposals so prepared.)
3. Grants submitted and denied. (List grants that have been submitted and not funded or awarded.)

4. Other pertinent grant information.

## **H. Professional Activities**

1. Membership in professional organizations. (List current memberships.)
2. Offices held. (State, regional, national, or international offices held in professional organizations.)
3. Papers presented. (List papers read to or reports prepared for professional organizations.)
4. Additional pertinent information regarding professional activities.

## **I. Service**

1. Routine (but important) service to the University. (Include serving on and chairing standing and special committees, serving on the Senate of the Faculty, developing departmental or school programs, etc.)
2. Non-routine service to the University. (List items such as playing a major role in large projects of University development, furnishing continuing leadership to student and/or faculty organizations, serving as a major adviser in continuing academic counseling programs, working with academic recruitment programs, or taking part in other activities which enhance the excellence of the University or the quality of life of students and faculty, etc.)
3. Service which makes the facilities and the expertise of the University available to the larger society of which it is a part. (Such service may be formally organized through the Division of Continuing Education, or through research and service bureaus; or it may be less formally provided for through departmental or school programs which require participation in providing various learning experiences in nontraditional formats.)
4. Service to one's discipline. (Service with accreditation teams or other evaluation committees; editorial service with scholarly journals; and service on panels which evaluate research proposals for federal grants. Such service should be on a scale that brings significant recognition to the individual and the institution.)

## **J. Honors**

1. Organization membership. (List memberships in scholarly or other honorary organizations.)
2. Other honors.

## **K. Additional Information**

Supply additional information that should be considered in evaluating qualifications for promotion.

## **II. DEPARTMENTAL/UNIT GUIDELINES** *(To be provided by chair or unit director)*

## **III. ANNUAL PERFORMANCE EVALUATIONS** *(To be provided by the chair or unit director)*

## **IV. OBJECTIVE ASSESSMENT** *(To be provided by chair or unit director)* **EXTERNAL EVALUATIONS (All Regular Faculty and Applicable Research Faculty) or** **TEACHING PERFORMANCE EVALUATION (Support Faculty)**

**For Regular Faculty**, the external evaluations are provided in this section. The department chair is responsible for obtaining external evaluators, in accordance with the process given in the departmental guidelines, the university's policy on External Letters of Evaluation for Promotion and Tenure, and other university guidelines. A sample letter requesting external evaluation, which may be adapted to the program involved, is attached.

In the Dossier, the chair should preface each letter of evaluation with a few sentences identifying the evaluator and giving his or her relationship with the candidate, provide a copy of the letter sent to the evaluator requesting his/her evaluation, and this should be followed by the evaluation. After all of the evaluations, the chair should include a single copy of the CV that was provided to the external reviewers and any supporting documentation that was sent.

**For Research Faculty**, the external evaluations, if required, are provided in this section. The department chair or research unit director is responsible for obtaining external evaluators in accordance with departmental/unit guidelines, the university's policy on External Letters of Evaluation for Promotion and Tenure, and other university guidelines.

**For Support Faculty**, if required, a second method of teaching evaluation is provided in this section. Describe the second method of evaluation used by your department and the results of that second method of evaluation.

## **V. DEPARTMENT/UNIT MEETING**

Documentation of the Departmental or Unit meeting is provided in this section.

## **VI. DEPARTMENT/UNIT RECOMMENDATION**

The chair's or director's recommendation is provided in this section.

## **VII. DEAN'S ADVISORY COUNCIL RECOMMENDATION**

If the school/college has a dean's advisory council the documentation and recommendation from that council should be provided in this section.

## **VIII. DEAN'S/DIRECTOR'S RECOMMENDATION**

The dean's or director's recommendation is provided in this section.

## **IX. SECONDARY ADMINISTRATIVE RECOMMENDATION**

**For Regular Faculty:** Graduate Dean Recommendation

**For Research Faculty:** Vice Chancellor for Research and Sponsored Programs Recommendation

**For Support Faculty:** Currently no secondary recommendation

## **X. PROMOTION AND TENURE REVIEW COMMITTEE ASSESSMENT**

The assessment and information from the Promotion and Tenure Review Committee is provided in this section.

