

# **Tenure & Promotion Handbook**

**2018-2019**

# **Tenure and Promotion Handbook**

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This handbook provides guidance to support candidates, initiators, and other participants in the preparation of materials for tenure and promotion dossiers. Each section includes the relevant text of the revised *Faculty Manual*, and, where prescribed by the *Manual*, instructions from the Dean of the College for the preparation of selected items.

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**Tenure and Promotion Handbook**  
***Faculty Manual §4.VII.E:***  
***Confidentiality Considerations***

*The dossier shall contain only the documents described below...Except where otherwise provided below, the documents in the dossier are strictly confidential and, except when authorized by the Dean of the College, or in the event of an appeal by the candidate, the documents in the dossier shall be shared only with the initiator(s) of the candidacy, the candidate's associate dean(s), the Dean of the College, the members of the Tenure and Promotion Committee, the President, and the Board of Regents.*

**Access to the contents of the dossier:**

1. As indicated in the above *Faculty Manual* section, only the following individuals are normally authorized to review the completed dossier, except in unusual circumstances (e.g., an appeal):
  - The initiator
  - The candidate's Associate Dean
  - The Dean of the College
  - Members of the Tenure and Promotion Committee
  - The President
  - Members of the Board of Regents

In appeals procedures, with the consent of the candidate, the Faculty Review Committee may also have access to the completed dossier (*Faculty Manual* 4.XI.E.2). With the exceptions noted below, each individual item within the dossier should also be treated as strictly confidential.

2. The *Manual* also indicates that some individuals have access to specific items in the dossier, in order to prepare their own contributions to the dossier. For example, the tenured members of the department and the candidate's student committee have access to the individually-completed student review of teaching questionnaires. The Tenure and Promotion Handbook identifies the individuals with access to each item in the dossier.
3. Some items in the dossier are not confidential. These include:
  - The department's Statement on Significant Scholarly/Artistic Work
  - The candidate's CV

In addition, a candidate may elect to share his or her professional statement with colleagues outside the department for advice and feedback on its contents.

### **Confidentiality in an initiator's discussions with the candidate:**

The *Faculty Manual* indicates that initiator(s) of a candidacy shall “confer regularly with the candidate about the progress of the compilation and the general nature of the material, while keeping the names of individuals who have contributed to the dossier and the precise nature of the contributions confidential” (Section 4.VII.D). In addition, once the dossier has been completed, the Associate Dean meets with the candidate in early December to help the candidate prepare for his or her meeting with the Tenure and Promotion Committee. At this meeting, the Associate Dean is to “inform the candidate, in a general way, of the contents of the dossier, keeping the names of individuals who have contributed to the dossier and the precise nature of the contributions confidential” (Section 4.VII.H).

In light of these parameters, initiators are encouraged to apprise candidates of the overall portrait of their professional strengths and weaknesses as that portrait emerges throughout the compilation of the dossier. These conversations are important to the candidate's morale during the review process and to his or her preparation for the interview with the Tenure and Promotion Committee. However, both the initiator and the Associate Dean must take care to maintain the confidentiality of specific contributions to the dossier. While they can and should discuss the aggregate contents of the dossier in summary fashion, they must not identify the contributors to the dossier nor associate specific findings or statements with specific individuals.

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### ***Activities Prior to the Commencement of a Candidacy***

*A candidacy for tenure or promotion officially begins with written notification sent by the initiator to the Dean of the College indicating that a faculty member is a candidate. The deadline for notification is established in the Faculty Manual as March 1 (4.VII.C). However, initiators are encouraged to notify the Dean of a candidacy well before that date, since there are a number of activities related to the preparation of the dossier that begin prior to or shortly after the March 1 deadline (although these activities can commence prior to the official notification of the Dean). Below are suggestions relating to these activities.*

1. *Decision regarding the initiator for reviews of faculty holding a joint appointment:* In the case of a review of a faculty member holding a joint appointment, the two chairs and associate dean(s) shall negotiate who shall assume primary responsibility for coordinating the review and compiling the dossier. This decision should be made before any activity described below is scheduled. Primary responsibility does not mean sole responsibility and there may be a sharing of duties as deemed appropriate.
2. *Consultation with the prospective candidate (Faculty Manual 4.VII.B):* The initiator is to confer with a prospective candidate to discuss the candidacy and the review process. This conference is also an opportunity for the initiator to provide feedback to the candidate concerning the content and organization of the candidate's current CV, which must be provided subsequently to those members of the department with whom the initiator must consult prior to proceeding with the candidacy. It is recommended that the candidate and initiator confer sometime between mid-January and early February.
3. *Consultation with tenured members of the department (Faculty Manual 4.VII.B):* If a candidacy involves tenure prior to the end of the probationary period, the initiator is to provide a copy of the candidate's CV to all tenured members of the department and then convene a meeting to discuss the advisability of proceeding with the candidacy. If a candidacy includes promotion, the CV review and consultation includes only those tenured members with a rank equal to or greater than the rank for which the candidate would be considered. In both cases, the initiator is to provide the candidate with a confidential written summary of the departmental discussion. It is recommended that the departmental consultation and subsequent discussion with the candidate be completed by mid- February, to accommodate dossier preparation activities that need to commence in March (see below).
4. *Notification to the Dean of a faculty member's candidacy (Faculty Manual (4.VII.C):* The *Faculty Manual* requires that the initiator notify the Dean of the College in writing of each candidacy for tenure and/or promotion no later than March 1. The notification need not be lengthy, but it should be provided on paper (rather than electronically). If an initiator is responsible for more than one candidacy, it is recommended that he or she forward a separate written notification for each candidate. In cases of joint appointment, a single letter of notification signed by both initiators is preferable, but if necessary, the initiators may forward separate written notifications.

5. *Initial work related to specific dossier items:* The preparation of several dossier items begins in March. Each item is discussed in more detail in this handbook and is referenced in the suggested review calendar. The items requiring initial work in the spring semester prior to the year of the candidacy include:
- *Item 5 – Peer reviews of teaching.* Many departments encourage peer reviewers to begin observing instruction in the spring semester prior to the academic year of the review, so peer reviewers must be selected and initial observations may be conducted.
  - *Item 6 – Student/alumni reviews of teaching.* The initiator coordinates the recruitment of the student committee members; the student committee and the department prepare additional candidate-specific questions for the evaluation form; and the sampling procedure is developed, to permit Institutional Research and Evaluation to begin sending questionnaires to alumni in the sample during the summer prior to the academic year of the review.
  - *Item 10 – Statements from tenured members of the department.* Many departments encourage tenured members to begin observing instruction in the spring semester prior to the academic year of the review.

