April 29, 2011

MEMORANDUM

TO: Deans and Department Chairs

FROM: President William C. Powers, Jr.

RE: TENURED AND TENURE-TRACK ACADEMIC PROMOTIONS AND OTHER CHANGES IN ACADEMIC RANK/STATUS TO BE EFFECTIVE SEPTEMBER 1, 2012

NOTE: *Bolded italicized text* is newly added material.

I am asking you to consider and submit recommendations for all proposed changes in academic rank/status for 2012-13 for tenured and tenure-track faculty. The Executive Vice President and Provost has notified each of you under separate cover of faculty members who, under our procedures, must be reviewed in fall 2011 for promotion or termination. Forms and evaluation materials must be submitted for these faculty members whether they are to be recommended for promotion or a terminal appointment. In addition, each Dean who has not done so already is to submit to the Provost by Friday, May 20, 2011, a list of all faculty members in his or her college/school who will be considered in the fall of 2011 for promotion effective September 1, 2012. Any updates to the list submitted in May must be forwarded to the Office of the Provost no later than Monday, July 18, 2011.

Recommendations for tenure. The granting of tenure has consequences of great magnitude and long life and must be considered especially carefully. Tenure should be awarded only when there is a clear case that the best interest of The University is served by doing so. In the review process, the candidate’s record should be examined not only for evidence that the candidate has made contributions of appropriate magnitude and distinction in teaching, research, and service, but also for evidence the candidate can sustain appropriate contributions through an extended career with The University.

A recommendation for promotion to the rank of Associate Professor normally is considered only after the individual has served in the rank of Assistant Professor (or has had combined service in the ranks of Instructor and Assistant Professor) at The University for six years. Cases considered before the up-or-out year should be explained. The tenure status of individuals appointed to the Associate Professor or Professor ranks without tenure must be reviewed no later than the third year of probationary service. Nontenured Associate Professors may be considered either for tenure in the rank of Associate Professor or for tenure and promotion to full Professor simultaneously.
Promotion of Associate Professors (with tenure). Associate Professors with tenure may be considered for promotion to Professor during any year deemed appropriate by the Budget Council and Department Chair. An early promotion from Associate Professor to Professor is promotion before six years in rank have elapsed. Recommendations for early promotion should be explained. Recommendations to promote Associate Professors with tenure who have been in rank for ten years or longer should be justified in terms of new scholarly productivity or a sustained record of teaching excellence. In addition, faculty in their tenth year of service in the Associate Professor rank can invoke their right to be considered for promotion to Professor. To invoke this right of consideration, Associate Professors must have advised their department chairs by February 1 of their ninth year of service that they desire to be considered for promotion. These cases will be considered at all levels unless a faculty member withdraws the case before the final vote of the Budget Council is taken. Associate Professors may again exercise this right of consideration at the end of the subsequent five years of service.

Instructors in a probationary status. Instructors in their second or third year in rank who become eligible for promotion to Assistant Professor as a result of having obtained their Ph.D. must also be forwarded for review. The dossiers of these faculty members should demonstrate satisfactory progress while in the rank of Instructor. All Instructors in their third year of probationary service require formal review regardless of whether they have received the Ph.D. (Those in the rank of Instructor who complete the Ph.D. during the first year of academic service do not require formal review. The titles of these faculty members may be changed to Assistant Professor by the Office of the Provost upon submission of formal documentation that the degree has been awarded.)

As described in the original Handbook of Operating Procedures § 3.17, recommendations for promotion in rank and recommendations for tenure are to be based on excellence in performance pursuant to an evaluation of the faculty member's service in the following areas:

1. **Teaching at both undergraduate and graduate levels.**
   Each recommendation must be accompanied by a separate statement summarizing the candidate's teaching record and assessing the individual's teaching competence.

2. **Research, creative activities, and other scholarly effort.**
   Each recommendation must include a separate statement in which the individual's research/scholarly/creative contributions are summarized and assessed.

3. **Academic advising, counseling, and other student services.**
   Each recommendation must include a separate statement in which the individual's academic advising and related student service are described and assessed.

