

# **University of Miami**

## **Promotion and Tenure Guidebook**

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## Preface

There are some process-related questions that come up each year which are addressed briefly here. If you find you have a question not addressed within this document, please refer to the Office of Faculty Affairs at (305) 284-3386, or to Executive Vice Provost David Birnbach at (305) 284-2002.

**External review letters.** All actions for promotion and tenure require a minimum of five (5) letters of external review. Any reviewer writing in support of a tenure case should be tenured themselves, and hold a rank greater than or equal to the rank being proposed for the candidate at peer universities or well-recognized research institutions. Prospective reviewers who are known to have a personal relationship, or any academic collaboration with the candidate (e.g., coauthors, thesis advisors, mentors) may be solicited, but their submissions would not count toward the required minimum of five letters. (*Faculty Manual C13.5(a)(ii)*)

**Faculty discussion summaries.** For Annual Reviews, each candidate is entitled to receive a copy of the summary of faculty discussion of their case (after such summary has been circulated among the faculty to ensure it is a complete and accurate portrayal of the discussion), as well as a copy of the statement of the Chair's own views. For Special Reviews, each candidate should be promptly informed by the Chair of the relevant recommendations of the faculty and of the Chair in their case. In order to maintain confidentiality, explicit references to numerical results of departmental and/or school voting must not appear in summaries, nor be given to the candidate. (*Faculty Manual C13.4; C13.5(b)(v)*).

**Voting eligibility.** For tenure voting, eligible voting faculty are all those in the department (or school, in the case of a non-departmentalized school) who hold tenure. (*Faculty Manual C10.2(d)*). For promotion votes, eligible voting faculty are all tenured faculty in the department (or school, in the case of a non-departmentalized school) superior in rank to the candidate's present rank. (*Faculty Manual C10.2(d)*). Additionally, Schools may extend certain voting rights (e.g., for reappointment or promotion) to non-tenure-track faculty in accordance with *Faculty Manual A3.1*.

**Faculty Track-transfers.** Regular Faculty in the probationary period may request transfer to the non-tenure-tracks of Research, Educator or Librarian Faculty, when available. Such requests must be made before the date that the Department convenes to vote during the final Special Review for tenure. Members of the Regular Faculty who transfer to a non-tenure-track position may not subsequently be appointed to the Regular Faculty except as a tenured full Professor (*Faculty Manual C4.3(b-c)*).

## **Promotion, Tenure and Reappointment/Assessment of Progress Toward Tenure Check-Lists**

### **Promotion and/or Tenure Reviews**

- Completed Form DF-15 (revised 7/10)
- Teaching Evaluation Form
- Memorandum and Recommendation from the Dean
- Memorandum and Recommendation from the Chair
- Chair's written summary of the recommendation of the voting faculty
- School/Department Review Committee report (if applicable)
- Candidate's response to School/Department Review Committee report (if applicable)
- Candidate's written career assessment (if submitted)
- Curriculum Vitae
- Minimum of 5 letters from arms-length external reviewers [required]
- Completed Biosketch Cover Page attached to each external letter
- Copy of the letter template used to solicit letters from arms-length external reviewers
- Completed Scholarly Material Review Certification Form
- DF-15 forms from prior years (include all years for tenure-earning faculty; prior 5 years for non-tenure-earning faculty; omit for tenured faculty)

### **Reappointment / Assessment of Progress Toward Tenure Reviews**

- Completed Form DF-15 (revised 7/10)
- Teaching Evaluation Form
- Memorandum and Recommendation from the Chair
- Chair's written summary of the recommendation of the voting faculty
- Candidate's written career assessment (if submitted)
- Curriculum Vitae
- DF-15 forms from prior years (include all years for tenure-earning faculty; prior 5 years for any non-tenure-earning cases where recommendation is for non-reappointment)

## Mid-Point Review Check-List

### Mid-Point Reviews

- Completed Form DF-15 (revised 7/10)
- Teaching Evaluation Form
- Memorandum and Recommendation from the Dean
- Memorandum and Recommendation from the Chair
- Chair's written summary of the recommendation of the voting faculty
- School/Department Review Committee report (if applicable)
- Candidate's response to School/Department Review Committee report (if applicable)
- Candidate's written career assessment (if submitted)
- Curriculum Vitae
- Minimum of 5 letters from arms-length external reviewers (if applicable based on individual school/college policies)
- Completed Biosketch Cover Page attached to each external letter (if external letters are submitted)
- Copy of the letter used to solicit letters from arms-length external reviewers
- Completed Scholarly Material Review Certification Form
- DF-15 forms from prior years

## PROMOTION AND TENURE CALENDAR

### August - October (subject to change at Dean's discretion)

Departments vote on reappointment, promotion and tenure. Chairs prepare recommendations and comments.

