

Chancellor's Memorandum #35

May 1977 (Revised May 1977, May 19, 1997, July 7, 2000, December 21, 2007, March 3, 2016)

Policies and Procedures for Promotion and/or Continuous Appointment at the University of Missouri - Kansas City

Introduction The introduction was updated to correct links and to clarify relationship of CM35 to the CRRs

Chancellor's Memorandum #35 outlines the UMKC campus procedures for processing tenure/tenure-track faculty for promotion and tenure reviews. In addition to this document, [CRR 320.035](#) should be read and information from both the [UMKC P&T website](#) and the Unit Promotion and Tenure Coordinators (P&T Coordinators) needs to be obtained for a complete understanding of the process.

Role of the Unit P&T Coordinators Section updated to clarify coordinator roles

Deans will appoint one or more [Unit P&T Coordinators](#) from administrators and/or executive staff who do not otherwise have a reviewer role in the P&T process to manage, coordinate, and mentor faculty through the promotion and tenure process. Unit P&T Coordinators are required to meet monthly at the campus level with the Vice Provost of Faculty Affairs and the Faculty Affairs Specialist to discuss, develop and implement P&T processes, forms, procedures, and communication, and act as liaisons to the unit faculty and Faculty Affairs.

OVERVIEW Section updated to align with CRR and increase clarity

This memo is organized in sequential order of events that occur during the tenure and promotion process. For the purposes of this document, a Unit is defined as either a School or a College. Each of the following steps is explained in detail following the Overview.

1. The first step in the process is initiation of recommendations.
2. Following notification that a candidate is seeking promotion and/or tenure, external evaluators must be identified and approved.
3. The candidate is required to prepare an electronic portfolio.
4. Tenured faculty in the Unit holding the same rank (or higher) as the candidate are given the opportunity to provide comments to the P&T Committee.
5. Review of the candidate begins:

The review order of portfolios is described briefly as follows. At each stage beyond the external evaluator reviews, the candidate will have an opportunity to receive a copy of the recommendation and will have an opportunity to respond whether the recommendation is negative or positive (*please refer to attached diagram and spreadsheet*):

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- a. The first level of portfolio review will be the External Evaluators.
 - b. The second level of review will be the Department/Division Chair/Head.
 - c. The third level of review is Department/Division P&T Committee, or in units with no Departments or Divisions, the Unit P&T Committee. In units with both a Department/Division P&T Committee and a Unit P&T Committee, the fourth level of review will be the Unit P&T Committee; otherwise, the process moves forward skipping this step.
 - d. The Dean is the next, and final level of the Unit review.
 - e. Following the Dean's review and candidate's rebuttal (if any), the Unit P&T coordinator will forward the complete portfolio to the Vice Provost for Faculty Affairs by the first Friday in January to initiate the Campus level reviews.
 - f. The Campus Promotion and Tenure Advisory Committee (CPTAC) will consider each case and make recommendations to the Provost.
 - g. The Provost will make recommendations to the Chancellor who makes the final decision.
6. Written notification of the Chancellor's final decision will be provided to the candidate prior to July 1.

Candidates who are not recommended for promotion to associate professor will not be recommended for continuous appointment (tenure). Candidates at the rank of assistant professor who are under mandatory consideration for continuous appointment will also be considered for promotion to the rank of associate professor.

Initiation of recommendations. Section updated for accuracy and clarity

The P&T Coordinator should notify the Dean of all probationary tenure candidates due for mandatory promotion and tenure review in the upcoming review cycle. By September 1, the Dean must make a call to notify those tenure candidates that they are up for mandatory review and advise the candidates they must begin preparing their P&T portfolio for submission by May 1. The Dean will also make a call to all Associate Professors asking if they plan to apply for promotion to full professor; if so, promotion candidates must declare their intent to apply for promotion in writing to the Dean prior to September 30; failure to declare by the deadline will require the candidate wait until the next year's review cycle. The Dean must forward a complete list of all mandatory tenure candidates and all voluntary promotion candidates to the Vice Provost of Faculty Affairs no later than October 1.

External Evaluator List. Section updated for accuracy and to clarify roles of unit P&T coordinators

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CRR 320.035 B.2.b. strongly suggests that external evaluation of research and other scholarly contributions by disinterested parties be part of the process. Therefore, at UMKC, candidates for promotion and tenure shall have their portfolios subjected to external peer evaluations. Each candidate for promotion and/or continuous appointment and each academic department or division must submit to their P&T Coordinator a list of external scholars who might be called upon to review and evaluate the candidate's portfolio. Candidate must disclose any relationship to all external evaluators on the list prior to the P&T Coordinator submitting the list to the Provost office for approval. Consult the UMKC P&T website as to the number and selection process of reviewers.