**Tenure and Promotion Handbook**  
*Faculty Manual §4.VII.E.1:*  
**Department Statement on Significant Scholarly/Artistic Work**

- or -

***Joint Statement of Expectations for Teaching, Scholarly or Artistic Work, and Service***

*[The dossier shall contain] the department Statement on Significant Scholarly/Artistic Work or, in the case of a joint appointment, the Joint Statement of Expectations for Teaching, Scholarly or Artistic Work, and Service. If more than one statement has been in effect in the candidate's department during the period of time since the candidate was hired or previously reviewed for tenure or promotion, the candidate shall determine which version of the statement shall be included in the dossier.*

**1. Access:** This is a public document; everyone has access to it.

**2. Participants in preparing this item:**

- *In the case of an appointment to a single department* – The candidate's department develops the Statement on Significant Scholarly/Artistic Work. At present, there are no college-wide guidelines for the content and format of the Statement.
- *In the case of a joint appointment* – The relevant departments develop a Statement of Joint Expectations for Teaching, Scholarly or Artistic Work, and Service. This document is prepared at the time of recruitment for the position, but it is revised in the first year of the appointment by the relevant chairs in consultation with the faculty member holding the appointment.

**3. Guidelines and suggestions:**

- A department's Statement on Significant Scholarly/Artistic Work may have been revised since the time a candidate was hired or previously reviewed. In these cases, the candidate may choose which version of the Statement to include in the review process. This version of the Statement is the one that should be provided to the Office of the Dean for transmittal to the external reviewers; provided to the tenured members of the department to inform their contributions to the dossier; and included in the dossier itself.
- In cases of joint appointment, the Joint Statement of Expectations for Teaching, Scholarly or Artistic Work, and Service substitutes for the department's Statement on Significant Scholarly/Artistic Work. If the Joint Statement was revised in the first year of the appointment, the revised version should be included in the dossier and provided to the tenured members of the department and the external reviewers.

**Tenure and Promotion Handbook**  
*Faculty Manual §4.VII.E.2:*  
**Letters of Guidance from Previous Comprehensive Reviews**

*Any previous letters of guidance provided to the candidate for tenure at the conclusion of the candidate's comprehensive reappointment reviews, normally conducted near the end of the second and fourth probationary years (Section 4.III.K.4.j.).*

**1. Individuals who have access to this item:**

- The initiator
- The Tenured Faculty Members of the candidate's department
- The candidate's Associate Dean
- The Dean of the College
- Members of the Tenure and Promotion Committee
- The President
- Members of the Board of Regents

**2. The Dean of the College will provide the letter of guidance from previous comprehensive reviews to the initiator for inclusion in the dossier.**



**Tenure and Promotion Handbook**  
*Faculty Manual §4.VII.E.3:*  
*Candidate's Curriculum Vitae*

*[The dossier shall contain] the candidate's curriculum vitae. The curriculum vitae shall be prepared in accordance with instructions provided by the Dean of the College and is not confidential.*

**1. Individuals who have access to this item:**

- The candidate's CV is not confidential

**2. Participants in preparing this item, and the role of each participant:**

- *Candidate* – has primary responsibility for preparing CV
- *Initiator* – may review drafts and provide feedback and suggestions
- *Associate Dean* – may review drafts and provide feedback and suggestions
- *Other colleagues inside and/or outside the candidate's department* – may review drafts and provide feedback at the request of the candidate

**3. Instructions provided by the Dean of the College:**

- The *Curriculum Vitae* of a candidate for tenure or promotion is limited to seven (7) pages, with 12-point font or larger, and margins of at least 1 inch.
- Dates should be included for each item in the CV, especially with respect to scholarly and artistic work.
- Because “a portion of [a candidate's] portfolio [of achievements] normally shall include work that has been professionally reviewed by peers beyond the college in the candidate's scholarly or artistic fields” (*Faculty Manual* 4.VI.B.2.b), the CV should indicate clearly which publicly-disseminated items were so reviewed.
- The content of the CV should be organized as follows:

**I. PERSONAL**

**Name**

**Telephone**

**Address**

**Email**

**II. EDUCATION**

**Colleges/universities attended (with dates and degrees)**

**Thesis/dissertation title**

**Areas of expertise and special interests**

**III. EMPLOYMENT & TEACHING EXPERIENCE**

**Institution and position/rank (with dates)**

**Courses taught at St. Olaf**

**IV. SCHOLARLY/ARTISTIC WORK**

*Note: Categories listed below are examples which may be altered or adapted to reflect the department's Statement of Significant Scholarly/Artistic Work. The same activity SHOULD NOT be listed multiple times in multiple places.*

**Publications and papers**

*Books*

*Refereed articles, book chapters, and papers*

*Invited articles, book chapters, and papers*

*Abstracts*

*Reviews*

*Conference papers and proceedings*

*Other disseminated written work*

**Artistic work**

*Compositions*

*Exhibits*

*Recitals*

*Performances*

**Presentations (at institutions or organizations other than St. Olaf)**

*Conference presentations*

*Workshops*

*Invited lectures, workshops, presentations*

*Panel presentations and seminar participation*

**Honors, awards, grants**

**Consulting**

**Offices held in professional organizations**

**Professional memberships**

**Other scholarly/artistic work**

**V. COLLEGE AND COMMUNITY**

**Contributions of service and leadership to the department**

**College committees and task forces** (committee/task force and years of service; service as chair or secretary should be listed)

**Other contributions of service and leadership to the College** (e.g., leadership of campus-wide activities or projects, Chapel talks, on-campus presentations, etc.)

