



**TENURE SYSTEM AND  
RESEARCH NON-TENURE TRACK  
PROMOTION AND TENURE GUIDELINES  
2016-17**

**PART III**

**INSTRUCTIONS FOR THE PREPARER:  
CONTENTS FOR THE DOSSIER FORMS**

All requests for further information and explanation regarding Campus Promotion and Tenure (P&T) policies should be directed toward Renée Taylor, the Vice Provost for Faculty Affairs: (312) 413-3470 | [rtaylor@uic.edu](mailto:rtaylor@uic.edu).  
Questions about procedures and instructions for the corresponding forms should be directed toward, Campus P&T Coordinators, Andrew Maybach and Faizan H. Abid in the Office of the Vice Provost for Faculty Affairs:  
(312) 413-3470 | [amayba2@uic.edu](mailto:amayba2@uic.edu) | [fabid2@uic.edu](mailto:fabid2@uic.edu).



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## **SECTION 1: GENERAL INFORMATION AND INSTRUCTIONS**

### **A. Presentation of the Candidate's Records**

All information, apart from supporting documents, must be transcribed onto the P&T forms.

**CV's, publications and other unrequested material may not be submitted.** In the interest 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 providing an accurate Table of Contents (See [Part IV](#)). When a heading does not apply, please indicate that - do not eliminate the heading.

### **B. Requested Data**

Unless otherwise specified, please note that the time frame is now stated as follows:

"In chronological order, list XXXX since last personnel action. However, for faculty who are on a Q contract; who are in the non-tenure track having switched from the tenure track; who were moved into the tenure track from the non-tenure track; or who started their probationary year higher than T1, please include data since the last personnel action or for the past five years, whichever period is longer (*post-doctoral data may not be included*)."

**\*\*Chronological Order:** Where applicable, data must be presented in chronological order listing the oldest to the most recent.

### **C. Original Dossier**

The Guidelines in [Part IV: "Instructions for the Electronic File and Submission"](#) **must be followed** for detailed instructions on how to properly develop, complete and create the final paper version and electronic copy of the Dossier/Forms.

The Preparer's checklist must be submitted with each dossier. Each candidate's information must be in a separate folder in a single file containing a complete set of the forms.

*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.

*One-Page Limit Requirement:* The one-page limit set on all candidates statements and the recommended font size of 10-12 points using Arial, Calibri, or Times New Roman font should be strictly observed. It is recommended that all four margins of the page be no smaller than ½ inch.

## **SECTION 2: FORM PAGES**

**Appendix:** **Tenure and Contract History Form:** This form is an appendix to the full set of P&T Dossier Forms. It should **not be** included for any level of review, but should be submitted to the Office for Faculty Affairs through the College along with the submission of the P&T Dossier Forms. Tenure and Contract History at UIC must be generated by the Unit. Do not include salary history, national origin, or names of institutions attended. Include details regarding joint appointment (if any) and rollbacks or holds (If any). In the case of candidates who hold joint or courtesy appointments, please notify the other unit(s) that the candidate is being considered for promotion and/or tenure; in the case of rollbacks or holds, only the dates are required - reasons for the rollback or hold are confidential and should **not** be included.



- Page 1:** **Cover Sheet:** Most items are self-explanatory. Please note that all the required signatures and dates listed on the cover sheet must be included.
- Page 2-3:** **Table of Contents for Materials Contained in Dossier:** The order must be faithfully observed. Instructions in [Part IV](#) of the Guidelines must be followed to update the Table of Contents.
- Page 4-5:** **Academic and Employment Information:** Observe the following directions in reporting Item 1b: Official distribution of effort – this 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 extra pages to provide a complete list of academic and other relevant positions.
- Page 6:** **Summary of Committee Review:** The tally of votes for each committee must be signed by its chair. In some cases this may be a unit executive officer and in others, a faculty member. The *yes, no, abstain, absent, and not eligible* votes must sum to the total number of members on the reviewing committee. (See [Guidelines Part I, Section 2, E.](#) for information regarding eligibility to vote).
- Page 7-8:** **Statement of Unit and College Norms, Expectation and Standards of Excellence:** Each Unit and College must provide current written statements describing the Promotion and Tenure Norms and Criteria, which should include Expectations and Standards of Excellence.