### October - November

School Committees and Deans conduct their reviews, and shall provide a list of cases that will be submitted to Faculty Affairs in December.

### **First Friday of December**

All material for promotion and tenure reviews must be submitted to the Office of Faculty Affairs (140 Ashe Building) so that material may be prepared for the Academic Personnel Board. The full electronic file and one hard copy are requested. Please do not include bound books or binders.

### January - February

Academic Personnel Board reviews each case, consulting with Deans and/or Chairs where necessary.

### February - March

Provost and President complete recommendations concerning promotion and tenure.

### **First Friday of April**

All material for reappointments and mid-point/special review for three-year extension of appointment for tenure-earning faculty must be submitted to the Office of Faculty Affairs. The full electronic file and one hard copy are requested. Please do not include bound books or binders.

### **April (anticipated)**

Academic Affairs Committee of the Board of Trustees considers tenure recommendations.

The Board of Trustees meets to consider decisions on tenure.

Provost announces promotion and tenure awards.

## **PROCEDURES FOR FACULTY REVIEW: REAPPOINTMENT, PROMOTION, AND TENURE**

The following summary of faculty review procedures is designed to assist you in meeting the University requirements for reappointment, promotion and tenure. They are described in the order in which they occur, with references to the Faculty Manual concerning tenure and promotion contained in brackets following each procedure. At the outset of the review process, all faculty members should be thoroughly familiar with the “Scholarly and Professional Qualifications of the Faculty” [*Faculty Manual C9*] in the Faculty Manual. The University procedures that culminate in a decision regarding reappointment, promotion and tenure are outlined in the *Faculty Manual Section C13*.

### **The Duties of the Chair (Dean of a Non-departmentalized School)**

#### **Ongoing preparation for the process**

Ensure that each faculty member is informed at the time of initial appointment by the Chair or Dean **in writing** of the substantive standards and procedures generally employed by the **University, the school/college, and the department/division** in decisions affecting renewal and tenure. [*Faculty Manual C7.3 and C13.1*]

Remind each faculty member of his/her responsibility for maintaining an updated curriculum vitae for the department’s personnel file. Please note there is a template of the official curriculum vitae format attached in the appendices. **Further, please remind each faculty member to carefully review their CV to ensure it is accurate and that service positions and publications are up-to-date and categorized correctly.** [*Faculty Manual C13.3 and A14.4*]

#### **Three Months Prior to Voting on Candidates**

Inform probationary faculty members who must be reviewed about the procedures for evaluation.

Any member of the faculty below the rank of Professor shall, upon written request, be considered for promotion. [*Faculty Manual A14.3*]

Inform all candidates to be considered of their obligation to provide in a timely fashion a current curriculum vitae, copies of publications, and any other relevant information for the department files. Verify status of any items described as “In Press” or “Accepted for Publication”; ensure that listing of the authors on articles accurately reflects the appropriate precedence of authorship (identify primary author in accordance with disciplinary conventions); and that the Principal Investigator is identified on all grants listed. Catalogue

work should be part of general productivity. All candidates for tenure and promotion are strongly encouraged to use the standard UM format for their Curriculum Vitae. A copy of the standard form is attached in the appendices.

Request written evaluations from at least **five** scholars who have reviewed the work of the candidate. [Individual schools and colleges may require more than five letters be submitted—please refer to your school/college’s promotion and tenure guidelines.] The solicitation letter should request the reviewer to comment on the scholarly contribution of the candidate to his or her field. Reviewers must not have any personal relationship to the candidate, and any professional relationship should be at **arm’s-length** with the candidate (meaning they have no prior or ongoing academic collaboration) and recognized experts in the field of scholarly activity. Additionally, the reviewers should hold positions of comparable or higher rank to that which the candidate aspires at peer universities or well-recognized research institutions. Additional letters from individuals not meeting this criterion (such as collaborators or former mentors) are permitted, but do not satisfy the requirement of the five required letters of evaluation. The candidate may submit a memorandum for inclusion in the file identifying persons who are thought to be unsuitable external reviewers and the reasons for that judgment, but the candidate may not exclude specific external reviewers [*Faculty Manual C13.5(a)(ii)*]. The letter of request should be prepared with the approval of the eligible voting faculty of the school or department, and the text should be shown to candidates and included in the candidate’s file. Solicitation letters should not hint or suggest how the candidates are perceived by the department or Chair. A brief biographical sketch of each outside reviewer, including the source recommending the reviewer and a description of the relationship to the candidate, if applicable, must be appended to the respective letter as a cover page in the candidate’s file. Please do not attach the reviewer’s curriculum vitae (a cover page template is attached in the appendices).