**Contributions to the wider community** (uses of one's professional expertise to enrich the social, cultural, and intellectual life of the wider community)

**Tenure and Promotion Handbook**  
**Faculty Manual §4.VII.E.4:**  
**Candidate's Professional Statement**

*[The dossier shall contain] a professional statement prepared by the candidate. The professional statement shall convey the candidate's analysis and appraisal of his or her professional development, distinctive accomplishments, and priorities for the future in relation to the Standards for Faculty Evaluation (Section 4.VI.A). The principal purpose of the candidate's statement is to provide an interpretive framework for the evaluation of the scope and significance of the candidate's work and his or her maturation as an instructor, scholar or artist, and colleague. The statement should reference the written evaluations provided to the candidate at the conclusion of the candidate's most recent comprehensive reappointment review, and demonstrate the candidate's capacity for self-aware reflective practice, ongoing growth and improvement, and promise of sustained contributions. The statement shall be no longer than 3000 words. [by October 15].*

**1. Individuals who have access to this item:**

- The initiator
- Tenured members of the candidate's department
- The candidate's Associate Dean
- The Dean of the College
- Members of the Tenure and Promotion Committee
- The President
- Members of the Board of Regents

**Participants in preparing this item:**

- *Candidate* – has primary responsibility for writing the statement
- *Initiator* – may review drafts and provide feedback and suggestions
- *Associate Dean* – may review drafts and provide feedback and suggestions
- *Other colleagues* – may review drafts and provide feedback at request of candidate; these colleagues may be members of the candidate's department or members of other departments

**2. Guidelines and suggestions:**

- Prior to drafting the statement, the candidate should review:
  - The *Faculty Manual* "Standards for Faculty Evaluation," particularly Section 4.VI.B;
  - The department's Statement on Significant Scholarly/Artistic Work or, in the case of a joint appointment, the Joint Statement of Expectations for Teaching, Scholarly or Artistic Work, and Service;
  - The department's most recent self-study.
  - The written evaluations provided to the candidate at the conclusion of the candidate's most recent comprehensive reappointment review.

- The *Faculty Manual* description of the candidate's statement emphasizes two purposes: to provide an "interpretive framework" for the candidate's work (particularly helpful for the many readers of the candidate's dossier who will not be experts in the candidate's field), and to "demonstrate the candidate's capacity for self-aware reflective practice, ongoing growth and improvement, and promise of sustained contributions." The professional statement is *not* intended to show that the candidate has no professional weaknesses; the presumption in this section of the *Manual* is that even the most accomplished and seasoned faculty member is better at some things than others. Rather, the professional statement should show that the candidate is aware of both strengths and weaknesses, and has taken specific steps both to sustain and enhance the strengths, and to identify and remedy the weaknesses.
- It is helpful to readers of the professional statement if it is organized specifically around the categories and criteria for faculty evaluation (*Faculty Manual* Section 4.VI.B.).
- The professional statement should also reference the department's Statement on Significant Scholarly/Artistic Work or, in the case of a joint appointment, the Joint Statement of Expectations for Teaching, Scholarly or Artistic Work, and Service. If the department's Statement on Significant Scholarly/Artistic Work has been revised since the candidate was hired or promoted, the candidate may choose which version of the statement to reference; this same version should be provided to the external viewers, provided to the tenured members, and included in the dossier itself.
- The statement is limited to 3000 words in length.

**Tenure and Promotion Handbook**  
**Faculty Manual §4.VII.E.5:**  
**Peer Reviews of Teaching**

*[The dossier shall contain] peer reviews of the candidate's teaching. Peer reviews of teaching shall be independently prepared by three faculty members: (1) a tenured member of the candidate's department(s) selected by the candidate, (2) one other tenured member of the candidate's department(s) selected by the tenured members, and (3) a tenured member of the St. Olaf faculty, selected by the tenured members of the candidate's department(s) in consultation with the candidate. If there are not two tenured members of the department available to serve as peer reviewers, peer reviews may be prepared by tenured members of the candidate's Faculty or Faculties. In the case of a joint appointment, the initiators and the candidate shall confer in the selection of the peer reviewers to ensure that both of the candidate's departments contribute a review of the candidate's teaching. In the case of an interdisciplinary teaching assignment (identified as in Section 4.VII.F below), a designated reviewer of that assignment may be included among the peer reviewers, subject to conditions described in Section 4.VII.F below. The reviews shall address the candidate's contributions to student learning and development (Section 4.VI.B.1). Each review shall include evidence from a variety of sources, including an interview with the candidate about his or her teaching perspectives, practices and professional development; a sample of teaching materials prepared by the candidate; and at least two observations of the candidate's classroom instruction. [In cases where at least one-sixth of the candidate's teaching load is interdisciplinary, peer review may include peer review of the interdisciplinary teaching assignment. In cases where one-half of the load is interdisciplinary, peer review must include consideration of the interdisciplinary assignment] (Section 4.VII.F; see also Section 4.VII.E.5-7, 11-12).*

**1. Individuals who have access to this item:**

- The initiator
- The candidate's Associate Dean
- The Dean of the College
- Members of the Tenure and Promotion Committee
- The President
- Members of the Board of Regents

**2. Participants in preparing this item:**

- *Candidate* –
  - Selects one tenured member of the department to serve as one of the three peer reviewers; in case of joint appointment, confers with initiators in the selection of the peer reviewers to ensure that both departments contribute a review of the candidate's teaching and that at least one of the peer reviewers is selected by the candidate.
  - Prepares portfolio of instructional materials for review, and is interviewed by each peer reviewer.
- *Initiator* –

- Consults with tenured members of the department to select a tenured member of the department to serve as a second peer reviewer; consults with tenured members and with the candidate to select a tenured member of the St. Olaf faculty to serve as a third peer reviewer.
- If there are not two tenured members of the department available to serve as peer reviewers, one or both of the peer reviewers may be selected from the candidate's Faculty or Faculties.
- The third peer reviewer may be a member of the candidate's department (including the initiator) or may be a member of another department.
- In cases of joint appointment, the initiators confer with one another, the tenured members, and the candidate in selecting peer reviewers that meet all the selection criteria specified in the *Faculty Manual*.
- The initiator assists candidate and peer reviewers in determining which reviewers should observe which course(s) [see guidelines and suggestions below].
- *Peer reviewers* – Visit instructional sessions, review instructional materials, interview candidate, and prepare written reviews for dossier