### **SECTION 3: TEACHING ABILITY AND PERFORMANCE (Section I)**

**COLLEGE OF MEDICINE ONLY:** 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 FORMS, THE TABLE OF CONTENTS FOR THE COLLEGE OF MEDICINE FORMS HAS BEEN MODIFIED ACCORDINGLY. THESE ARE AVAILABLE THROUGH THE COLLEGE OF MEDICINE DEAN'S OFFICE.

#### **A. Activities**

##### **1. Courses Taught**

List courses taught (include title and course number) by the candidate. For faculty who are on a Q contract; who are in the non-tenure track having switched from the tenure track; who were moved into the tenure track from the non-tenure track; or who started their probationary year higher than T1, please include data since the last personnel action or for the past five years, whichever period is longer (*post-doctoral data may not be included*). Indicate whether each course is required, selective, or elective.

A "required" course is one that must be completed by all students in a given program of study. The program of study may include degrees, as well as specializations within these degree programs (if applicable), minors and/or concentrations.

A "selective" course is one that is available to students in a given program of study to meet the requirements for that program, but is not required for all students in the program. A selective is one course in a group of two or more courses, a subset of



which is required for the program. The program of study may include degrees, as well as specializations within these programs (if applicable), minors and/or concentrations. An example of a "selective" is CRJ 340 or CRJ 350, or CRJ 360 as defined by the undergraduate catalogue description "One course chosen from among CRJ 340, 350 and 360".

An "elective" course is one that may be taken in addition to required courses, in order to meet total hours required for a degree. Such courses can serve as an elective for students within a degree program or as a service course for students outside the degree program.

If other than primary instructor, specify the candidate's role. **Separate each term's offerings by a single line across the page.**

## **2. Graduate Students**

### **a. Advising and Supervision**

Give the names and degree category of graduate students supervised since the last personnel action. For faculty who are on a Q contract; who are in the non-tenure track having switched from the tenure track; who were moved into the tenure track from the non-tenure track; or who started their probationary year higher than T1, please include data since the last personnel action or for the past five years, whichever period is longer. Please include 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).

### **b. Exam Committee**

Please provide the academic year and the number of committees on which the candidate served for each year given. For faculty who are on a Q contract; who are in the non-tenure track having switched from the tenure track; who were moved into the tenure track from the non-tenure track; or who started their probationary year higher than T1, please include data since the last personnel action or for the past five years, whichever period is.

## **3. Undergraduate Advising and Supervision**

Give the names of students for whom candidate has served as an academic advisor since last personnel action. For faculty who are on a Q contract; who are in the non-tenure track having switched from the tenure track; who were moved into the tenure track from the non-tenure track; or who started their probationary year higher than T1, please include data since the last personnel action or for the past five years, whichever period is longer. Indicate advising or mentoring related to Honor 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. For faculty who are on a Q contract; who are in the non-tenure track having switched from the tenure track; who were moved into the tenure track from the non-tenure track; or who started their probationary year higher than T1, please include



data since the last personnel action or for the past five years, whichever period is longer. Please include 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, Software, and Teaching Materials including the Creation and Implementation of New Courses**

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 teaching.\* Units may use an alternative format if they prefer, but this information must be presented in summary form. **Please do not include raw data.** For faculty who are on a Q contract; who are in the non-tenure track having switched from the tenure track; who were moved into the tenure track from the non-tenure track; or who started their probationary year higher than T1, please include data since the last personnel action or for the past five years, whichever period is longer (*post-doctoral data may not be included*). Where less information is provided, the justification for the omission must be included in the unit 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. Under exceptional circumstance, if this is deemed necessary, please contact OVPPFA.

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.

Units 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 must be solicited by the unit executive officer and not the candidate.** If confidential, then append them under Evaluations, Part IV, V A, (Peer Evaluation and Faculty Teaching) of the forms. Refer to Typist's Instructions on how to append these documents.



## **2. Formal Recognition of Distinction in Teaching**

List all formal recognition since the last personnel action. For faculty who are on a Q contract; who are in the non-tenure track having switched from the tenure track; who were moved into the tenure track from the non-tenure track; or who started their probationary year higher than T1, please include data since the last personnel action or for the past five years, whichever period is longer (*post-doctoral data may not be included*). 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 unit's teaching mission. **There is a one-page limit.**

# **SECTION 4: RESEARCH/SCHOLARSHIP ABILITY AND ACHIEVEMENT** **(Section II)**

In this section, assemble evidence on research, creative and other scholarly activities for the items below, where applicable. List all data in chronological order since the last personnel action. For faculty who are on a Q contract; who are in the non-tenure track having switched from the tenure track; who were moved into the tenure track from the non-tenure track; or who started their probationary year higher than T1, please include data since the last personnel action or for the past five years, whichever period is longer (*post-doctoral data may not be included*).