These lists should include the names of well-respected scholars who are nationally and internationally known for their expertise. All external evaluators should hold academic appointments at the university level at an institution that is of equal or higher standing according to the [Carnegie Commission Classification](#) and must have achieved the rank and tenure status that is being considered for the candidate. Exceptions to this may be made at the discretion of the Provost for fields where clinical appointments are common, for distinguished emeriti professors, or noted researchers outside the academy. Collaborators, mentors, and former students should generally not be used as external evaluators or this potential for conflict of interest should be noted and factored into their use. Except in unusual circumstances, the list of names of proposed evaluators must be submitted for approval to the Provost/Vice Chancellor for Academic Affairs before the published deadline on the Provost page each year. Each candidate seeking promotion at UMKC shall have at least four completed external evaluation letters.

It shall be the responsibility of the Deans and Directors to: 1) initiate the external review by selecting a minimum of four to six external evaluators expert in the candidate's field; 2) initiate letters seeking appraisals and evaluations of the candidate's competencies relative to UMKC criteria; 3) supply the relevant criteria for evaluation at UMKC in the areas of the University's concerns: research, teaching, service; 4) ensure that all materials submitted by external evaluators are available for the initial level of formal review within the unit, and for all subsequent levels of review.

Electronic portfolios. This section was updated for accuracy

Candidates are required to prepare an electronic portfolio as described on the Promotion and Tenure website which will contain all required documentation necessary to support the candidate's qualifications in the areas of teaching, research, and service. Instructions for construction of the portfolio may be found on the UMKC P&T website. The completed portfolio must be submitted to the Unit

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P&T Coordinator by May 1. The candidate's entire portfolio must be sent to external evaluators. **The section below is being moved to a separate instructions document for applicants, coordinators, and reviewers**

Adding Documentation to the Portfolio during the Review process.

Candidates are encouraged to update their portfolios throughout the review year by sending addenda to their P&T Coordinator via email with a request to add attached documentation to the portfolio. No one but the candidate may request to add materials to the portfolio, with the exception of reviewers attaching documentation to support their letter of recommendation; all reviewer documentation must be received with the letter of recommendation during the prescribed review period. Once the portfolio is submitted for review to external evaluators, documentation cannot be removed from the portfolio. Therefore, it is requested that candidates refrain from submitting updated CVs or Part I Forms; simply forward the new documentation with an explanatory email to the P&T Coordinator for inclusion in the portfolio.

Faculty Comments. **This section was updated based on recommendations from CPTC to clarify the process and increase transparency**

Faculty comments will be invited by the Dean prior to the initiation of the review process described below. As stated in CRR 320.035 A.1.e. "Prior to the deliberations of the Promotion and Tenure Committee, all tenured members of that department or Unit holding the same or higher rank as that of the candidate (or, in larger departments or Units, all tenured members of the particular academic field holding the same rank or higher rank as that of the candidate) shall be given the opportunity to provide written and signed comments to the Promotion and Tenure Committee regarding the candidate being considered. However, at all levels of the review process, no individual is to participate in committee discussions or to vote at more than one level". Faculty may review the portfolio(s) with external letters redacted or an updated vitae of the candidate prior to formulating comments. Faculty comments solicited are NOT to appear in the portfolio, but shall be considered by the first P&T Committee of review. If comments from faculty have a bearing on the outcome of a committee's decision, the manner in which those comments played a role should be expressed in the committee's written letter so that the candidate may have a chance to rebut.

Review of Candidate's Portfolio **This large section has been updated for alignment with the CRR, with recommendations from the CPTC for campus-specific policies added (bolded in new document)**

Letters of Recommendation at all Unit Levels of Review

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All levels of review are required to thoroughly examine the evidence presented in each candidate's portfolio and make a recommendation for or against the action being sought within fourteen days of receipt of the portfolio. All levels of review should feel empowered to make whichever recommendation (positive or negative) they believe is supported by the evidence provided as weighed against the Department/Unit qualifications and criteria. Mere satisfaction of minimum criteria at the Unit or Department level is not sufficient to ensure promotion or continuous appointment. Once a recommendation is determined, a letter should be prepared which summarizes and supports the reasons for the recommendation based upon the required criteria. Letters should convey relevant external evaluator comments (without divulging evaluator's name or institution), and should also address external evaluator comments which dissent from the reviewer's recommendation. Committee letters must include vote tally, signatures of all committee members, and both supporting and dissenting views as weighed against the required criteria. If the recommendation is based upon information not contained within the portfolio that the reviewer has solicited from other sources, the letter must identify the solicited information and the source, and the solicited evidence must be attached to the letter so the candidate has an opportunity to review and rebut.

