

Guidelines for the Preparation of TPAC Dossiers



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Online Resources

Faculty [Tenure and Promotion Page](#) (also includes information on reappointments)

- [TPAC dossier preparation](#)
- [Annual and mid-contract review guidance](#)
- Deadlines and timelines for TPAC actions & annual reviews
- Policy documents
 - [Faculty Rules and Regulations](#)
 - [Handbook of Academic Administration](#)
 - [All departmental standards and criteria documents](#)

Recent changes

The Cover Memo is now a [form](#) (found on the DoF's Faculty Tenure and Promotion page)

****Note the guidance for the Department Chair's Report (on page 2 of the form):**

The purpose of this report is to provide to TPAC some context about the candidate and the departmental meeting. The summary should complement and not duplicate the department review.

Recent changes

Communication to the candidate after the departmental meeting (only internal candidates, not external hires)

positive vote: the chair informs the candidate in writing (email is acceptable). DoF has boilerplate text to help you compose this brief communication.

negative vote: the chair prepares a detailed letter to the candidate within 1 week of the department meeting. DoF can help draft this.

The voting faculty must review the communication before it is sent to the candidate.

This communication will be included in the dossier (# 2 on the checklist).

Recent changes, Reappointments

Reappointment cases: Departments provide a written version of the reappointment review to the candidate after the review has been completed. This version will be:

- appropriately modified for its audience (candidate, not TPAC) and
- reviewed by the dean before being shared with the candidate

*Feedback is particularly important after reappointment, to help prepare the candidate for tenure review.

Recent changes, tenure cases

Tenure cases (promotion from assistant to associate): When providing the evaluator list for the dean's review, the department will prepare a brief summary of the candidate, a description of the candidate's field of research and her/his impact in the field (one to two paragraphs in length)

For each evaluator bio, the department will provide a rationale (one or two sentences) of why they have included this evaluator.

Covid impact on teaching

Spring 2020 teaching evaluations are automatically excluded from the course feedback reports. If a candidate wishes to include those evaluations, they must confirm the decision in writing (email is fine) before the evaluations can be included.

No other semesters are excluded

TPAC has been instructed not to disadvantage candidates for the absence of course feedback results from this period.