### 3. Guidelines and suggestions:

- The arrangements for instructional observation should permit breadth in the reviewers' collective observation of the candidate's teaching, but without requiring too many visitors in any one course, lab, studio, or other setting. It is often more helpful to observe a single course or other instructional setting two or three times than to visit all settings only once. The initiator, candidate, and reviewers should consult to determine which course(s) and other instructional settings are most appropriate for each reviewer to observe, and then reviewers can schedule visits individually with the candidate.
- Peer reviewers who are also tenured members of the candidate's department should prepare two separate items for the dossier: the tenured member's statement of recommendation and rationale addressing all three categories of faculty work, and the peer reviewer's statement focusing on the candidate's teaching alone.
- The content of the peer review should:
  - Begin by noting the titles of the courses visited and the dates of those visits.
  - Review the candidate's performance in relation to all five criteria within the category of "Contributions to student learning and development" (*FM* Section 4.VI.B.1.a-e).
  - Include a variety of evidence, drawn not only from the observation of instruction but also from the examination of instructional materials, interviews and conversations with the candidate, presentations or publications on teaching which the candidate may have prepared, and any other direct observations of the candidate's instructional behaviors.

Peer reviews of teaching are to be independent from student and alumni reviews of teaching. Peer reviewers who are also tenured members of the department should complete their peer reviews prior to reading the student reviews.

- Peer reviewers should prepare by reading the guidelines on peer reviews at <http://wp.stolaf.edu/doc/t-p/>



## **Tenure and Promotion Handbook**

### ***Faculty Manual 4.VII.E.6: Student/Alumni Reviews of Teaching***

*[The dossier shall contain] Student and alumni reviews of the candidate's teaching and advising. The Dean of the College shall designate an administrative office to solicit a representative sample of student and alumni reviews of the candidate's teaching and advising. The reviews shall address the candidate's contributions to student learning and development (Section 4.VI.B.1). The procedures for soliciting and summarizing student and alumni reviews shall be designed to achieve validity, reliability, impartiality, and confidentiality in the results. A committee of three students, one selected by the candidate and the other two selected by the tenured members of the candidate's department(s) shall assist the designated office in gathering and summarizing the student and alumni reviews. In the case of an interdisciplinary teaching assignment (identified as in Section 4.VII.F below), one member of the student committee may be selected by a designated reviewer of that assignment, subject to conditions described in Section 4.VII.F below. Normally, at least one member of the student committee shall be a student for whom the candidate has not served as an instructor or advisor. The completed dossier shall include both the original individually-prepared reviews with identifying information removed, and summary information provided by the designated office. [In cases where at least one-sixth of the candidate's teaching load is interdisciplinary, the review of teaching may include consideration of this assignment through the selection of one's member of the student committee by the designated reviewer of that assignment (Section 4.VII.E.6 )*

#### **1. Individuals who have access to these items:**

- The initiator(s)
- The tenured members of the candidate's department
- The candidate's Associate Dean(s)
- The Dean of the College
- Members of the Tenure and Promotion Committee
- The President
- Members of the Board of Regents
- *Student committee members* (access to individually-completed questionnaires only; student committees prepare the qualitative summary of results on the basis of these questionnaires)
- *Tenured members of the department* (access to individually-completed questionnaires and IR&E quantitative summaries only; the tenured members do not have access to the student committee's qualitative summary of results)

#### **2. Participants in preparing this item:**

- *Initiator*
  - Reviews all information about the [student review of teaching process](#) on the Provost website

- Consults with tenured members of the department to select two of the three student committee members, one of whom should be a student who has not been an advisee, research collaborator, or enrolled student of the candidate
- Solicits name of third student committee member from candidate
- Contacts all student committee members and secures their agreement to serve; secures agreement from one of the students to serve as chair; provides names of student committee members to IR&E
- Collaborates with candidate [and in some departments, with tenured members] to prepare an optional departmental question for the student review of teaching form and to review additional question (if any) prepared by student committee; communicates on behalf of the candidate and the department with IR&E, which is responsible for coordinating the question preparation and review process
- Works with the candidate to [prepare sampling request](#) to IR&E
- Receives individually-completed student review questionnaires and summary data from IR&E
- Makes individually-completed review questionnaires and IR&E quantitative summaries (but not the student committee qualitative summary) available to tenured members to inform their statements of recommendation and rationale
- Places completed student review questionnaires, quantitative summaries, and qualitative summaries in dossier
- *Candidate*
  - Reviews all information about the [student review of teaching process](#) on the Provost website
  - Provides name of one student committee member to initiator
  - Collaborates with initiator [and tenured members] to prepare department's additional question
  - Collaborates with initiator to verify course list and develop sampling procedure request
  - Collaborates with initiator [and tenured members] to review student committee's additional question and committee's feedback on department question
- *Student committee*
  - Reviews [Information for Student Committees](#) on the Provost website
  - Provides feedback to IR&E on department's additional question (if any) for student review of teaching questionnaire
  - Prepares up to one additional question of their own
  - With assistance from IR&E, edits their question in response to department feedback and responds to any additional changes in department's question
- *Institutional Research and Evaluation (IR&E)*
  - Convenes all student committees for orientation, question preparation, and question review and editing
  - Advises department and student committee in preparing valid and reliable questions
  - Advises department on sampling procedure
  - Selects sample
  - Distributes student review of teaching questionnaires and follows up with non-respondents until desired response rate is achieved

- Guides student committee in preparing qualitative summary of narrative responses and receives completed summary
- Prepares quantitative summary of closed-ended questionnaire items and description of sample
- Provides individually-completed student review questionnaires, quantitative summaries, and student committee's qualitative summary to initiator for inclusion in dossier

### **3. Guidelines and suggestions:**

- When the initiator is recruiting students to serve on the student committee, he or she should suggest that they review the [Information for Student Committees](#) document on the Provost website.
- Departments with significant numbers of students participating in off-campus programs may wish to contact the Office of International and Off-Campus Studies prior to recruiting student committee members to ascertain which students are, or may be, off-campus during the spring semester prior to the review or the fall semester of the review. One member of the student committee may be off-campus but available by email during the spring prior to the review. So long as all three students are on campus during the fall semester of the review year, the process of question preparation and review can occur with only two of the three students contributing.
- Departmental practice with respect to the preparation of the additional questions varies. In some departments, the initiator alone collaborates with the candidate in preparing the department's question and reviewing the student committee question; in other departments, some or all of the tenured members participate in question preparation. Either approach is fine. [Guidelines for preparing additional questions](#) are available on the IR&E website.
- In cases of joint appointment, each of the candidate's two departments may select one member of the student committee and provide up to one additional question for the student evaluation form.
- When IR&E works to facilitate agreement on the wording of any additional questions, IR&E communicates with the initiator on behalf of the initiator, candidate, and (depending on departmental practice) the tenured members, and with the student committee chair on behalf of the entire student committee.