For a faculty member who holds a joint appointment, the chair of his/her primary department shall initiate action to provide for parallel recommendations by the faculty member’s secondary department(s), collect the recommendations and transmit them with the file. [*Faculty Manual C4.4*]

Determine those departmental faculty members eligible to vote on each candidate(s). In cases where there are fewer than five faculty members eligible to vote on a candidate, an Ad Hoc Review Committee of **five members** must be appointed by the Dean. This committee will consist of all departmental faculty eligible to vote and provided for in the School’s by-laws and will be augmented by faculty members from cognate disciplines within the University whose research and scholarly activities will enable them to help in evaluating the candidate. The total number of members on the committee will add up to five members. The department Chair shall not be included as one of the five members of this committee; however, the Chair may sit in on the committee’s meetings. The Chair’s recommendation is submitted separately as described below. The votes of this committee will replace the vote

of the faculty reported on the (revised 7/10) DF-15 [*Faculty Manual C13.5(b)(ii)*]. Where possible, the same Ad Hoc Review Committee should be utilized for a candidate every year throughout the probationary period and tenure review.

### One Month Prior to Voting on Candidates

Encourage candidates to include a written career assessment as part of their file. [*Faculty Manual C13.5(a)(iii)*]

Complete a “Teaching Evaluation” form (a sample teaching evaluation form is provided in the appendices). The “Teaching Evaluation” form should be completed for each faculty member being reviewed for reappointment/progress toward tenure, promotion and tenure. The assessment of teaching performance should be based on the results of formal student evaluations and, for tenure actions and/or promotions to associate professor or professor, the file shall include an assessment of classroom teaching made by the appropriate voting faculty. The method of student evaluation should be described and the results interpreted, but, do not include raw data or copies of evaluation forms completed by students. A clear and understandable summary of the results of formal student evaluations should be included (\* See below). The faculty of each college and school should develop procedures governing the peer review and classroom visitations by faculty who are evaluating the teaching of non-tenured members [Faculty Manual C13.5(a)(i)].

For those schools and colleges that have used the six-question questionnaire, you should summarize the information in numerical form in more detail than a single number. A summary of breakdown by question and by percentage is more appropriate. For example:

- Q1. My overall evaluation of the instructor is positive.
- Q2. I would recommend this instructor to a friend.
- Q3. The instructor presents course material effectively.
- Q4. The instructor stimulates interest in the course.
- Q5. The instructor is available and willing to meet with students.
- Q6. Exams and assignments reflect the goals and objectives of the course.

Students responded to each of the items using a five-point scale:  
Strongly Agree (SA); Agree (A); Neutral (N); Disagree (D); Strongly Disagree (SD)

SA/A = The percentage responding “strongly agree” or “agree”

SD/D = The percentage responding “strongly disagree” or “disagree”

|      | <u>Q1</u> | <u>Q2</u> | <u>Q3</u> | <u>Q4</u> | <u>Q5</u> | <u>Q6</u> |
|------|-----------|-----------|-----------|-----------|-----------|-----------|
| SA/A | %         | %         | %         | %         | %         | %         |
| SD/D | %         | %         | %         | %         | %         | %         |

*Note that the percentages do not include “neutral” responses and thus may not total 100%.*

Make appropriate arrangements to facilitate the review of each candidate’s scholarly publications, curriculum vitae, external letters, teaching evaluations and other relevant

material by the eligible voting faculty and inform the voting faculty of these arrangements.

Certify that the scholarly publications and other relevant materials have been carefully read and reviewed by one or more tenured faculty members. Ordinarily the Chair would be among the reviewers. In the case of faculty members in disciplines where these scholarly activities do not involve written material (for example, Art), certify that this material has been examined directly by an appropriate number of faculty members. This form should be completed for each candidate being reviewed for promotion and/or tenure. (A scholarly material review certification form is attached and should list the publications reviewed. If work has been accepted for publication, but not in print, documents supporting acceptance should be attached.)

Provide written notice of the departmental meeting to all eligible faculty. The announcement should be distributed well in advance of the meeting and should include an agenda and the names of all candidates under consideration [Faculty Manual C13.5(b)(iv)].

Inform eligible faculty voters unable to attend the meeting of their right to submit absentee ballots. Absentee ballots must be submitted before the departmental meeting to consider each candidate if they are to be counted [Faculty Manual C13.5(b)(iv)].

### **At the Time of Voting**

Check that only eligible faculty voters are present as each new candidate is considered [Faculty Manual A3; C10.3(a-b) and C13.5(b)(iv)].

Provide the voting faculty with the opportunity to systematically examine each candidate's file and to deliberate on each case before a vote is taken [Faculty Manual C13.5(b)(iv)].