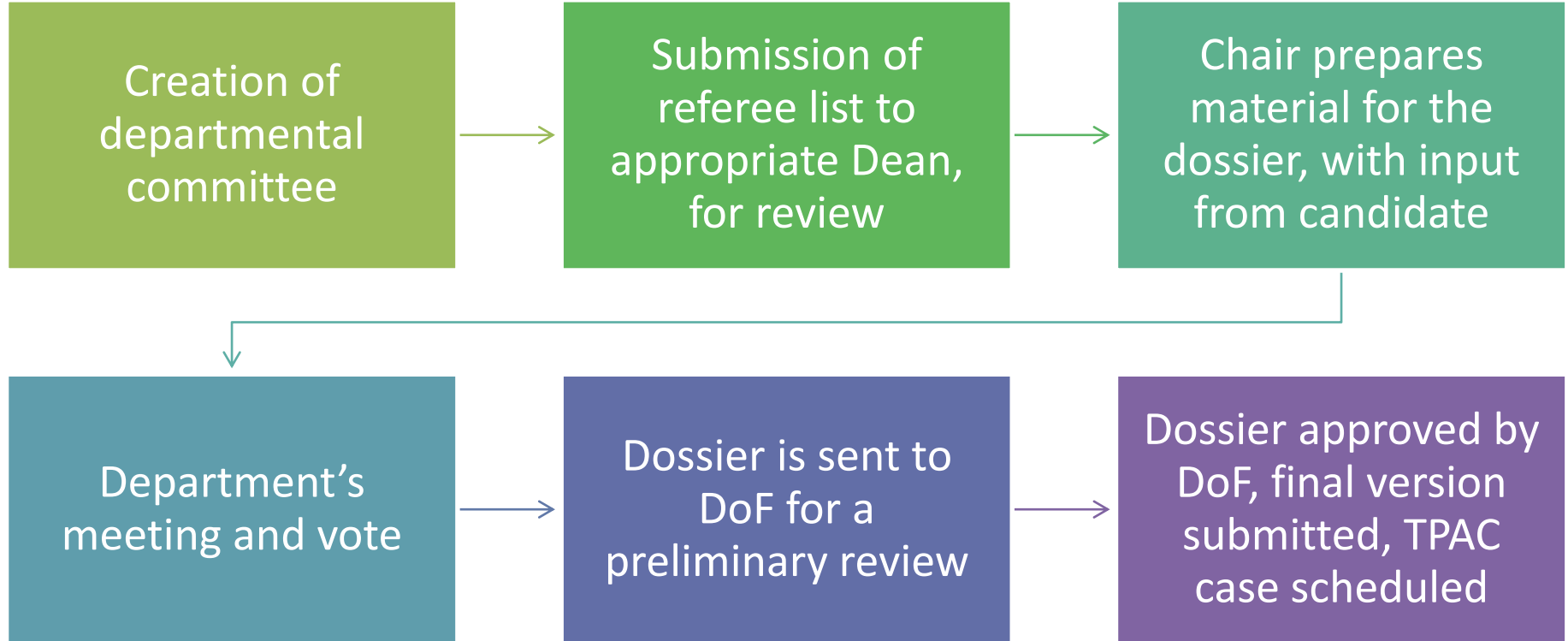
Preparing the TPAC dossier

- **Reappointments, Promotions, Tenure Reviews and Senior Searches** culminate with the preparation of a dossier to present the evidence on which the department's recommendation is based. The materials should also describe and document the process and procedures by which the dossier was assembled.

TPAC composition and work cycle

- The **Tenure, Promotions, and Appointments Committee** (TPAC) is made up of 12 senior faculty members drawn from all divisions of the university.
- The committee meets every Wednesday afternoon throughout the academic year, with a break from early December until late January. The last meeting of the year is usually in late April/early May.

Steps in the Preparation of the Dossier



TPAC Dossier Preparation Guide

Instructions:

Number the documents in the dossier according to the checklist below.

Do not re-number the documents— skip those not required.

Documents

| | Promotion from Assistant to Associate (with tenure) | Promotion from Associate to Professor (tenure previously granted) | Promotion to Senior Lecturer | Promotion to Distinguished Senior Lecturer | Promotion to Associate or Full Professor of the Practice or (Research) | Reappointment as Assistant Professor , Lecturer, or Senior Lecturer | Reappointment (Asst, Assoc, or Full) Professor of the Practice or (Research) | Appointment as Associate Professor (w/ or w/o tenure) or Professor w/ tenure | Appointment as Professor of the Practice, Professor (Research), or Senior Lecturer |
|---|--|--|------------------------------|---|---|--|---|---|--|
| 1. Cover memo *NEW* form | X | X | X | X | x | X | X | X | X |
| 2. Department recommendation, written explanation to candidate *NEW* | X | X | X | X | x | X | X | NA | NA |
| 3. Waiver of candidate's right to a personal appearance before the department | X | X | X | X | x | X | X | NA | NA |
| 4. Department review of scholarship, teaching, and service | X | X | X | X | x | X | X | X | X |
| 5. Information on teaching since last contract review | X | X | X | X | X | X | X | NA | NA |
| 6. Candidate's current CV | X | X | X | X | X | X | X | X | X |
| 7. Candidate's statement | X | X | X | X | X | X | X | NA | NA |
| 8. Annual or mid-contract reviews since last reappointment | X | NA | X | X | NA | X | NA | NA | NA |
| 9. Department correspondence with the selected evaluators | X | X | X | X | X | NA | NA | X | X |
| 10. Letters of evaluation | 8 | 8 ¹ | 5 ² | 5 ³ | 5 | NA | NA | 8 ⁴ | 5 |
| 11. Brief biographies of external evaluators | X | X | X | X | X | NA | NA | X | X |
| 12. Minutes of the official meeting in which the department voted on the recommendation | X | X | X | X | X | X | X | X | X |
| 13. Department Standards and Criteria | X | X | X | X | X | X | X | X | X |
| 14. Publications | X | X | X | X | X | X | X | X | X |
| 15. Course Evaluations | X | X | X | X | X | X | X | X | X |

¹ At least five must be from individuals who are not close collaborators, dissertation supervisors, or otherwise have a potential conflict of interest. A limited number of writers from a previous action (such as the tenure case) may be included.