### **A. Honors and Awards, etc. Since Receiving Terminal Degree**

Provide dates and a brief explanation of the nature of awards

### **B. Invited Colloquia/Symposia/ Keynotes**

### **C. Other Invited Presentations (e.g. External Guest Lectures, Workshops)**

### **D. Evidence of Other Recognitions**

### **E. Licensing/Certification**

List professional licensing or certifications

### **F. Sponsored Research Activities**

List all sponsored research activities since last personnel action. For faculty who are on a Q contract; who are in the non-tenure track having switched from the tenure track; who were moved into the tenure track from the non-tenure track; or who started their probationary year higher than T1, please include data since the last personnel action or for the past five years, whichever period is longer (*post-doctoral data may not be included*). 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. It is critical that this information 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 Funding and Faculty Support Scholarship), are not considered supported research and should **not** be listed as such). Indicate whether the amount is total cost (TC), ie.direct and indirect, or total direct cost (TDC). ***IT IS EXTREMELY IMPORTANT TO PROVIDE UPDATES ON PENDING APPLICATIONS.***

#### **G. Publications, Papers, and Other Scientific, Creative, or Scholarly Works**

1. ***In chronological order, list Publications or Other Creative Work Relevant to the Discipline Dated BEFORE Last Personnel Action (A personnel action is defined as the initial appointment date, or effective date of most recent promotion or track switch). For faculty who switched from the tenure-track to the clinical non-tenure track, please include data since last personnel action or the last 5 years, whichever period is longer (post-doctoral data may not be included). Give complete bibliographical references, including inclusive page numbers. If any publication has been reprinted, please provide full bibliographical reference for the reprint immediately after the citation of the place of first publication. Underline senior author in all categories, and asterisk (\*) refereed publications if listed in categories other than c. The senior author is defined as the major contributor to the publication. **If there is certain significance in the order of authors in multi-authored publications in the discipline, please provide a brief summary of the practice.*****

*Use the Following Categories:*

- a. Books and monographs
  - b. Edited volumes and translations
  - c. Articles in referred journals (including on-line referred 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, as under F.1.***
  3. ***Work Completed and Accepted for Publication, with Same Subdivisions as under F. 1.***
  4. ***Work in Progress***



- 5. *Papers and Poster Sessions Presented at Professional Meetings since last personnel action.*

If relevant, distinguish between volunteered, referred, 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 referred in a category other than in section F.1c., F.2c or F.3c, 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.** If works were juried or subjected to outside evaluation, indicate the award, competitive ranking, critical acclaim, or other form of recognition.

**H. Candidate’s Statement of Current and Planned Research, Creative, or Scholarly Work**

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: SERVICE (Section III)**

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

**Equity and Diversity at UIC:** Candidates and unit executive officers are encouraged to include information on the candidate's contribution(s) to promote equity or diversity at UIC in terms of gender, race/ethnicity and ability status.

**A. Administrative Responsibilities with Duties Indicated Below**

List the candidate's administrative responsibilities, with specific duties indicated, in the period since the last personnel action. For faculty who are on a Q contract; who are in the non-tenure track having switched from the tenure track; who were moved into the tenure track from the non-tenure track; or who started their probationary year higher than T1, please include data since the last personnel action or for the past five years, whichever period is longer (*post-doctoral data may not be included*). **NOTE:** There are varying expectations across units regarding the participation of junior faculty in service activities. Unit executive officers are encouraged to specify their unit's expectations in the section of the papers that asks for details regarding the norms of the discipline. Assistant Professors are not expected



to carry a heavy service burden. They normally should attend all unit meetings but not generally be expected to serve on university committees or do wider service to the profession or community.

#### **B. Service to the Unit/College**

In **chronological order**, indicate with inclusive dates, data since the last personnel action. For faculty who are on a Q contract; who are in the non-tenure track having switched from the tenure track; who were moved into the tenure track from the non-tenure track; or who started their probationary year higher than T1, please include data since the last personnel action or for the past five years, whichever period is longer (*post-doctoral data may not be included*).