**Tenure and Promotion Handbook**  
**Faculty Manual §4.VII.E.8:**  
**External Reviews of Scholarly/Artistic Work**

*[The dossier shall contain] external reviews of the candidate's scholarly or artistic work. Reviews of the candidate's scholarly or artistic work shall be provided by at least two, but no more than four, individuals external to St. Olaf College. The purpose of these reviews is to provide expert evaluation of the quality and significance of the candidate's scholarly or artistic work. Normally, at least one of these reviews shall be prepared by an individual with little or no prior relationship with the candidate. After conferring with the candidate and the tenured members of the department(s), the initiator(s) of the candidacy shall provide to the Dean of the College an ordered list of recommended reviewers, including a rationale for each prospective reviewer and a description of his or her professional relationship, if any, to the candidate. The dean shall request from each reviewer a written evaluation of the candidate's scholarly or artistic work in relation to the criteria for contributions to one's disciplinary and/or interdisciplinary field(s) (Section 4.VI.B.2.) and in light of the relevant department Statement(s) on Significant Scholarly/Artistic work. Prospective reviewers shall be provided with the candidate's curriculum vitae, a portfolio of the candidate's scholarly or artistic work prepared by the candidate in accordance with instructions provided by the Dean of the College, the Standards for Faculty Evaluation (Section 4.VI.), the department Statement(s) on Significant Scholarly/Artistic Work, and in the case of a joint appointment, the portion of the joint statement of expectations (Section 4.III.I.1.c.) germane to scholarly or artistic work.*

**1. Individuals who have access to this item:**

- The initiator
- The candidate's Associate Dean
- The Dean of the College
- Members of the Tenure and Promotion Committee
- The President
- Members of the Board of Regents

**2. Participants in preparing this item:**

- *Candidate* –
  - Suggests potential reviewers to the initiator
  - Provides information to initiator describing his or her relationship with each prospective reviewer and explaining why each individual would be an appropriate choice
  - Provides initiator with contact information (street address as well as email address)
  - Provides initiator with an electronic copy of his or her CV and electronic copies of professional materials to be sent to external reviewers and made available to the Tenure and Promotion Committee

- *Initiator* –
  - Consults with the candidate, tenured members and Associate Dean to develop a list of potential reviewers, including for each reviewer a rationale and a description of his or her professional relationship, if any, to the candidate. The reviewers should be listed in order of preference. This list should include both street address and email address for each reviewer.
  - Advises candidate on CV preparation and contents of portfolio of professional materials to be sent to external reviewers.
  - Provides the Dean of the College with the appropriate version of the department’s Statement on Significant Scholarly/Artistic Work.
  - Provides final ordered list of recommended reviewers to the Dean of the College, with name, title, U.S. mail address, email address, telephone number, statement of relationship to the candidate, and rationale for each individual on the list.
- *Tenured members of the department* –
  - Suggest potential reviewers to initiator, including a rationale for each
  - Provide feedback to initiator on the draft list of reviewers and accompanying rationale prior to submission to the Dean of the College
- *Associate Dean* – Provides feedback to initiator on the draft list of external reviewers and rationales
- *Dean of the College* –
  - Sends initial letter of inquiry to two, but not more than four, individuals on the initiator’s list of potential reviewers to ascertain willingness to participate. Sends letters to additional individuals as needed.
  - After a reviewer has replied in the affirmative, the Dean of the College sends the following:
    - ✓ A personal letter of instruction to each reviewer
    - ✓ The *Faculty Manual* Standards for Faculty Evaluation (Section 4.VI)
    - ✓ The department’s Statement on Significant Scholarly/Artistic Work **or**, in cases of joint appointment, the portion of the Joint Statement of Expectations for Teaching, Scholarly or Artistic Work, and Service that pertains to Scholarly/Artistic Work.
    - ✓ The candidate’s CV
    - ✓ The candidate’s portfolio of professional materials

### **3. Guidelines and suggestions:**

- It is advisable to submit a list of at least five potential reviewers to the Office of the Dean, since not all of those contacted may be able to participate. Prospective reviewers should be listed in order of preference *including all contact information*. The initiator may wish to keep the names of one or two additional reviewers on hand in the event that several of the individuals on the original list decline the Dean’s invitation.
- As a group, the external reviewers should be characterized by:

- *Objectivity*: The nature of any relationship between the candidate and each reviewer should not be such as to compromise the objectivity of the reviewer's evaluation of the candidate's professional work.
  - *Balance*: The reviewers should collectively reflect a breadth of expertise commensurate with the breadth of the candidate's scholarly and artistic work.
  - *Professional expertise*: The substance of the reviewers' collective areas of expertise should be appropriate to the substance of the candidate's work.
- The Office of the Dean of the College is responsible for ascertaining the availability of prospective reviewers. Neither the candidate nor the initiator should contact prospective reviewers in advance of the Dean's invitation to write. The Office of the Dean is also responsible for following up with external reviewers in the event of any delay in the submission of the requested review.
  - Typically, in the case of a review for promotion to the rank of professor, a candidate's portfolio of professional materials for evaluation by the external reviewers consists principally of materials completed since the candidate's last review for tenure and/or promotion. Important works completed prior to the last review should also be included, because they help to establish the significance of the candidate's accomplishments (see *FM* Section 4.IV.B.6.e). However, such earlier works do not by themselves demonstrate sustained accomplishment, which is an additional condition for promotion. Consequently, candidates should be selective in including evidence of prior achievements; the majority of the portfolio should consist of more recent work, which helps to establish the sustained nature of the candidate's achievements.