Letters of recommendation and all relevant attachments will be delivered by the reviewer or committee chair to the Unit's P&T Coordinator, who will place the recommendation in the candidate's portfolio and provide a copy of the letter, in its entirety with any supporting attachments, to the candidate for review and rebuttal. Candidates will be given fourteen calendar days to provide a written rebuttal, which (if any) will be placed in the portfolio prior to submitting to the next level of review.

All recommendation letters, candidate rebuttals, and supporting documentation from all subsequent levels must be included in the portfolio prior to submitting to the next level of review. Portfolio reviews are sequential as described in the Overview process above; at no time and under no circumstances should different levels of review occur simultaneously. Under no circumstances will recommendations be forwarded to previous levels of review. All committee P&T discussions and deliberations are to remain confidential amongst the membership.

Review by Department/Division Chair/Head.

(For the purpose of brevity, the word "Department" will relate to either Department or Division, and the word "Chair" will relate to either Chair or Head). The Chair's review will follow the first P&T Committee review OR it will be prior to the review of the first P&T Committee review depending on the unit's prescribed process A Chair

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may not serve on the P&T Committee for a candidate from their own Department. However, Chairs from other Departments may serve on the P&T Committee for a candidate as needed. The Chair should take no more than 14 calendar days in which to review the portfolio and submit a recommendation. The Chair will complete the Part II Form and make a "yes" or "no" recommendation. The Chair must support their recommendation weighed against the required department/Unit criteria, and address any dissenting opinions in the subsequent levels of review, including external evaluator letters. If the recommendation is based upon information not contained within the portfolio, the recommendation must identify the information and the source, and the supporting evidence must be attached to the recommendation so the candidate has an opportunity to review and rebut.

The Chair may choose to write a letter of recommendation in addition to the Part II form, but this is not required. The Chair will deliver the completed and signed Part II Form and recommendation letter (if any) to the Unit P&T Coordinator who will in turn make a copy available to the candidate. The candidate shall have 14 calendar days in which to rebut the Chair's recommendation to the next level of review.

Department/Division/Unit Committee Reviews.

Promotion and Tenure (P&T) Committees: According to CRR 320.015 A.1. c. "The promotion and tenure committees may be appointed, elected, or otherwise designated in accordance with the established departmental or Unit procedures as long as the procedures are in compliance with the University of Missouri Collected Rules and Regulations. If other than tenured professors are included on the promotion and tenure committee, only those committee members who are tenured may participate in making a recommendation for a candidate seeking tenure, except in the case of faculty members emeriti serving on the committee as allowed in section 320.035.A.1.d." In the case of a promotion to Associate Professor or to Professor, if the department/division P&T Committee contains faculty members who are not at that rank, such members may not participate in the discussion or vote on the promotion.

A P&T Committee requires a minimum of three faculty members. If there are not at least three tenured or emeriti faculty in the department/division/unit of the same rank or higher of that being sought by the candidate, the P&T Committee shall "borrow" faculty of that rank or above from related departments or units either at UMKC or at another UM campus. These faculty shall be chosen by consultation among the eligible faculty, the Chair, and the Dean.

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Review Process. The Department/Division P&T Committee, or unit P&T Committee, should take no more than 14 calendar days to review a candidate's portfolio and submit a recommendation. The P&T Committee may solicit whatever additional information its members deem appropriate, from within and outside the University, to evaluate the candidate under consideration in the areas of teaching, research and service (CRR 320.015 A.1.f.). If solicited information is factored into the Committee's recommendation, the letter must identify the evidence collected and the source, and the evidence must be attached to the recommendation letter so the candidate has an opportunity to review the evidence and rebut. Once a decision is made, a letter of recommendation should be prepared and signed by all committee members. The letter must contain the committee's recommendation (for or against) with vote tally, and must summarize the reasons for the recommendation, including supporting and dissenting views and relevant external evaluator comments *<always preserve anonymity of evaluator and institution>* and the committee's related opinions, all weighed against the qualifying criteria as documented in the Department or Unit P&T Guidelines. If a single letter cannot adequately convey both majority and dissenting views, a minority opinion letter may be included, signed by all minority opinion committee members.

The committee Chair will deliver the letter of recommendation to the Unit P&T Coordinator promptly after a decision has been reached, within 14 days of receiving the portfolio for review. The Unit P&T Coordinator will place the letter in the candidate's portfolio and provide a copy to the candidate, allowing fourteen calendar days for the candidate to rebut prior to submitting the portfolio to the next level of review. When the candidate's portfolio is forwarded to the next level of review, all recommendations and rebuttals from all subsequent levels must be included.

Review by the Unit Dean.

The Dean shall be the final level of the Unit's P&T review process. The Dean may consult with members of the faculty individually or in a group and may confer with others before coming to a decision (CRR 320.035 A.2.a). However, to avoid the appearance of bias, the Dean should not consult with individual members of the P&T Committees about cases currently under review prior to the completion of committee recommendations, nor with members of the Campus Promotion and Tenure Advisory Committee (CPTAC) about a case at any time unless so invited by the CPTAC.