1. Committee Assignments
2. Unit and College Committees should be listed separately.
3. 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). Where committee assignments have been minimal, an explanation, (e.g., unit policy for junior faculty) should be given.
4. 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 unit assessing the nature and effectiveness of the candidate's committee work.

#### **C. Service Within the University**

In **chronological order**, indicate with inclusive dates, data since the last personnel action. For faculty who are on a Q contract; who are in the non-tenure track having switched from the tenure track; who were moved into the tenure track from the non-tenure track; or who started their probationary year higher than T1, please include data since the last personnel action or for the past five years, whichever period is longer (*post-doctoral data may not be included*). Use the guidelines given above.

#### **D. Service Related to Patient Care**

In **chronological order**, indicate with inclusive dates, data since the last personnel action. For faculty who are on a Q contract; who are in the non-tenure track having switched from the tenure track; who were moved into the tenure track from the non-tenure track; or who started their probationary year higher than T1, please include data since the last personnel action or for the past five years, whichever period is longer (*post-doctoral data may not be included*).

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**

In **chronological order**, indicate with inclusive dates, list data since the last personnel action. For faculty who are on a Q contract; who are in the non-tenure track having switched from the tenure track; who were moved into the tenure track from the non-tenure track; or who started their probationary year higher than T1, please include data



since the last personnel action or for the past five years, whichever period is longer (*post-doctoral data may not be included*).

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**

In **chronological order**, indicate with inclusive dates, data since the last personnel action. For faculty who are on a Q contract; who are in the non-tenure track having switched from the tenure track; who were moved into the tenure track from the non-tenure track; or who started their probationary year higher than T1, please include data since the last personnel action or for the past five years, whichever period is longer (*post-doctoral data may not be included*).

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

**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 unit's norms and policies. **There is a one-page limit.**

**SECTION 6: INTERDISCIPLINARY WORK (Section IV)**

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: EVALUATIONS (Section V)**

**\*\*THIS SECTION MUST NOT BE SHOWN TO THE CANDIDATE**

**A. Peer Evaluations of Faculty Teaching**

The unit 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 must include a brief description of the peer evaluation process as well as the outcome of these reviews.

If the unit 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. External Letters of Reference**

### **1. Selection of Referees**

(This is a reminder of guidelines covered in [Part I, Sec. 3, Policies and Procedures](#)). The unit executive officer must obtain a written evaluation **from not fewer 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 unit colleagues, post-doc advisors, co-workers, etc. Referees must not be suggested by the candidates, though they may indicate to the paper preparer persons who may be inappropriate as reviewers along with the reasons for which the candidates object. Solicit separately and include in Section V.C. letters from collaborators (optional).

All external evaluations of the candidate that were solicited by the unit 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.

### **2. Sample Letter of Solicitation**

Please include a copy of the letter used to solicit the reviews of external evaluators appended to the first referee letter. Also include a detailed list of all the materials sent to the reviewers (See [Part I, Section 3.F. Policies and Procedures](#)). In the case of unpublished material, it must be clearly specified in what form and how much material was sent out - online, draft, proofs, etc. A sample letter of solicitation and sample letter for reviewers who have accepted is included at the end of Section 7B.

### **3. Responses**

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

### **4. Letters Received After Unit Review**

In a situation where a letter that has been solicited in a timely fashion is received after the requested date and the dossier has moved on to the next level of review, the unit executive officers must forward the letter to the appropriate level of review following the procedures outlined in [Part I, Section 2](#),

### **5. Confidential Letters**

Confidentiality: UIC does not permit candidates to read external letters from referees. Redacted or otherwise.

### **6. 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.



## 7. External Reviewers Information

Use Section V. B., EXTERNAL LETTERS OF REFERENCE, from P&T Dossier Forms to provide the following information:

1. List of referees contacted:
  - a) Those who accepted
  - b) Those who declined
  - c) Those who did not respond
2. Insert one copy of letter requesting referee's comments, including all (if applicable) preliminary e-mail communication inquiring whether the referee is willing to serve. (See [Sample Letter A](#), included at the end of section 7B).
3. List of all materials sent to each reviewer. This may be omitted here if this information is contained in the second letter (See [Sample Letter B](#) at the end of section 7B). In the case of unpublished materials, it must be clearly specified in what form and how much material was sent (outline, drafts, proofs, etc.).
4. Duplicate as needed for each referee and provide the following for each referee:
  - Name
  - Biographical Sketch
  - How Selected
  - Relationship to Candidate
  - Insert letter from each referee following each information page

### Sample Letter A: Letter for Solicitation of an External Reviewer

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.