**Tenure and Promotion Handbook**  
*Faculty Manual §4.VII.E.9:*  
**Statements of St. Olaf Colleagues Outside the Department**

*[The dossier shall contain] statements prepared by other St. Olaf faculty members. Statements shall be provided by three colleagues at St. Olaf College from outside the candidate's department(s), selected by the candidate and solicited by the initiator(s) of the candidacy. The principal purpose of these statements is to describe and evaluate the candidate's contributions to the organizational effectiveness and community life of the college (Section 4.VI.B.3.b). None of the colleagues preparing these statements shall be asked to serve simultaneously as a peer reviewer of the candidate's teaching. However, these statements may address the candidate's contributions to student learning and development and to the candidate's disciplinary or interdisciplinary field(s) if the additional information is likely to enhance the evidence provided elsewhere in the dossier.*

**1. Individuals who have access to this item:**

- The initiator
- The candidate's Associate Dean
- The Dean of the College
- Members of the Tenure and Promotion Committee
- The President
- Members of the Board of Regents

**2. Participants in preparing this item:**

- *Candidate* – Identifies three colleagues from whom statements will be solicited; candidate may consult with initiator in selecting colleagues
- *Initiator* – Provides advice to candidate concerning the selection of colleagues to write; sends requests to identified colleagues soliciting statements for the candidate's dossier
- *Colleagues outside the department* – Prepare statements for the dossier

**3. Guidelines and suggestions:**

- In cases of joint appointment, the non-departmental colleagues asked to prepare statements on behalf of the candidate should be members of neither of the candidate's departments. The initiators have discretion in determining which of them will solicit and receive these statements.
- The initiator should include the candidate's CV and the relevant language of the *Faculty Manual* (Section 4.VI.B.3.b) with the solicitation letter.
- As noted in the relevant *Faculty Manual* provisions, the focus of the statements prepared by colleagues outside the candidate's department(s) is the candidate's contributions to the organizational effectiveness and community life of the college as

a whole. These non-departmental colleagues are not expected to have detailed knowledge of the candidate's performance in relation to the other categories and criteria for faculty evaluation, unless they have worked with the candidate in ways that would provide distinctive information about the candidate's work (e.g., through team-teaching or collaborative research). In such cases, the non-departmental colleague may include that additional information in his or her statement.



**Tenure and Promotion Handbook**  
**Faculty Manual §4.VII.E.10:**  
**Reviews of Administrative Work**

*[The dossier shall contain] reviews of the candidate's administrative work, if applicable. If a candidate is being evaluated under Section 4.VI.B.3, reviews of the candidate's administrative work in relation to the criteria listed therein shall be prepared by: (1) the candidate's supervisor, (2) no more than three constituents of the candidate's administrative unit selected by the candidate and supervisor in consultation with one another, and (3) one other faculty colleague with comparable administrative experience, selected by the candidate.*

**1. Individuals who have access to this item:**

- The initiator
- The candidate's Associate Dean
- The Dean of the College
- Members of the Tenure and Promotion Committee
- The President
- Members of the Board of Regents

**2. Participants in preparing these items:**

- *Candidate* – Collaborates with supervisor to select up to three constituents of the candidate's administrative unit and a faculty colleague with comparable administrative experience
- *Candidate's administrative supervisor*
  - Collaborates with candidate to determine the number and identity of constituents to serve as reviewers (see suggestions below for making this decision)
  - Provides initiator with (1) the names of all reviewers of administrative work and (2) candidate's administrative position description
  - Serves as a reviewer
- *Initiator* – Solicits letters from all reviewers and adds reviews to the dossier when received
- *Constituents of the candidate's administrative unit* – Prepare reviews
- *Another faculty administrator* – Prepares review

**3. Guidelines and suggestions:**

- Reviews of administrative work should be included in the dossier for any candidate who has held an administrative position at any time during the time period under review. Such positions include department chair, program director, Associate Dean, director of an academic center (e.g., CILA, or director of an office (e.g., GFCR, IR&E) (*Faculty Manual 4.VI.B.3.c*).
- The number and identity of reviewers who are constituents of the candidate's administrative work should be commensurate with (1) the amount of released time, if

any, received for the administrative work in the period of time under review; (2) the scope and nature of the candidate's administrative responsibilities; and (3) the breadth of the constituency of the academic or administrative unit led by the candidate. A smaller number of reviews is appropriate for candidates with limited released time and a narrower constituency (e.g., candidates who have served as department chairs or program directors for only one or two years).

- The initiator should enclose the candidate's CV and the position description with the letter requesting a statement of review for the candidate's dossier, and should refer reviewers to the criteria for effective administrative work in the *Faculty Manual* (see below).
- The written review must address the three criteria for effective administrative work outlined in the *Faculty Manual*, Section 4.VI.B.3.c:
  - “Leadership skills, as demonstrated in the ability to create and sustain the unit’s mission in relation to that of the College, promote innovative uses of College resources, and encourage professional/faculty development.”
  - “Interpersonal skills, as demonstrated in the cultivation of effective working relationships to carry out the work of the administrative unit.”
  - “Managerial skills, as demonstrated in organizing, delegating, and prioritizing work, exercising good judgment, and implementing College policies and procedures.”
- The written review should also:
  - Reference the position description in the content of the review, focusing on the specific responsibilities or results that the reviewer has directly observed;
  - Provide concrete examples and illustrations to support the evaluation;
  - Include a variety of evidence, drawn not only from direct experience with the candidate in his or her administrative work, but also from observations of materials the candidate has produced in the context of that work (e.g., website content, reports, presentations, etc.).