Ask each voter to vote by secret ballot, and if abstaining, to explain the reasons for abstention (a newly-revised sample ballot form is provided in the appendices) [Faculty Manual C13.5(b)(iv)].

Designate two voting faculty to count the ballots and tally the results. For departments using online voting, the two faculty members are responsible for authenticating and verifying the voting process. Record the regular and absentee ballots on the DF-15 Form for each candidate [Faculty Manual C13.5(b)(iv)].

Inform the electorate of the results of the vote [Faculty Manual C13.5(b)(iv)].

Remind the voting faculty that each is encouraged, but not required, to submit to the Chair

within a week of the vote a brief **signed** letter explaining their vote. Such submissions become part of the candidate's file and will be treated as confidential in the same fashion as are external letters. Receipt of each letter will be acknowledged in writing from the Office of the Provost.

### **After the Vote – Duties of the Chair or Dean (in a non-departmentalized school)**

Prepare a written summary of the recommendation of the voting faculty. This summary should include the positions of both sides in the case of a split vote. The Chair should attempt to determine the reasons for any abstentions and should summarize these reasons if possible. Circulate this written summary to the voting faculty prior to transmission to the Dean [*Faculty Manual C13.5(b)(iv-v)*].

Prepare a separate recommendation and evaluation of each candidate based upon your personal assessment [*Faculty Manual C13.5(b)(v)*].

If this is a Special Review (mid-point, promotion, or tenure review), verbally inform each candidate and the voting faculty of the recommendations of the voting faculty and of the Chair promptly after the departmental meeting [*Faculty Manual C13.5(b)(v)*].

Note, for an Annual Review, the candidate is given copies of the written summary of the faculty discussion, and a copy of the Chair's recommendation [*Faculty Manual C13.4*].

In either case, numerical results (including “unanimous” results) should not be revealed to candidate.

Forward each candidate's file, including the completed (revised 7/08) Form DF-15, teaching evaluation form, the Chair's recommendation, summary of the voting faculty, the candidate's career assessment, curriculum vitae, external letters, external letter cover pages, copy of the letter used to solicit the external letters, scholarly material review certification form, and all past Forms DF-15 [*Faculty Manual C13.5(b)(v)*].

### **Duties of the Dean**

Review the procedures followed at the departmental level to make sure each candidate has received a fair and proper evaluation. The complete file should be reviewed by the Dean personally to insure appropriateness, accuracy, and fairness of all comments about candidates [*Faculty Manual C13.5(b)(vii)*].

The Dean may appoint an advisory committee to evaluate the record of all candidates for promotion and tenure. In order for the recommendation of this advisory committee to

become part of the candidate's file, the composition and method of selection of the members of this committee must be established by Bylaw within the School/College. Recommendations of any advisory group not established by Bylaw may not be included or cited in the candidate's file [*Faculty Manual C13.5(b)(vi)*].

Prepare a memorandum assessing the candidate's scholarship, teaching, service and other considerations [*Faculty Manual C13.5(b)(vii)*].

Ensure that a complete file on each candidate is provided to the Faculty Affairs Office. The original **material (collated, NOT STAPLED)** in the file should be sent to Faculty Affairs for review by the Academic Personnel Board. The file for each candidate should be arranged in the following order:

**For Annual Reviews and mid-term reviews, only one original file should be submitted.**

- (1) Form DF-15 [revised 7/10] (all actions)
- (2) Summary of Teaching Evaluation Form (all actions)
- (3) Memorandum and recommendation from the Dean (mid-point review, promotion and/or tenure)
- (4) Memorandum and recommendation from the Chair (all actions)
- (5) Chair's written summary of the recommendation of the voting faculty (all actions)
- (6) Candidate's written career assessment (if submitted)
- (7) Candidate's Curriculum vitae (see UM suggested standard form; for all candidates)
- (8) External letters (at least five) (mid-term review [optional], promotion and/or tenure)
- (9) Biographical Sketch Cover Page (not CVs) of external reviewers preceding each letter (see form in the appendices) (mid-term review, promotion and/or tenure)
- (10) Copies of the letter used to solicit the external reviews [If text is the same, only submit one copy] (mid-term review, promotion and/or tenure)
- (11) Scholarly Material Review Certification Form (mid-term review, promotion and/or tenure)
- (12) DF-15 Forms from prior years (include all years for tenure-earning faculty; prior 5 years for non-tenure-earning faculty; omit for tenured faculty).

The Dean may be invited to meet with the Academic Personnel Board to discuss his/her recommendations for promotion and tenure on specific cases.

A Chair may be asked to meet with the Academic Personnel Board in those cases when it is perceived that the Chair's comments would aid in the deliberations of the Academic Personnel Board. At the request of the Provost, the Dean will also be invited to appear before the Academic Affairs Committee of the Board of Trustees to discuss his/her recommendations for tenure.