The University of Illinois at Chicago wishes to be sure that the referees are as impartial as possible. Therefore, University guidelines require us to ask if you have a ***past or current relationship with the candidate that may give the perception of an influence, or gives you a stake in the outcome of the case.***

Such relationships may include but are not limited to:

- You have served as the candidate's Mentor (e.g. Ph.D. supervisor; dissertation committee member; post-doctoral advisor; clinical supervisor)
- You have served as the candidate's Trainee (e.g. student; post-doctoral; resident )
- You have had a **substantial collaboration** with the candidate in the relatively recent past (non-substantive collaborations include providing and/or sharing supplies, equipment, facilities<sup>1</sup>; co-organizing professional meetings, etc.)

If any of these circumstances apply, kindly let us know and we shall discontinue the process of asking you for an evaluation. If you have any questions about the University's standards for conflict of interest, please do not hesitate to contact us.

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<sup>1</sup> Such as reagents; animal models, antibodies for some fields including biological and health disciplines.



Please be aware that, according to UIC policies, all correspondence connected with a promotion and tenure case becomes part of the records, **including responses to a letter such as this one**. Therefore, I ask you, please to confine your response to the two issues of (a) your willingness to serve as a referee and (b) any possible conflict of interest. If you have any past or current relationship with the candidate, please describe this in your letter, even if you believe it does not pose a conflict of interest.

If you agree to provide an appraisal, every effort will be made to maintain the confidentiality of your report. Dr. \_\_\_\_\_ will not see even an edited version of your letter. The members of our unit's promotion and tenure committee will have access to your letter, as will University committee and administrative officers involved in the promotion process. However, I must 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.

Please let me know at your earliest convenience if you are willing and able to prepare an evaluation. I shall then send to you copies of Dr. \_\_\_\_\_'s work, published or accepted for publication, or if it is convenient for you, the URL's for the copies of this work that are archived or published on the World Wide Web. The material that we shall ask you to review comprises \_\_\_\_\_. We shall need your report by \_\_\_\_\_.

We expect to be able to mail the documents for review by \_\_\_\_\_. Therefore, please provide us with a mailing address at which we shall be able to reach you at that time. In addition, I will appreciate your sending me a recent *curriculum vitae*, which will allow us to fulfill our requirement to submit a biographical sketch of each referee. 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.

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.

We appreciate your help in this regard.

Sincerely,  
U.E.O/Paper Preparer

**Sample Letter B: Letter for Accepted External Reviewers**

Dear Dr. \_\_\_\_\_:

Thank you for your willingness to evaluate the work of Dr. \_\_\_\_\_ and for sending us a copy of your *curriculum vitae*. We enclose with this letter, copies of Dr. \_\_\_\_\_'s work, published or accepted for publication, together with the URL's for the copies of his/her work that are archived or published on the World Wide Web, and his/her statement of current and planned research. Additionally, we have included the unit norms and standards for promotion.

In your letter would you please:

- **Note that you are evaluating the scholarship since the previous personnel action and not necessarily on the number of calendar years.** For cases being reviewed for promotion to Associate Professor, our campus has a tenure rollback policy that is granted on a case-by-case basis after review. Tenure rollbacks, as they affect time-to-tenure should not be considered in your evaluation. Equally, the number of years taken to advance from Associate to full Professor should not be considered a criterion for evaluation. Cases should be evaluated on the basis of



- impact and merit, as defined by the norms established by the unit(s) and college(s) to which the candidate is appointed.
- Discuss the candidate's work in a critical fashion, commenting on the quality and impact 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 his/her standing in the field, and compare him/her with other faculty of roughly the same cohort.

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 c.v. 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.

As I mentioned in my previous letter, we need the report itself by (date).

We appreciate your help with this important task.

Sincerely,  
U.E.O/Paper Preparer

**C. Letters from Collaborators Solicited by the Unit Executive Officer (if applicable)**

Unit executive officer(s) must solicit letters from individuals who have had a substantial collaboration with the candidate. Letters from those individuals should document the contributions of the candidate to the joint work. In the evaluation section the letters from collaborators should be grouped separately from the external letters of evaluation, but be included in this section.