**Tenure and Promotion Handbook**  
**Faculty Manual §4.VII.E.11:**  
***Tenured Members' Statements of Recommendation and Rationale***

*Statements of recommendation and rationale prepared by the tenured members of the candidate's department(s). Each tenured member of the candidate's department(s) shall prepare a confidential statement that makes a specific recommendation as to whether tenure or promotion should be granted, and that provides a rationale in support of the recommendation. The rationale shall address each of the categories for faculty evaluation in (Section 4.VI.B), and the department's Statement on Significant Scholarly/Artistic Work, and shall include specific evidence. In the case of an interdisciplinary teaching assignment (identified as in Section 4.VII.F), a tenured department member may also serve as a designated reviewer of the quality of the candidate's teaching in that assignment, subject to conditions described in Section 4.VII.F. In that case, that department member's statement shall address the candidate's contributions to student learning and development (Section 4.VI.B.1) in that assignment. In preparing their statements, the tenured members shall have access to the candidate's curriculum vitae and professional statement, to a sample of teaching materials and scholarly or artistic work compiled by the candidate, to the individually-completed student and alumni reviews of the candidate's teaching, and to quantitative summaries of these reviews (Section 4.VII.E.6). All tenured members of the candidate's department(s) including those on sabbatical or other leave, shall prepare a statement except in the case of a conflict of interest. In such a case, the initiator of the candidacy shall enter a statement in the dossier explaining the nature of the conflict of interest in lieu of the statement from the tenured member.*

**1. Individuals who have access to this item:**

- The initiator
- The candidate's Associate Dean
- The Dean of the College
- Members of the Tenure and Promotion Committee
- The President
- Members of the Board of Regents

**2. Participants in preparing this item:**

- *Initiator* -
  - May encourage tenured members to observe the candidate's instruction during the spring semester prior to the year of the review as well as during the fall semester of the review year.
  - Solicits statements from the tenured members of the department
  - Makes available the materials to which tenured members are to have access in preparing their statements:
    - ✓ The candidate's CV
    - ✓ The candidate's professional statement
    - ✓ The candidate's portfolio of instructional materials

- ✓ The candidate's portfolio of scholarly/artistic materials (see guidelines for External Reviews for suggestions concerning the content of this portfolio)
- ✓ The individually-completed student reviews of teaching and the IR&E quantitative summaries of the reviews and description of the sample. (Tenured members are not provided access to the student committee's qualitative summary of the student reviews of teaching.)
- Ensures that each tenured member's statement includes a clearly articulated recommendation. (see below, section 3.)
- If the initiator is also a tenured member, prepares a statement for the dossier
- *Candidate* – Prepares portfolio of instructional materials for review by tenured members during the spring semester prior to the year of the review and during the fall semester of the review year
- *Tenured members of the department* – Prepare statements

### 3. Guidelines and suggestions:

- Every tenured member of the department, including those on sabbatical or other leave, shall prepare a statement except in cases of a conflict of interest. The initiator, in such cases, shall ascertain the nature of the conflict of interest and enter a written statement of explanation in the dossier. This statement should be included in lieu of the tenured member's statement in the appropriate section of the dossier.
- If the initiator is also a tenured member of the department, the initiator prepares a separate statement of recommendation and rationale in his or her role as a tenured member, in addition to the statement he or she prepares as the initiator (Section 4.VII.E.12).
- If the Associate Dean is also a tenured member of the department, the Associate Dean prepares a separate statement of recommendation and rationale in his or her role as a tenured member, in addition to the statement he or she prepares as the Associate Dean.
- Tenured members of the department who are also serving as peer reviewers of the candidate's teaching should prepare two separate items for the dossier: the tenured member's statement of recommendation and rationale referencing all three categories of faculty work, and the peer reviewer's statement focusing only on the candidate's contributions to student learning and development.
- If a faculty member has resigned tenure as part of a phased-in retirement agreement, that faculty member should notify the initiator that he or she is not eligible to write as a tenured member of the department. However, depending on the nature of his or her current appointment, such a faculty member may contribute his or her opinion as a full-time, untenured member of the department. The initiator may also consult with the faculty member even if the faculty member does not currently hold a full-time appointment.

- Departments vary in their practices with respect to asking all tenured members to observe the candidate's instruction prior to preparing their statements of recommendation and rationale. In departments which ask all tenured members to observe instruction, the initiator may encourage the tenured members to begin doing so during the spring prior to the year of the review, to avoid having multiple observers in individual class sessions.
- With the solicitation letter, the initiator should include:
  - The Faculty Manual "Standards for Faculty Evaluation" (Section 4.VI)
  - The candidate's CV
  - The candidate's professional statement
  - The department's Statement on Significant Scholarly/Artistic Work or, in cases of joint appointment, the joint statement of expectations for teaching, scholarly or artistic work, and service
- The initiator may wish to suggest that tenured members consider the needs and goals of the department as identified in the department's most recent self-study in their evaluation of the candidate. It may be helpful to provide a summary of key findings from the self-study with the initiator's request to the tenured members, or to make the full self-study readily available in some other form.
- The tenured member's statement must begin with a specific recommendation as to whether tenure and/or promotion should be awarded (this substitutes for the previous practice of submitting separate ballots). The remainder of the tenured member's statement provides a rationale, with specific evidence, to support the recommendation. The rationale must reference all three of the categories of faculty evaluation (contributions to student learning and development, to one's scholarly and artistic field(s), and of leadership and service), and provide concrete examples and illustrations drawn from the materials to which the tenured members are provided access. An initiator may request that a tenured member prepare a revised statement if the above information is not included in the tenured member's initial submission.

**Tenure and Promotion Handbook**  
**Faculty Manual §4.VII. E.12:**  
***Initiator's Statement of Recommendation and Rationale***

*[The dossier shall contain] Statement(s) of recommendation and rationale prepared by the initiator(s) of the candidacy. The statement(s) shall make a specific recommendation as to whether tenure or promotion should be granted and support the recommendation with a rationale that synthesizes the evidence in the dossier in relation to each of the categories and criteria for faculty evaluation (Section 4.VI.B). The rationale shall also consider the evidence in the dossier in relation to the department Statement on Significant Scholarly/Artistic Work or, in the case of a joint appointment, the joint statement of expectations for teaching, scholarly or artistic work, and service. The rationale shall specify the number of tenured members of the department whose statements recommend granting tenure or promotion and the number whose statements recommend against such action. The rationale shall also reference the opinions of all non-tenured members of the candidate's department who are full-time during the year of the review, and who have completed at least two years of full-time service at the college prior to the year of the review. The years of service need not have been consecutive, but they must have occurred during the candidate's years of service. In the case of an interdisciplinary teaching assignment (identified as in Section 4.VII.F), the rationale shall reference appraisals of that candidate's teaching in that assignment, if warranted under conditions described in Section 4.VII.F. In the case of a joint appointment, the initiators may prepare independent statements.*

**1. Individuals who have access to this item:**

- The initiator
- The candidate's Associate Dean
- The Dean of the College
- Members of the Tenure and Promotion Committee
- The President
- Members of the Board of Regents

**2. Participants in preparing this item:**

- *Initiator* – Ensures that dossier includes all required items; reads contents of dossier and prepares statement. In cases of joint appointment, the two initiators may collaborate in preparing a single document or may write independently.

