

## **Best Practices for Preparing Preliminary Review**

### College of Engineering

#### **General Package Preparation**

Department chairs and/or faculty mentors should mentor faculty on the preparation of their dossier to ensure that a professional package is presented. Proper grammar, spelling, and formatting are important aspects of professional documentation.

Avoid abstentions in the faculty votes. Faculty members are expected to evaluate the case(s) and vote to provide recommendation on the important matter of faculty advancement. Work diligently to have full faculty turnout at the meeting when case(s) are discussed and voted upon.

The college deadline for submission is a hard annual deadline. Departmental deadlines should be set and communicated in advance as to meet the college's established deadline.

Dossiers must be submitted electronically to the college via the Cybox folder that is specifically designated for your department on or before the college's deadline.

Each dossier must be uploaded in a single PDF format with appropriate bookmarks as outlined in the Guidelines for Preliminary Review for Tenure-Eligible Faculty document. Name each file as follows:  
LAST\_FIRST\_PRELIM2016

In the case of a joint appointment, the Chair of the primary department should obtain a memo (included in the dossier) with feedback and advice from the Chair of the secondary department (Faculty Handbook, 5.1.1.6) to inform the primary department's review and decision.

#### **Cover Sheet**

To facilitate the movement of the candidate's third year review package from the department through the college and on to the Provost Office, use the fillable PDF preliminary review cover sheet located on the college's human resources website.

When conveying votes on the cover sheet, complete all fields and include the following breakdown:

# total present, # yes, # no, # abstain, # absent, # on leave

It is important for the record to be clear and accurate. Absent is defined as actively employed but not physically, telephonically, or electronically able to cast a vote. On leave is defined as an approved FPDA, FMLA, FMDA, FTG, or LWOP.

#### **Candidate's PRS and CV**

An updated PRS that indicates clear percentage splits for responsibilities should always be included.

The faculty member should prepare a self-assessment narrative that is to be included with the dossier.

Both the faculty CV and self-assessment narrative should be formatted using the college's standard template used for promotion and tenure located on the college's human resources website.

### **Departmental Review Committee Memo to the Department Chair**

The memo prepared by the departmental promotion and tenure committee or other appointed review committee should be addressed to the Department Chair and not the Dean. The committee's recommendation is advisory to the Chair and not advisory to the Dean.

The departmental committee's memo to the Chair should include the name of the committee chair and the names of the faculty members that served on the committee. It is recommended to obtain a signature from each member of the committee to indicate review and acceptance of the memo being submitted on the committee's behalf.

### **Department Chair Memo to the Candidate**

The Chair's memo to the candidate (template located on the college's human resources website) should provide clear and constructive feedback about their accomplishments and effectiveness in areas of position responsibility, expectations toward meeting the standard for subsequent promotion and tenure, and identify areas where performance improvement is needed.

When there are concerns, the Chair's memo should point out, discuss, and analyze any weaknesses in the case and any aspects of the process that are unusual or of concern. It is best to put these comments up front and deal with them directly, openly, and clearly. Where there are concerns, the Chair's memo should describe feedback given to the candidate through the written annual reviews, mentoring interventions, and/or other means. When substantial concerns are present, the memo should set forth a plan including goals and scheduled follow-up meetings over an appropriate period of time with the Chair and/or faculty mentor.

The Chair's memo to the candidate must clearly include one of the four reappointment recommendation statements written as follows:

1. Reappointment with no reservation
2. Reappointment with no strong reservation, but with specific issue that need to be addressed
3. Reappointment with reservation and specific steps to be taken (may entail a one or two year renewal with an additional review scheduled before the mandatory tenure review)
4. Non-reappointment with specific reasons

**NOTE:** A negative decision (non-reappointment) must be communicated to the faculty member by the Chair after consultation with the Dean no later than May 15<sup>th</sup>.

The Chair's memo to the candidate should be labeled 'draft' and distributed to the candidate only after the Dean has reviewed it in consultation with the department chair. This is to ensure that the review results and any pertinent recommendations are clearly communicated to the faculty member.

The Dean will evaluate each case, provide the Chair with feedback regarding the case, and inform the Chair of the final decision. The Chair will modify the draft feedback memo as needed, and only at that time, distribute the memo to the candidate.

### **Department Chair Memo to the Dean (NOT REQUIRED as of AY18)**

The Chair's memo to the Dean (template located on the college's human resources website) is optional and can be included in the dossier to explain the reasons for the Chair's recommendation. The memo should not just be review of the process, recitation of the CV, or a statement endorsing the departmental committee's recommendation but rather it is essential that this memo is analytical and evaluative in tone.

The Chair's memo to the Dean must clearly include one of the four reappointment recommendation statements written as follows:

1. Reappointment with no reservation
2. Reappointment with no strong reservation, but with specific issue that need to be addressed
3. Reappointment with reservation and specific steps to be taken (may entail a one or two year renewal with an additional review scheduled before the mandatory tenure review)
4. Non-reappointment with specific reasons

### **Dean's Memo to the Candidate**

The Dean will provide the candidate with a separate memo informing him/her of the final decision. The Chair will be carbon copied on the memo. This memo should be kept in two places 1) with the candidate's dossier materials and 2) in the candidate's personnel file.

### **Final Details for Letter of Intent**

New letters of intent should not be prepared until after the process is complete (July). When generating the new LOI, use the most current template. Indicate 'renewal of appointment' and include the original date of the tenure eligible appointment. Do not include a date in the field titled 'appointment will begin on'. Indicate 'it is a probationary appointment'. Do not indicate annual salary but rather leave this field blank.