4. **Administrative and committee service to the department college, and University and professional public service to the nation, state, and society,**
   Each recommendation must include a separate statement assessing the individual's University and public professional service contributions.
5. **Other evidence of merit or recognition, such as fellowships, grants, and special honors.**

Each recommendation should include a separate statement assessing relevant evidence of merit or recognition.


Note: *Deans and Department Chairs are either to make this URL known in writing to all candidates for promotion and all members of your Budget Councils/Executive Committees and college-wide advisory committees, where applicable, or to distribute a hard copy of the General Guidelines to same.*

**Sample letter.** A sample letter for departments and colleges/schools to use in soliciting outside letters is available at the above URL. The letter may be tailored to the circumstances of the individual departments and colleges/schools. Referees, however, must be informed that, under Texas law, we cannot ensure the confidentiality of outside letters of reference. Referees should be asked to provide a short version of their curriculum vitae or résumé, which is to be included in the dossier along with their letter (see General Guidelines, Section 7).

**Peer observations.** Departments and colleges/schools may find the Center for Teaching and Learning's website entitled *Prepare for Peer Observation* a useful reference for conducting the peer evaluation reports called for in the General Guidelines, Section 2-Teaching. http://ctl.utexas.edu/teaching-resources/advance-your-career/prepare-for-peer-observation/

**Change in Academic Rank/Status form.** An interactive version of the form "Recommendation for Change in Academic Rank/Status" is available at http://www.utexas.edu/provost/policies/evaluation/tenure/. The completed form is to be accompanied by supporting documentation as described in the General Guidelines. **One original plus one copy** of each dossier are to be submitted to the Dean no later than Monday, October 3, 2011.

**File review by staff.** It is important that a member of the Dean’s Office staff reviews each file to ensure the materials requested herein, and any stipulated in further written instructions from the Dean, have been submitted and all final votes, including abstentions and absences, have been recorded on the form. If any required materials are missing or incorrectly prepared, the department and/or candidate, as appropriate, should be notified and given an opportunity to address any problems or concerns prior to the meeting of the college advisory committee.

**Dossier submission schedule.** The Dean will forward to the Office of the Executive Vice President and Provost the original of each dossier. The Dean is to retain one copy for reference. These submissions are to be received by the Office of the Executive Vice
President and Provost according to the following schedule:

Non-departmentalized Colleges/Schools: Monday, October 24, 2011
Liberal Arts and Natural Sciences: Monday, November 7, 2011

Department Chair's/Dean's meetings with the candidate. Responsibility for preparing recommendations for promotion and tenure rests with the department or, in a non-departmentalized college/school, with the Dean. The Department Chair, Dean, or their designee shall meet with the candidate to explain the process and review the list of individuals to be asked to provide peer review letters prior to the Chair or Dean sending out the solicitation letter to the referees (see General Guidelines, Addendum, Section 1). Before the departmental committee considers a case, the Department Chair (or the Dean or their designee in a non-departmentalized college/school) shall ask the candidate to check the materials provided by the candidate to confirm that the file is complete and includes appropriate materials (see General Guidelines, Addendum, Section 2).

Budget Council/Executive Committee assessment. The Budget Council or Executive Committee recommendation and assessment of each area of service must be identified separately from that of the Department Chair, even though transmitted by the Department Chair. Consideration should be given to the impact of a recommendation to promote, in particular how it would strengthen the department or college/school. Areas of distinction in the record should be identified, as well as the standards of the field. All votes are to be recorded on the recommendation forms (i.e., for, against, and abstentions), along with the number of those absent. In keeping with the tradition of academic integrity, the vote is taken after the evidence is compiled, not before, and ‘follow-on’ voting to achieve unanimity is not endorsed. Institutional policies and procedures stipulate that Associate and Assistant Professors are not eligible to vote on any matters affecting promotion from or continued appointment in their own rank or higher ranks, including the decision whether to develop a case for consideration (or reconsideration).