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The Dean may solicit whatever additional information is deemed appropriate for making an independent evaluation and recommendation. If the recommendation is based upon information not contained within the portfolio, the recommendation letter must identify the information and the source, and the supporting evidence must be attached to the recommendation so the candidate has an opportunity to review and rebut. All recommendations must be weighed against the required department/Unit criteria.

The critical questions that shall be addressed at this level are as follows:

1. *Is the candidate qualified to be promoted or to be placed on continuous appointment?*
2. *Is the recommended action in the best interests of the University of Missouri Kansas City?*

The Dean will deliver the signed letter of recommendation with any supporting documentation to the Unit P&T Coordinator who will in turn make a copy available to the candidate. The candidate shall have 14 calendar days in which to rebut the Chair's recommendation to the next level of review.

Review by the Campus Promotion and Tenure Advisory Committee, the Provost, and the Chancellor

The Campus Promotion and Tenure Advisory Committee (CPTAC) will thoroughly review each candidate's P&T Portfolio and provide its recommendations to the Chancellor through the Provost. The Provost shall assist the Chancellor by conducting a thorough review of the candidate files and providing recommendations to the Chancellor, along with the recommendations made by the CPTAC and their vote count in each case.

In making a final recommendation to the Provost and the Chancellor, the CPTAC will also answer the two critical questions asked of the Deans above. In addition, the CPTAC will advise the Provost and the Chancellor on the following matters:

1. The qualifications of each candidate based on the candidate's record of teaching, research, and service;
2. The adequacy of the criteria used at the departmental and Unit level
3. The department/unit criteria was appropriately applied in all previous levels of recommendation.

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In instances where the CPTAC makes a recommendation to the Chancellor that differs from the recommendation of the Dean, the CPTAC shall meet or otherwise communicate with the Provost and/or the Chancellor to discuss the case and the reasons behind the committee's decision. Similarly, in instances where the Chancellor's decision differs from the recommendation of the CPTAC, the Chancellor shall meet or otherwise communicate with the committee to discuss the reasoning behind the decision.

There will be no written recommendations by the CPTAC or the Provost distributed to the candidate, as both of these levels of review are advisory to the Chancellor.

Decision and Notification Process.

It is to be clearly understood by all persons involved in the promotion and continuous appointment process that recommendations by faculty P&T Committees, Chairs, and Deans are only *recommendations* and a final decision can be made only by the Chancellor. Statements made at the department or Unit level relate only to recommendations at the level at which the statement originates. Mere satisfaction of minimum criteria at the Unit or department level is not sufficient to ensure promotion or continuous appointment.

In all cases, final decisions by the Chancellor will be based upon the best interests and needs of the campus.

The Chancellor will provide written notification of the final decision to each candidate no later than July 1.

The 3 paragraphs below are being moved to a separate instructions document for applicants, coordinators, and reviewers

Candidate Failure to Complete the P&T Process

Failure to present a mandatory portfolio. Failure to present a mandatory portfolio by the required deadline is a resignation of the candidate's tenure track position. Notification from the Provost will be delivered to the candidate that states that failure to submit the portfolio within the Provost's designated time period will result in an automatic resignation of the candidate's tenure-track position. The candidate will be placed on a terminal year which ends his/her employment no later than August 31 of the next contract period.

Withdrawal from review process. Withdrawal from the mandatory review process requires the candidate's letter of resignation from his/her tenure-track position. The candidate will be offered a terminal year which ends their employment with the university no later than August 31 of the next contract period.

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Withdrawal from non-mandatory review. At any point in the process, a candidate may withdraw from a non-mandatory review without penalty. Because the time and energy of many people are involved in preparation and review of a portfolio, however, candidates should carefully reflect on their qualifications and readiness for review before commencing the process.

Extensions. Extensions should be requested in a timely manner as situations arise which adversely affect progress towards promotion and tenure. See the UMKC P&T website for further information.

The section below was revised based on CPTC recommendations (bolded in new document)

Periodic Faculty Review of P&T Criteria

The Provost requires the tenured faculty body review and revise the department/unit promotion and tenure criteria as needed, but no less than every 5 years, to ensure the criteria remains relevant to faculty performance expectations, mission, and strategic plan. Criteria must designate measurable criteria and performance expectations by rank in each of the areas of teaching, research/scholarly/creative works, and service. Criteria must align with the UM System performance expectations outlined in CRRs 320.035, 310.015, and 310.080. The faculty-approved Department P&T Criteria document must be submitted to the Provost for approval and publication on the UMKC P&T website within 60 days of faculty approval.

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Flowchart removed based on feedback that it was not needed and could create confusion rather than clarity

Promotion and Tenure Sequence Flow Chart

