

# Guidelines for the Preparation of TPAC Dossiers



Leah VanWey  
Dean of the Faculty  
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# Online Resources

Faculty Tenure and Promotion Page (also includes information on reappointments) has guidance on:

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

# 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 who are drawn from each division of the university. A list of members can be found on the FEC webpage.
- 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.

# Types of actions reviewed by TPAC

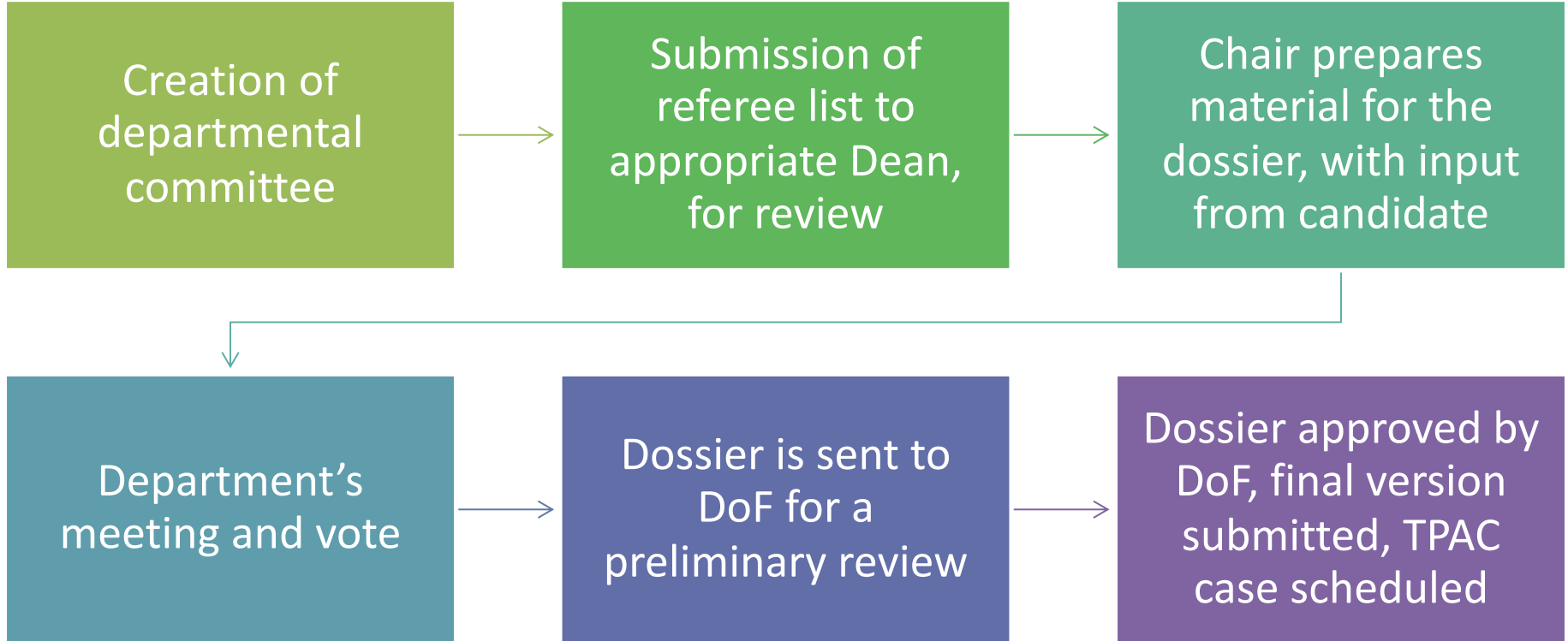
TPAC reviews the following for all depts/divisions:

- **Reappointments** of senior lecturers, distinguished senior lecturers, and assistant professors
- **Promotions** of lecturers, senior lecturers, assistant professors, associate professors
- **Appointments** of senior lecturers, associate professors, and full professors
- Extensions of contract for extraordinary circumstances

The following actions are reviewed in the dean's office and reported to TPAC:

- Lecturer reappointments
- All actions for Professors of the Practice and (Research) faculty in DoF departments and Engineering

# 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/0 tenure) or Professor w/ tenure	Appointment as Professor of the Practice, Professor (Research), or Senior Lecturer
1. Cover memo <b>*NEW* form</b>	X	X	X	X	x	X	X	X	X
2. Department recommendation, written explanation to candidate <b>*NEW*</b>	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 <sup>1</sup>	5 <sup>2</sup>	5 <sup>3</sup>	5	NA	NA	8 <sup>4</sup>	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

<sup>1</sup> 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.

<sup>2</sup> 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

<sup>3</sup> 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.

<sup>4</sup> 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 (now 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

- Note end date for term appointments
- 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

- The Chair's report should be brief, 2-4 paragraphs
- It should complement, not duplicate, the department report
- 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 (email DoF for a template)
- 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)

(Waiver form is available on DoF Tenure & Promotion page)

- 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

- 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, cont'd:

Summary of 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, cont'd:

Candidate's teaching effectiveness in both undergraduate and graduate courses

Candidate's service and how it compares to departmental expectations.

- Multiple modes of teaching assessments: comparative data, peer observations, student feedback, 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), which includes comparative information
- Include online teaching material, if relevant
- Include class observations by peers



# 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.

# 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, grad student, postdoc 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.
- Include signed confirmation of receipt and candidate response, if applicable

# Required Materials

# Comments

9. Copies of relevant department correspondence, including sample request to referees and responses (for tenure, promotion, and appointment cases only)

Sample solicitation letter is available on DoF Tenure & Promotion webpage.

- The evaluator list is **NOT** shared with the candidate.
- 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)

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.

# Evaluator lists for 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.

# Selecting evaluators

- Promotions to Associate, with tenure, may include a small number of Associate Professors (no more than 3)
- Internal promotions to full may include a small number of previous writers, if appropriate, to demonstrate trajectory
- For senior scholars, it may make sense to cast a wider net than just their subfield, to show impact
- Consider having the department or committee chair send the solicitation to evaluators with department manager Cc'ed. Name recognition may yield a better response rate

## Required Materials

## Comments

10. For promotions to associate with tenure (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.

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.
- For promotions to full or senior appointments, a **representative sample** of publications is appropriate

# Required Materials

# Comments

## 15. Course feedback

- Dept generates report, “course feedback” (instructions on the DoF Faculty Tenure and Promotion page)
- For senior hires, it’s helpful if you can get some course evaluations to include in the dossier

# Follow up Feedback, 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.

# Joint Appointments

- Each department/unit should submit its own:
  - Candidate notification (#2)
  - Candidate appearance waiver (#3)
  - Meeting minutes (#12)
  - Standards and criteria (#13)
- Cover memo (#1) and department review (#4) should be jointly authored
- Departmental division of labor (e.g., managing Interfolio, budget, etc.) should be worked out at time of hire.
- Candidates should know by what standards and criteria they are being evaluated.

# Other Reviews (continued)

- **Reappointment reviews**
  - Internal review only--no letters, bios, etc.  
Otherwise follow same general guidelines
- **Term 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.

# Questions?