Department Chair's (Dean's) assessment and vote. The Department Chair, or the Dean of a non-departmentalized college/school, is to be present for the Budget Council/Executive Committee discussion of each case but does not vote as a member of the Budget Council/Executive Committee. The Chair, or the Dean of a non-departmentalized college/school, is to provide his or her own assessment of the candidate’s teaching, research/scholarly activity, and service and has the responsibility to describe fairly the rationale for the Budget Council's recommendation, including a summary of the views of both opponents and proponents. Characterization of these discussions, however, is neither to identify colleagues by name, nor otherwise impair the voting process. In their statement, the Department Chair or Dean should address whether and how the candidate's promotion would improve the quality of the department or college/school. The signed statement of the Chair/Dean is to accompany the dossier to the next level.
College advisory committee. The college advisory committee in departmentalized colleges/schools should review dossiers before they meet, determine if any required materials are missing or incorrectly prepared, and, as necessary, notify the departments and candidates giving them a reasonable opportunity to address any problems or concerns before their meeting to vote on the case.

Conflict of interest. Budget Council/Executive Committee and College/School Advisory Committee members are to absent themselves from the room during the review and discussion of, and vote on, any candidate if their presence would constitute a conflict of interest.

Dean's assessment. The Dean of a departmentalized college/school is to characterize the recommendation of the college/school advisory committee and provide his or her own assessment of the candidate's teaching, research/scholarly activity, and service. Deans of departmentalized colleges/schools are to be present for the discussions of the college-wide advisory committee and are to describe fairly the rationale for this body's recommendation, including a summary of the views of both opponents and proponents. Characterization of these discussions, however, is neither to identify colleagues by name, nor otherwise impair the college advisory committee voting process. The Dean's statement should address whether and how the candidate's promotion would advance the quality of their department. In a departmentalized college/school, the Dean's Office is to enter the vote of the college-wide advisory committee on the promotion form. The Dean’s signed statement is to accompany the dossier to the next level.

Joint and courtesy positions. For those faculty members with joint positions, each department is to submit forms and assessments and vote on the case, with cross-referencing of the other position. The departments involved are to share materials collected in support of the case. Where two or more colleges are involved, forms must be reviewed and acted upon by all deans concerned. Where a faculty member holds a courtesy position in another department, that Department Chair is to be asked to comment on the involvement and contributions of the candidate to the programs of the department and a copy of that commentary included in the dossier following the dean's and the chair's statements. If a faculty member is significantly engaged in the activities of a bureau, academic/research center, laboratory, or institute, the Director of the unit should have an opportunity to comment to the Department Chair (Dean in a non-departmentalized college/school) on the recommendation for promotion, with a copy of that commentary also included in the dossier along with the statements of the Department Chair and Dean, as follows:

- Change in Academic Rank/Status Form
- Dean's Statement
- Department Chair's Statement
- Statement by the Director of academic program and/or research center in which the faculty member is actively involved

General Guidelines Addendum. Your attention is invited to the Addendum to the General Guidelines for the Preparation of Supporting Materials and the Management of Tenured
and Tenure-Track Candidate Promotion Files. **Please read this information with care.** It has important implications, for promotion cases in general and for tenure-track cases that may result in a terminal appointment action in particular. To aid in complying with sections 1. and 2. of the Addendum, a Promotion Candidate Referee and File Check form is available at [http://www.utexas.edu/provost/policies/evaluation/tenure/index.html](http://www.utexas.edu/provost/policies/evaluation/tenure/index.html). Those choosing to use the form should retain the signed document at the unit level.

**Presidential conferences.** The dossiers will be discussed with the President, the Provost, the Vice President for Research, the Vice Provost and Dean of Graduate Studies and the Dean of Undergraduate Studies at scheduled times in December 2011. Each Dean will attend the conference on his or her school or college. In particularly difficult cases, in order to make a determination in the best interests of the University, I may request that formal assessments of a candidate's contributions and achievements be sought from additional experts in the field, or that key stakeholders be invited to address questions not resolved by the record presented or in the conference with the Dean.

**Announcement of decisions.** The President’s Office will endeavor to notify the Deans by **Friday, December 16, 2011**, of all promotion and tenure decisions and of those pending cases where an action of terminal appointment is being considered. Notification of the final action on all pending cases will be sent by **Friday, February 17, 2012** (except for cases under review by CCAFR). (See General Guidelines, Section 9.)

Please consider every faculty member in your department or college/school who is potentially eligible for a change in academic rank, so that a review of all such changes can be made this fall.

**Attachments**

xc: Dr. Steven W. Leslie  
Dr. Juan M. Sanchez  
Dr. Victoria Rodriguez  
Dr. Paul B. Woodruff