² May be a combination of letters from outside evaluators and from individuals at Brown (but not in the candidate's department). See Handbook of Academic Administration 10.5.1 for further details

³ From individuals external to Brown who serve in positions similar to the distinguished senior lecturer role or are tenured faculty engaged in pedagogical research or related programs at other institutions. Additional letters may be solicited from individuals at Brown (but not in the candidate's department). See Handbook of Academic Administration 10.5.2 for further details.

⁴ At least five must be from individuals who are not close collaborators, dissertation supervisors, or otherwise have a potential conflict of interest

Required Materials

Comments

1. Cover memo (this information is now entered on a form)

- The specific recommendation
- Final vote (with numbers)
- Names of faculty attending the meeting
- Names of eligible faculty not at this meeting
- Stipulated quorum for such meetings

- Be clear about electorate
- Retired faculty don't vote
- Secret ballot is preferred
- Include in official vote only those present and/or participating in the discussion (via telephone or Zoom).

Required Materials

Comments

Cover memo, continued:

- An explanation of the reasons for abstentions (if any)
- An explanation of the views of those voting in the minority

- Summarize full range of views expressed during discussion.
- Draft memo is circulated to all voting faculty for comments and suggestions.

Required Materials

Comments

Cover memo, Department Chair's Report:

- The unit's view of how the candidate's academic specialty is important, within the larger field or discipline
- A discussion of the issues raised in the department meeting, and of the strengths and weaknesses of the case

- Explain the intellectual terrain in which the candidate's work is situated, her/his contributions to the field.
- Provide an overview of the evaluative process and considerations that led to the recommendation. Address any concerns.

Required Materials

Comments

2. Informing the candidate

All internal candidates should be informed in writing of the results of the department's vote soon after the meeting (within a week).

The voting faculty should have an opportunity to vet the communication first.

- OK to first inform the candidate in person or by phone, then follow up with written communication
- Positive vote: brief message, followed by an email.
- Tie or negative recommendation: more detailed letter from the chair

Required Materials

Comments

3. [Waiver](#) of right to appear at the department meeting (only for internal candidates, not external hires)

- The candidate should be invited to dept meeting well in advance of the meeting date.
- If the candidate chooses to appear, include a summary of appearance in the meeting minutes (#12).

Required Materials

Comments

4. Department review of candidate's scholarship and professional development (committee report)

- A qualitative and frank assessment of the candidate
- Focus on published and/or completed work
- Summarize impact and discuss future trajectory
- Address strengths and weaknesses

Required Materials

Comments

Department review,
continued:

Letters of evaluation

- Letters of evaluation should be summarized in the department report
- It's appropriate to include direct quotes from the letters
- Any criticisms expressed by an evaluator should be addressed fully, and not summarily dismissed.

Required Materials

Comments

Department review,
continued:

Candidate's teaching effectiveness in both undergraduate and graduate courses (you can refer to data included in next section, Information on Teaching #5)

- Multiple modes of teaching assessments: comparative data, peer observations, student comments, review of teaching materials, etc.
- Letters from students are discouraged.

Required Materials

Comments

5. Information on Teaching

- Dept generates report, “TPAC Summary of Teaching” ([instructions on the DoF Faculty Tenure and Promotion page](#))
- Comparative information is also useful (how the ratings compare to those in similar courses).
- Include online teaching material, if relevant
- Include class observations by peers

Guidelines for Peer Observation of Teaching

For more details, refer to the [guidance document](#) on the Faculty Tenure and Promotion page

- Recommendations as to frequency of observations, and the faculty ranks eligible to conduct them
- Coordination of observations with annual, reappointment, and tenure reviews, so that the reports can be incorporated into these reviews

Required Materials

Comments

6. Candidate's current c.v.

*see the [curriculum vitae guidelines](#) on the Faculty Tenure and Promotion page

- Brown format c.v. no longer required, c.v. should be logically and chronologically organized
- It is helpful to identify author order practices for the discipline
- Indicate student co-authors

Required Materials

Comments

7. Candidate's statement

- No required format for statement (2-5 pages is recommended)

8. Copies of annual reviews since last appointment

- If tenure review follows soon after last reappointment, consult with DoF about including the reappointment review in dossier.