## FORM DF-15 (revised 7/10) – INSTRUCTIONS

(The DF-15 is ***not*** an internal ballot form and should not be used as such)

The form DF-15 is provided for the regular recording and transmittal of all recommendations on promotion, tenure, progress toward tenure, and reappointment. A copy of the form should be completed for each faculty member under consideration and used to head the file of supporting documents.

**Section I.** Indicate the department and school making the recommendation; the name of the faculty member; if (s)he is tenured, the date (s)he received tenure, or, if (s)he is non-tenured, the date his/her probationary period will normally end (please be sure the correct date is used--check DHRS or with the Faculty Affairs Office); his/her present rank and date of his/her initial appointment at the University of Miami. Please also indicate the number of faculty eligible to vote on the case, bearing in mind that the department/division chair does not count in this number.

**Section II.** For items applicable to the faculty member under consideration, record the numerical vote of the eligible members of the department. [*Faculty Manual A3; C13.5(b)(ii) and C3*]. Every year Section IIA should be completed for all candidates. Please record the number of faculty in the department who are eligible to vote on the candidate, and ensure that the vote totals for each question equal that number.

- a) Each tenure-earning faculty member shall be reviewed to consider their progress toward tenure/reappointment in each year except the first year of appointment [*Faculty Manual C13.4*]. If a candidate is tenure-earning and not subject to reappointment, the vote should be on the question of whether the candidate is making “adequate progress toward tenure”. All other cases are a vote for reappointment. Members of the RESEARCH, EDUCATOR, and LIBRARIAN FACULTY (with the exception of those with multi-year appointments) shall be considered for reappointment annually. Those in the department eligible to vote are the tenured members with rank equal or superior to that of the faculty member under consideration. Faculty members with term appointments (ASSOCIATED FACULTY) are not to be considered.
- b) Faculty members eligible for promotion must request to be considered. Please ensure that every eligible faculty member has the opportunity to make this request.
- c) A tenure-earning faculty member is normally considered for the award of tenure in the academic year in which his/her probationary period ends. Any tenure-earning faculty member, however, may request consideration for tenure at any time during the

probationary period, but may request a Special Review only one time prior to the sixth year of the probationary period. In addition, the Dean may initiate a second Special Review during this period. Such consideration would have no prejudicial effect on reconsideration during the sixth year of the probationary period. *[Faculty Manual C5.5(b)]*.

Those in the department eligible to vote on questions of tenure, progress toward tenure, and reappointment are all tenured faculty in the department with rank equal or superior to that of the faculty member under consideration. For promotion questions, the eligible voting faculty are all tenured faculty in the department superior in rank to the candidate. *[Faculty Manual C10.2(d) and C13.5(b)(ii) and C3; Faculty Manual A3]*.

In the event that an Ad Hoc Review Committee is used, the vote of the **five** members of the Committee should be entered in this section and identified as such.

**Section III.** The recommendation of the Chair should be succinctly noted on the face of the DF-15. Please do not indicate “see attached memorandum” without any further comment. The Chair should also attach a memorandum justifying his/her recommendation and a memorandum summarizing the recommendation of the voting faculty. After a department Chair completes the entry on each form, the candidate’s file should be transmitted to the academic dean.

**Section IV.** The recommendation of the Dean should be succinctly noted on the face of the DF-15. Please do not indicate “see attached memorandum” without any further comment. The Dean should also submit a memorandum justifying his or her recommendation and a copy of each form DF-15 since the initial appointment. If the school or college has an advisory committee that has been established by bylaw, the Dean may take into consideration the recommendations of this group when explaining his or her recommendations. The candidate’s file, together with the appropriate number of copies (original plus 7 copies, clipped, not stapled), should then be transmitted to the appropriate Faculty Affairs Office.

**Section V.** The Academic Personnel Board will review the complete file and forward its recommendations to the Provost. After careful review of the file and consideration of the Board’s opinion, the Provost will enter his recommendation. The Provost will take final action on recommendations for promotion and transmit the recommendations on tenure to the President. If the Provost recommends against the award of tenure, he will notify the candidate, who may initiate an appeal.

**Section VI.** If the President’s recommendation is positive the file will be forwarded to the Board of Trustees.

**Section VII.** a) The Academic Affairs Committee of the Board of Trustees will review and make recommendations to the Executive Committee. b) The Board of Trustees will act upon the tenure recommendations.

After all necessary actions have been taken and recorded, copies of the completed form will be returned to the department chairperson and deans/directors for their information and files.