## **XI. PROVOST PROCESSES**

- 1. Required Meetings**
- 2. Provost Recommendation**
- 3. Written Reasons (if requested)**
- 4. Request for Appeal (if requested)**

## **XII. CHANCELLOR'S RECOMMENDATION**

**REQUEST FOR EXTERNAL EVALUATION  
SAMPLE LETTER  
PROMOTION**

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

[NAME OF CANDIDATE] is being considered for promotion (and tenure) to the rank of \_\_\_\_\_ . As part of our assessment of him/her, we would appreciate your evaluation of his/her achievement and future promise as a scholar. Comparisons with others in the field and comments on [NAME]'s prospect for continued success would be particularly helpful.

We very much hope that you are willing to provide us with a letter of evaluation. We would need such a letter by [DATE]. Your letter would be a part of the official promotion dossier, but, by University policy, the contents of your letter will not be disclosed to the **candidate**.

In hopes that you will be able to respond positively to our request, I am enclosing [NAME]'s **curriculum vitae** and some supporting materials.

Sincerely,

## Routing of the Dossier

### A. Tenure of Regular Faculty member, with or without accompanying promotion application

Step	Deadline	Date Completed	Signature of Responsible Individual
HR/Chair's notification to candidate that he/she is being considered for tenure (with or without promotion)	7/01		<i>Chair</i>
Faculty member's submission of dossier to department chair	09/01		Faculty Member
Department meeting	11/21		<i>Chair</i>
Department chair's recommendation to Dean	11/21		<i>Chair</i>
Dean's Advisory Panel submits recommendation to Dean (If no Panel in school/college, insert N/A.)	12/3		<i>AP Chair</i>
Dean's recommendation to Graduate Dean	12/10		<i>Dean</i>
Graduate Dean's recommendation to Provost/EVCAA	01/15		<i>G Dean</i>
Campus Tenure Review Committee to Provost/Executive Vice Chancellor for Academic Affairs	2/13		<i>Review Committee Member</i>
Provost's recommendation to Chancellor	03/20		<i>Provost</i>
Chancellor's final action	03/31		<i>Chancellor</i>

### B. Promotion of Regular Faculty member, except when simultaneously reviewed for tenure

Step	Deadline	Date Completed	Signature of Responsible Individual
Candidate's request to be considered for promotion submitted to chair	07/01		<i>Faculty Member</i>
Faculty member's submission of dossier to department chair	09/01		<i>Faculty Member</i>
Department meeting	11/21		<i>Chair</i>
Department chair's recommendation to Dean	11/21		<i>Chair</i>
Dean's Advisory Panel submits recommendation to Dean (If no Panel in school/college, insert N/A.)	12/10		<i>AP Chair</i>
Dean's recommendation to Graduate Dean	01/03		<i>Dean</i>
Graduate Dean's recommendation to Provost/EVCAA	01/15		<i>G Dean</i>
Campus Tenure Review Committee to Provost/Executive Vice Chancellor for Academic Affairs	2/13		<i>Review Committee Member</i>
Provost/EVCAA's recommendation to Chancellor	03/20		<i>Provost</i>
Chancellor's final action	03/31		<i>Chancellor</i>