**3. Guidelines and suggestions for the content of this item:**

- The initiator's statement of recommendation and rationale is separate from other documents the initiator may contribute to the dossier (e.g., a statement as a tenured member of the department).
- The rationale should address each criterion within each category of faculty work in the *Faculty Manual* "Standards for Faculty Evaluation" (Section 4.VI.B).

- The rationale should include a variety of evidence and provide concrete examples and illustrations to support the recommendation. The most common sources of evidence for each category of faculty performance include the following:
  - *Contributions to student learning and development*: Candidate’s portfolio of teaching materials; candidate’s professional statement; peer reviews of teaching; student and alumni reviews of teaching; statements of tenured members of the department; opinions of non-tenured members.
  - *Contributions of scholarly/artistic work*: Candidate’s portfolio of scholarly/artistic work; candidate’s professional statement; evaluation of external reviewers; statements of tenured members of the department; opinions of non-tenured members.
  - *Contributions of leadership and service*: Statements from St. Olaf colleagues outside the candidate’s department; candidate’s professional statement; reviews of administrative work (if applicable); statements of tenured members of the department; opinions of non-tenured members.
  
- Some contributions to the dossier that typically focus on just one category of faculty evaluation may include information about the candidate’s work in other categories as well. For example, a colleague in another department may have team-taught with the candidate, or a former student may have collaborated on a research project with the candidate. The initiator should include this information wherever appropriate.
  
- The statement is also to reference “the opinions of all full-time, non-tenured members of the candidate’s department who have completed at least two years of service at the College.”
  - Faculty members in this category include those who are full-time during the year of the review, and who have completed at least two years of full-time service at the college prior to the year of the review. The years of service need not have been consecutive, but they must have occurred during the candidate’s years of service, to allow sufficient opportunities for observation of the candidate’s work.
  - While the non-tenured members are not expected to provide a systematic review of the candidate’s performance, they should be referred to the *Faculty Manual* “Standards for Faculty Evaluation,” and encouraged to review the candidate’s CV and portfolio of teaching and professional materials.
  - Those providing opinions are not required to make a recommendation; they may elect to convey no opinion.
  
- The *Faculty Manual* does not prohibit chairs from soliciting opinions of the candidate’s work from other knowledgeable department members, such as faculty members on phased-in retirement who have resigned tenure and are not currently full-time, or other part-time instructors with many years of experience in the department.
  
- The rationale should include any information about the candidate’s work that is not referenced elsewhere in the dossier. For example, a candidate may have contributed

service to the department that is not noted in the tenured members' statements and might not be visible to students. The initiator can include this supplementary information in the rationale.

- It is important for the initiator's statement to discuss candidly the areas of weakness or lesser achievement in a candidate's portfolio of contributions; even the most accomplished candidates do not do everything equally well. Rather than avoiding mention of any concerns, initiators should acknowledge them, provide any context that helps to explain why concerns exist, and then describe what the candidate, the initiator, the department, and any other colleagues may be doing (or planning to do) to help the candidate improve his or her performance in these areas. This information is now specifically invited in the revised Standards for Faculty Evaluation. Section 4.VI.B.1.e requires evidence of a faculty member's activities in "continuing [his or her] own development as an instructor," and Section 4.VI.B.2 refers to sustained engagement and dissemination in scholarly or artistic work. An initiator's rationale that fairly summarizes the entire pattern of evidence in the dossier is more convincing than a rationale that is silent with respect to any evidence of weakness.



**Tenure and Promotion Handbook**  
**Faculty Manual §4.VII.G:**  
***Associate Dean's Statement of Recommendation and Rationale***

*The completed dossier shall be forwarded to the appropriate associate dean(s) on or before December 1<sup>st</sup>. At the discretion of the Dean of the College, the deadline may be extended. The associate dean(s) shall prepare a statement of recommendation and rationale to accompany the dossier. The statement(s) must make a specific recommendation as to whether tenure and/or promotion should be granted, and support the recommendation with a rationale that explains the significance of the candidate's professional development, distinctive accomplishments and priorities for the future in relation to the needs and goals of the candidate's Faculty or Faculties. The rationale shall address the categories for faculty evaluation (Section 4.VI.B), but need not constitute an independent summary of the contents of the dossier. The associate dean(s) shall forward the completed dossier, together with his or her statement(s) of recommendation and rationale, to the Dean of the College. The statement(s) of the associate dean(s) shall be shared only with the Dean of the College, the members of the Tenure and Promotion Committee, the President, and Board of Regents.*

**1. Individuals who have access to this item:**

- The candidate's Associate Dean
- The Dean of the College
- Members of the Tenure and Promotion Committee
- The President
- Members of the Board of Regents

**2. Participants in preparing this item:**

- *Associate Dean* – reads contents of dossier and prepares written recommendation

**3. Guidelines and suggestions:**

- In cases of joint appointment, the Associate Deans should prepare separate statements, since the principal purpose of each statement is to explain the significance of the candidate's accomplishments in relation to the Associate Dean's Faculty.
- The distinctive contribution of the Associate Dean's recommendation is to indicate the significance of the candidate's qualifications and accomplishments for the Faculty of which the candidate is a member. The Associate Dean can evaluate the candidate's record in relation to the goals and needs of the Faculty, as well as the college as a whole.
- The recommendation should reference the "Standards for Faculty Evaluation" as provided in 4.VI.B of the Faculty Manual, but need not constitute an independent summary of the contents of the entire dossier.

- The recommendation should provide concrete examples and illustrations to support the evaluation, and include a variety of evidence from a broader, college-wide perspective.