## SUMMARY OF REVIEW SCHEDULES – BY TENURE DUE DATE

Start date between January 1, 20XX and December 31, 20XX

***\*Standard tenure track review provided no tenure clock extensions.***

- Fall 20XX: No review required, per Faculty Manual C13.4.
- Fall 20XX + 1: Review for progress toward tenure.
- Fall 20XX + 2: Review for progress toward tenure.
- Spring 20XX + 3: Special (mid-point) review for three-year extension of appointment through May 15, 20XX + 7.
- Fall 20XX + 3: Review for progress toward tenure.
- Fall 20XX + 4: Review for progress toward tenure.
- Fall 20XX + 5: Final review for award of tenure.
- June 1, 20XX + 6: Tenure due date.

### EXAMPLE #1

Start date between January 1, 2014 and December 31, 2014.

***\*Standard tenure track review provided no tenure clock extensions.***

- Fall 2014: No review required, per Faculty Manual C13.4.
- Fall 2015: Review for progress toward tenure.
- Fall 2016: Review for progress toward tenure.
- Spring 2017: Special (mid-point) review for three-year extension of appointment through May 15, 2021.
- Fall 2017: Review for progress toward tenure.
- Fall 2018: Review for progress toward tenure.
- Fall 2019: Final review for award of tenure.
- June 1, 2020: Tenure due date.

**SUMMARY OF REVIEW SCHEDULES, Continued****EXAMPLE #2**

Start date between January 1, 2020 and December 31, 2020.

***\*Standard tenure track review provided no tenure clock extensions.***

|               |  |
|---------------|--|
| Fall 2020:    | No review required, per Faculty Manual C13.4.  |
| Fall 2021:    | Review for progress toward tenure.   |
| Fall 2022:    | Review for progress toward tenure.   |
| Spring 2023:  | Special (mid-point) review for three-year extension of appointment through May 15, 2027. |
| Fall 2023:    | Review for progress toward tenure.   |
| Fall 2024:    | Review for progress toward tenure.   |
| Fall 2025:    | Final review for award of tenure.  |
| June 1, 2026: | Tenure due date.   |

**University of Miami (Suggested) BALLOT FORM**  
**For use by Eligible Voting Faculty on Recommendations for**  
**Reappointment/Progress Toward Tenure, Mid-Term Review, Promotion and/or Tenure**

Department/School \_\_\_\_\_ Meeting Date \_\_\_\_\_

Name of faculty member under consideration \_\_\_\_\_

Action under consideration (e.g., promotion, tenure, reappointment) \_\_\_\_\_

Date appointed to University Miami faculty \_\_\_\_\_

Present rank \_\_\_\_\_ Date appointed to this rank \_\_\_\_\_

If not tenured, but on tenure track appointment, date probationary period ends \_\_\_\_\_

If tenured, date tenure awarded \_\_\_\_\_

If tenured and not full Professor, date of last promotion consideration \_\_\_\_\_

**Use line (1) to record your vote for reappointment and/or mid-term review. In cases where the candidate is on the tenure track with a continuing appointment, then use line (1) to indicate whether the candidate is making adequate progress toward tenure. Use lines (2) and (3) for candidates being considered for promotion and/or tenure.**

- (1) Reappointment/Making Adequate Progress Toward Tenure: \_\_\_\_\_ Yes\* \_\_\_\_\_ No\* \_\_\_\_\_ Abstain\*\*
- (2) Promotion: \_\_\_\_\_ Yes\* \_\_\_\_\_ No\* \_\_\_\_\_ Abstain\*\*
- (3) Award of Tenure: \_\_\_\_\_ Yes\* \_\_\_\_\_ No\* \_\_\_\_\_ Abstain\*\*

*\*\*Please explain your reason for an abstention in the space below so that the overall vote can be properly interpreted.*

\_\_\_\_\_ I abstained because the area is far removed from my own or I am not familiar enough with this candidate's qualifications or I otherwise do not believe I am sufficiently well-qualified to render a professional opinion.

\_\_\_\_\_ I abstained because there are sufficient reasons to vote either way and I cannot make a decision.

\_\_\_\_\_ I abstained because I have a conflict of interest with respect to this candidate.

\_\_\_\_\_ I abstained for another reason: \_\_\_\_\_

*\*It would be very helpful if you explain in the space below the reasons for your vote in terms of quality and impact of scholarly and creative activity and contributions, teaching performance and effectiveness, service, and/or clinical activity. Your comments will be referred to for tenure and promotion only in cases where they are needed. The Chair may refer to them (without attribution to the known or suspected author) when giving feedback to candidates regarding progress towards tenure.*

Anonymous explanatory comments:

FOLD HERE TO PRESERVE CONFIDENTIALITY WHEN SUBMITTING BALLOT FOR VOTE TO BE COUNTED

You are encouraged, but not required, to submit to your Chair within the next week a brief **signed** letter explaining your vote. Such submissions will become part of the candidate's file and will be treated as confidential in the same fashion as are external letters. Receipt will be acknowledged in writing from the Office of the Provost.