**C. Promotion of Support Faculty member, including Instructional, Clinical, of Practice faculty**

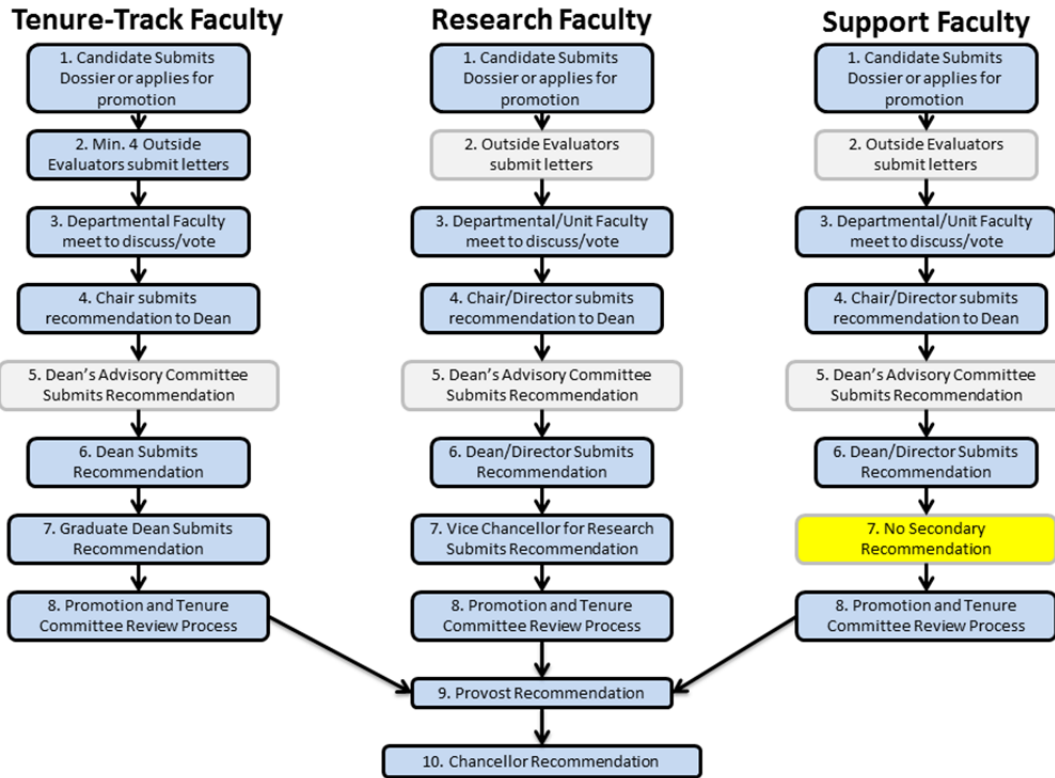
<b>Step</b>	<b>Deadline</b>	<b>Date Completed</b>	<b>Signature of Responsible Individual</b>
Candidate's request to be considered for promotion submitted to chair	07/01		<i>Candidate</i>
Candidate's submission of dossier to department chair or unit head	09/01		<i>Candidate</i>
Department (or unit) meeting	11/21		<i>Chair</i>
Department chair's (or unit director's) recommendation to Dean	11/21		<i>Chair</i>
Dean's Advisory Panel submits recommendation to Dean (If no Panel in school/college, insert N/A.)	12/10		<i>AP Chair</i>
Dean's recommendation to Provost/EVCAA	01/03		<i>Dean</i>
Campus Tenure Review Committee to Provost/Executive Vice Chancellor for Academic Affairs	2/13		<i>Review Committee Member</i>
Provost/EVCAA's recommendation to Chancellor	03/20		<i>Provost</i>
Chancellor's final action	03/31		<i>Chancellor</i>

**D. Promotion of Research Faculty member**

<b>Step</b>	<b>Deadline</b>	<b>Date Completed</b>	<b>Signature of Responsible Individual</b>
Candidate's notification to department/unit supervisor of desire to be promoted	10/01		<i>Candidate</i>
Candidate's submission of dossier to department chair or unit head	10/01		<i>Candidate</i>
Department (or unit) chair's (or director's) recommendation to appropriate Dean	12/01		<i>Chair/Director</i>
Dean's Advisory Panel submits recommendation to Dean (If no Panel in school/college, insert N/A.)	12/10		<i>AP Chair</i>
Dean's recommendation to VC for Research	01/03		<i>Dean</i>
VC for Research's recommendation to Provost/EVCAA	01/15		<i>VC Research</i>
Campus Tenure Review Committee to Provost/Executive Vice Chancellor for Academic Affairs	2/13		<i>Review Committee Member</i>
Provost/EVCAA's recommendation to Chancellor	03/20		<i>Provost</i>
Chancellor's final action	03/31		<i>Chancellor</i>

A complete timetable for tenure and promotion decisions is available upon request.

## Tenure and Promotion Flow Chart



Grey Box = Step not present in all cases or schools