**Sample Letter C: Letter for Solicitation of a Collaborator**

Dear Dr. \_\_\_\_\_:

The Promotion and Tenure Committee of the Department of \_\_\_\_\_ at the University of Illinois at Chicago is preparing to consider Dr. \_\_\_\_\_, for promotion with tenure to the rank of Associate Professor. From the documents that Dr. \_\_\_\_\_ submitted for being considered for promotion, it was determined that she has successfully collaborated with some accomplished individuals including you. To assist us in evaluating her work, the promotion process requires us to solicit letters from selected collaborators in an effort to determine the role of the candidate in the joint work. Dr. \_\_\_\_\_ has co-authored several research articles with you.

It would be beneficial to her promotion review process if you could objectively articulate the candidate's independent personal contribution to the collaboration. The purpose is to demonstrate supportive evidence of the candidate's extent of leadership within the collaborative relationship. This may be revealed by indicators such as the extent of intellectual effort put forth from the candidate or the extent



of shared workload taken on by the candidate. We would very much like to have your account of the candidate's role in and contribution to the joint work.

Every effort will, of course, be made to maintain the confidentiality of your report. Professor \_\_\_\_\_ will not see any 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.

Please send a scanned copy of the letter on letterhead with an original signature to my assistant, \_\_\_\_\_. His/Her contact information is \_\_\_\_\_. I realize that requests of this kind impose a burden on the people who have attained a position of leadership in their field, as you have, but we are very eager to have your input and hope that you will be able to help us reach a decision. We would need this letter by (date).

We appreciate your help in this regard.

Sincerely,  
U.E.O./Paper Preparer

**D. Letters for Courtesy Joint Appointments at 0% FTE (if applicable)**

Although no formal review is required, a letter is required from the unit executive officer (from the courtesy unit) giving support to the promotion with a continued courtesy appointment. The letter may be brief and should be in the format of the unit executive officer's letter of justification in the standard P&T papers. It should be inserted in the specified section in the P&T papers.

**E. Evaluation from Unit Committee (if applicable)**

**F. Evaluation from College P&T COMMITTEE (if applicable)**

**G. Copy of Mid-Probationary Evaluation (for T4-T6 cases only).**

If not available, provide explanation. The evaluation that was signed by the unit executive officer and candidate and forwarded to the dean should be inserted here. If the candidate holds a joint appointment, please include mid-probationary reviews from all units.

**H. Evaluation from Unit Executive Officer**

The Unit Executive Officer's statement must be written by the unit executive officer of the originating unit. **Even if a senior faculty member has been delegated as the paper preparer, the unit executive officer must present his/her own summary assessment and recommendation unless the rank of the unit executive officer is not equal to the rank for which the candidate is being recommended. In those situations (when the unit executive officer is an associate professor and the candidate is being recommended for promotion to full professor), the statement of endorsement or non-endorsement must be prepared by the full professor who is charged with preparing the case.** The unit executive officer's summary assessment must 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 unit's mission and the goals of the campus. The unit executive officer may also explain the norms of the discipline, if that has not been done elsewhere in the papers.

The evaluation must address split votes at the unit level and must contain separate headings for the following:

**1. 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 unit, its nature, and how the candidate ranks with respect to unit, college or university norms.

**2. 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).

**3. Appraisal of Candidate's Contributions to Research/Scholarship 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/co-I 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).

**4. Appraisal of Candidate's Service Record**

Justify this assessment of the candidate with respect to Unit, College or University norms and attach any supporting documents.

**5. Overall Assessment and Justification of Recommendation**

**I. Evaluation from College Dean/Unit Director**

**SECTION 8: NEW INFORMATION**

Because of the length of the review process, it is possible that the candidate's record may change significantly or that other information pertinent to a case may come to light during the course of the review. If, in the judgment of unit executive officer or other preparer of the promotion and tenure papers, new information could affect the outcome of the case, it may be submitted at any stage of the process by the unit executive officer. In the interest of time and consistency, the unit executive officer of the originating unit must formally transmit all such material directly to the level at which the case is currently under review. The office currently reviewing the case must incorporate this new material into the candidate's papers for submission to any further levels of review. A note must be included on or with the new material indicating at what level of review the new information became available. For new information that becomes available AFTER the dossier has left the college, please inform OVPFA.