**TEACHING EVALUATION**  
**All Reviews**

**(Reappointment/Progress Toward Tenure, Tenure, Promotion and Mid-Term Review)**

Department/School/College:

Name of Candidate:

**SUMMARY OF STUDENT EVALUATIONS:** \_\_\_\_\_

**STUDENT EVALUATION: (do not attach raw data)**

Method of Evaluation:

Description of scale used in Student Evaluations:

Numerical summary and Interpretation of Student Evaluation data:  
(Attach separate sheet if necessary)

**PEER EVALUATION: (required for non-tenured faculty only)**

Assessment of classroom teaching based upon classroom visitation by voting faculty: (attach separate sheet if necessary). Peer evaluations should be made as a representative summary of individual evaluations.

Persons performing the assessment:

\_\_\_\_\_  
Signature of Chairperson/Dean & Title

\_\_\_\_\_  
Date

**UNIVERSITY OF MIAMI**  
**LETTER OF EXTERNAL REVIEW – COVER PAGE**

*Please complete one copy of this form for each individual external review letter,  
and attach as a cover page to the original letter.*

Reviewer's Name: \_\_\_\_\_

Reviewer's Title: \_\_\_\_\_

Reviewer's Institution: \_\_\_\_\_

Brief Biography of Reviewer:

Was this Reviewer suggested by the Department or the candidate? \_\_\_\_\_

Was the reviewer in any of the following roles?

1) Mentor \_\_\_\_\_

2) Supervisor \_\_\_\_\_

3) Close personal relationship \_\_\_\_\_

4) Close collaborator \_\_\_\_\_

If yes to any of these questions, please describe the nature of the relationship, and the time period of the relationship.

Based on the questions above, does this Reviewer have an arm's length relationship to the candidate (i.e., can s/he provide a neutral evaluation of qualifications)? \_\_\_\_\_

Additional comments:

**EXTERNAL LETTER SOLICITATION TEMPLATE – PROMOTION AND TENURE****CONFIDENTIAL**

Date

Professor John Smith

Address

Institution

City, ST ZIP

Dear Professor Smith:

The Department of \_\_\_\_\_ solicits your appraisal of [p&t candidate] for tenure and promotion to the rank of Associate Professor in the School of \_\_\_\_\_ at the University of Miami. [Candidate] is currently a tenure-earning Assistant Professor.

You have been suggested as an appropriate distinguished scholar who can provide us with a knowledgeable evaluation of the scope and quality of [candidate]'s work. I would appreciate your candid assessment concerning the significance and consistency of the research contributions [she/he] has made. Enclosed is a copy of [candidate]'s curriculum vitae and sample publications for your review.

In addition to your assessment of [candidate]'s publications, we would appreciate any other observations you have regarding [his/her] qualifications. Please also clarify whether you have any personal or professional relationship with the candidate, and if so, the nature of that relationship.

Our formal review begins in late August, and it would be most helpful if your letter could be received by mid-August. If you are unable to undertake this task, please notify me as soon as possible so that I can solicit an evaluation from another distinguished scholar. Under our rules, I am required to prepare a short biographical sketch for each of our external reviewers. If you are able to undertake this assessment for us, I would appreciate any material that would assist me in properly summarizing your career. Finally, please note that our review process is confidential. Thus, your letter will not be shown or made available to [candidate].

Sincerely,

Professor and Chair

Enclosures: Curriculum Vitae  
Scholarly Materials

**EXTERNAL LETTER SOLICITATION TEMPLATE – MID-POINT REVIEW****CONFIDENTIAL**

Date

Professor John Smith

Address

Institution

City, ST ZIP

Dear Professor Smith:

The Department of \_\_\_\_\_ solicits your appraisal of [p&t candidate]'s progress toward tenure and promotion to the rank of Associate Professor in the School of \_\_\_\_\_ at the University of Miami. [Candidate] is currently a tenure-earning Assistant Professor at the midpoint of [his/her] probationary period, and upon a successful review here, will be retained for an additional three years, through [his/her] final review for tenure and promotion.

You have been suggested as an appropriate distinguished scholar who can provide us with a knowledgeable evaluation of the scope and quality of [candidate]'s work. I would appreciate your candid assessment concerning the significance and consistency of the research contributions [she/he] has made, and prospects for future achievement. Enclosed is a copy of [candidate]'s curriculum vitae and sample publications for your review.

In addition to your assessment of [candidate]'s publications, we would appreciate any other observations you have regarding [his/her] qualifications. Please also clarify whether you have any personal or professional relationship with the candidate, and if so, the nature of that relationship.