Required Materials

Comments

9. Copies of relevant department correspondence, including sample request to referees and responses

- Discuss deviations from standard solicitation letter with DoF in advance of contacting evaluators
- Include all declines and any substantive responses
- Complete **evaluator chart** to record all evaluators who were approached for letters

Required Materials— Evaluator chart

[Candidate's name here]

| name | institution | rank/title | candidate or committee recommended | accept/decline /no response | letter received | letter writer response (you may want a separate document for these, if they are extensive) |
|------|-------------|------------|--|--------------------------------|-----------------|--|
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[This spreadsheet](#), available on the Faculty Tenure and Promotion page, should be included at the beginning of #9, Department Correspondence with evaluators. It helps TPAC to see at a glance the list of evaluators who were contacted.

Required Materials

Comments

10. (at least) 8 letters* from scholars who are not advisors, close collaborators, or writers from an earlier action, although these people may supplement the requirements.

* 8 arm's-length letters for tenure case

See TPAC Dossier Preparation Guide for details on the number of letters required for other types of faculty actions

Required Materials

Comments

11. Brief biographies of letter writers

- Indicate why the evaluator's opinions are given particular weight by the department.
- Note any relationships with candidate, or previous Brown affiliation

Required Materials

Comments

12. Minutes of the official meeting on this matter

- Provide full accounting of the issues discussed.
- Anonymize discussants, but provide each with a unique identifier (Prof A, Prof B, etc.)
- Redact as appropriate to exclude personal/ irrelevant information, or discussion of other candidates.
- If candidate comes to the meeting, the minutes should indicate that.

Required Materials

Comments

13. Department Standards and Criteria

- TPAC will evaluate the candidate using the criteria in the departmental s & c

14. Publications

- Actual publications, or links embedded in a document. Hard copies of books can be submitted but electronic is preferred

Other Reviews

- **Senior hire with tenure**
 - At least 5 of the 8 letters required must be “arm’s- length”
- **Senior hire without tenure**
 - 5 letters required, majority must be “arm’s- length”
- **Promotion from Associate Professor to Professor**
 - At least 5 of the 8 letters required must be “arm’s- length”

Other Reviews (continued)

- **Promotion from Lecturer to Senior Lecturer**
 - 5 letters required, some of which may be from within Brown and some external to Brown
- **Promotion from Senior Lecturer to Distinguished Senior Lecturer**
 - 5 letters required, all of which must be external to Brown

Other Reviews (continued)

- **Reappointment reviews**
 - Internal review only--no letters, bios, etc.
Otherwise follow same general guidelines
- **Non-Regular faculty (Professors of the Practice, Research)**
 - See TPAC Dossier Preparation Guide for guidance

Senior Searches

- Special considerations
 - Timeline (must be complete in time for spring review)
 - Solicit names of potential evaluators from the candidate (not letters). The department should then request the letters using the standard solicitation template.

Important deadlines in the tenure process*

- **Early April** DOF notifies academic unit chair/directors of upcoming tenure review candidates
- **April 15** The chair/director, consulting with candidate, selects 3+ person tenure committee
- **May 1** The candidate and tenure committee create independent lists of potential evaluators

*For a candidate with an academic year appointment (July 1- June 30). Departments with calendar-year faculty appointments should speak with DoF staff to develop a timeline

Important deadlines in the tenure process

- **June 1** The combined (candidate & committee) list and brief evaluator biographies are submitted to appropriate dean (DOF/BioMed/SPH/SoE) for review. After approval, chair or tenure committee contacts potential evaluators using the standard solicitation letter
- **January 7** Dossier is due to DoF
 - Review by TPAC, which either approves or denies department's recommendation; the committee can also make its own recommendation
 - Dossier is passed to Provost, who may take up to 30 days to review

Important deadlines in the tenure process

- **June 30** Notification of tenure decision must occur by this date. In the case of a negative decision, the appointment terminates a year from this date.

sample TPAC comment form

Comment Form

(committee member comments supplement the official vote, are shared only with the provost, and are not part of the candidate's record)

Recommendation by the Department of Anthropology that **Louis Leakey** be appointed as Professor, with tenure, effective July 1, 2015

(Please select one number)

No (1-5; where 1=strong opposition)

Yes (6-10; where 10=strong support)

1 2 3 4 5

6 7 8 9 10

Please use this space for any additional comments you wish to provide about this case.

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Questions?