Our formal review begins in early February, thus it would be most helpful if your letter could be received by then. If you are unable to undertake this task, please notify me as soon as possible so that I can solicit an evaluation from another distinguished scholar. Under our rules, I am required to prepare a short biographical sketch for each of our external reviewers. If you are able to undertake this assessment for us, I would appreciate any material that would assist me in properly summarizing your career. Finally, please note that our review process is confidential. Thus, your letter will not be shown or made available to [candidate].

Sincerely,

Professor and Chair

Enclosures: Curriculum Vitae, Scholarly Materials

**EXTERNAL LETTER SOLICITATION TEMPLATE – PROMOTION TO FULL PROFESSOR****CONFIDENTIAL**

Date

Professor John Smith

Address

Institution

City, ST ZIP

Dear Professor Smith:

The Department of \_\_\_\_\_ solicits your appraisal of [candidate] for promotion to the rank of Professor in the School of \_\_\_\_\_ at the University of Miami. [Candidate] is currently a tenured Associate Professor.

You have been suggested as an appropriate distinguished scholar who can provide us with a knowledgeable evaluation of the scope and quality of [candidate]'s work. I would appreciate your candid assessment concerning the significance and consistency of the research contributions [she/he] has made. Enclosed is a copy of [candidate]'s curriculum vitae and sample publications for your review.

In addition to your assessment of [candidate]'s publications, we would appreciate any other observations you have regarding [his/her] qualifications. Please also clarify whether you have any personal or professional relationship with the candidate, and if so, the nature of that relationship.

Our formal review begins in late August, and it would be most helpful if your letter could be received by mid-August. If you are unable to undertake this task, please notify me as soon as possible so that I can solicit an evaluation from another distinguished scholar. Under our rules, I am required to prepare a short biographical sketch for each of our external reviewers. If you are able to undertake this assessment for us, I would appreciate any material that would assist me in properly summarizing your career. Finally, please note that our review process is confidential. Thus, your letter will not be shown or made available to [candidate].

Sincerely,

Professor and Chair

Enclosures: Curriculum Vitae  
Scholarly Materials

**SCHOLARLY MATERIAL REVIEW CERTIFICATION  
(Tenure, Promotion and Mid-Point Review)**

Department/School/College:

Name of Candidate:

Description of material reviewed:

(Please list or attach a list of all articles reviewed – if you refer to the CV, please clearly mark each of the publications reviewed)

Other works accepted for publication:

(Please list the article(s) and attach acceptance letter(s))

Person(s) performing the review:

I certify that the materials described have been read and reviewed by the above listed faculty members.

\_\_\_\_\_  
Signature of Chairperson/Dean & Title

\_\_\_\_\_  
Date

**UNIVERSITY OF MIAMI**  
Curriculum Vitae

INSTRUCTIONS: A curriculum vitae must be supplied by every faculty member considered for reappointment, promotion, or tenure, and forwarded throughout the review process. This is the recommended standard format.

1. Date:

PERSONAL

2. Name:

3. Home Phone:

4. Office Phone:

5. Home Address:

6. Current Academic Rank:

7. Primary Department:

8. Secondary or Joint Appointments:

9. Citizenship:

10. Visa Type (if non-citizen):

HIGHER EDUCATION

11. Institutional (institution; degree; date conferred):

12. Non-Institutional (description; dates):

13. Certification, licensure (description; board or agency; dates):

## Curriculum Vitae

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### EXPERIENCE

14. Academic (institutions; rank/status; dates):
15. Non-Academic (employers; title; responsibilities; dates):
16. Military (branch; rank; responsibilities; dates):

PUBLICATIONS [author(s) (in actual precedence of authorship); title; publisher or journal name; date (current year first); page numbers]

17. Books and monographs published:
18. Juried or refereed journal articles and exhibitions:
19. Other works, publications and abstracts:
20. Other works accepted for publication:

### PROFESSIONAL

21. Funded Research Performed (include all grants received in the last five years, identifying the principal investigator and the amounts and dates of the awards):
22. Editorial responsibilities:
23. Professional and Honorary Organizations (member; officer; date):
24. Honors and Awards:
25. Post-Doctoral Fellowships:

## Curriculum Vitae

### Page 3

26. Other Professional Activities (e.g., papers presented; performances; conference proceedings; seminar or conference panel member; catalogue work; etc.):

### TEACHING

27. Teaching Awards Received:
28. Teaching Specialization (Note briefly courses taught, new courses developed, innovative or experimental teaching etc.)
29. Thesis and Dissertation Advising/Post-doctoral student supervision (chairman or committee member; topic; student name; date):

### SERVICE

30. University Committee and Administrative Responsibilities:
31. Community Activities: