

# Guidelines for Sharing Elements of the Dossier Following Formal Reviews for Tenure-Line Faculty

## Policies Governing the Communication and Sharing of Evaluations

The two policies that govern the disclosure of elements of a faculty member's dossier are [AC23](#), "Promotion and Tenure Procedures and Regulations," and [HR60](#), "Access to Personnel Files".

Regarding second- and fourth-year reviews, AC23 states, "... the college dean shall be required to write evaluative letters that are shared with candidates and may be addressed directly to them. The dean's letter will then be included in the dossiers submitted for subsequent tenure reviews." (V.I.5 of the *Administrative Guidelines for Promotion and Tenure* contains similar language.)

For reviews occurring in the second, fourth, or sixth year\*, the policy states that, "The general results of the evaluation should be made known to the faculty member...." The policy does not prohibit units from sharing any evaluative letters with a faculty member, nor does it specify the manner in which the evaluative letters can be shared.

HR60 allows faculty members to request to view their personnel file and to have a copy of the file "upon reasonable request."

## Guidance for Sharing Evaluations with Faculty Members

No element of the dossier may be shared until the review process is complete at all levels for the candidate. Per III.F.4 in the *Administrative Guidelines for Promotion and Tenure*, "The deadline for submission of factual changes or new information to be included in the dossier is the weekday coincident with or immediately following February 1." Because the addition of new information means that the dossier must go through every level of review again, the promotion and tenure decision is not final until the dossier is in its final form and thus no information about the process may be shared until after February 1.

### *Second- and Fourth-Year Reviews\*\**

Units must share the evaluative letters (either hard copy or electronic) from second- and fourth-year reviews, including the dean's/chancellor's letter, regardless of whether the faculty member is being continued on the tenure line. These letters may only be shared when the review process is complete, i.e., after the February 1 deadline for submitting new material to the dossier. The academic unit head (department head/division head/school director/DAA) may also receive a hard copy or electronic copy of the college-level review committee's letter and/or the dean's/chancellor's letter.

### *Sixth-Year (Tenure) Reviews*

Following a sixth-year (tenure) review that advances to the university level, if a faculty member wants to review any part of their dossier, including the evaluative memos, then they must make an HR60 "access to personnel file" request as described in the policy after the process has concluded for the candidate at all levels. They may specifically request to view or receive the evaluative letters as part

of that request. Following an HR60 request, units may provide to the faculty member all contents of the dossier (either hard copy or electronic) *except the external evaluations*. If the candidate wishes to view the evaluative letter from the University P&T committee, the final dossier must be obtained from the central Human Resources office, which stores the final version of the document including signatory pages and the University-level committee documents. If a review concludes in the college, then the faculty member can make a request within their unit to view any part of the dossier except the external evaluations.

#### ***Promotion to Full Reviews***

For promotion to full, per V.D.1 of the *Administrative Guidelines for Promotion and Tenure*, “When a tenured faculty member is being reviewed for promotion (unrelated to a tenure review)...If the department committee and the academic unit head do not support a promotion after reviewing the completed dossier, the candidate should be so informed and given the option of withdrawing their candidacy. Prior to informing the candidate, the department head is to consult with the dean.” If the candidate decides to withdraw their dossier, no element of the dossier will be retained and the committee letter and the academic unit head letter are not retained or shared with the candidate. After the February 1 deadline for adding information to the dossier has passed, department heads are encouraged to provide the candidate with a summary of why the dossier was not supported.

For promotion reviews that advance to the University level, if a faculty member wants to review any part of their dossier, including the evaluative memos, then they must make an HR60 “access to personnel file” request as described in the policy after the process has concluded for the candidate at all levels. They may specifically request to view or receive the evaluative letters as part of that request. Following an HR60 request, units may provide to the faculty member all contents of the dossier (either hard copy or electronic) *except the external evaluations*. If the candidate wishes to view the evaluative letter from University P&T committee, the final dossier must be obtained from the central Human Resources office, which stores the final version of the document including signatory pages and the University-level committee documents. If a review concludes in the college, then the faculty member can make a request within their unit to view any part of the dossier except the external evaluations.

#### ***Confidentiality of Promotion Documents***

When receiving materials related to the promotion process, such as evaluative letters, candidates should be reminded that promotion is a confidential process. Faculty members who receive evaluative letters and other materials related to the process should not distribute them widely.

***\*This guidance also applies to reviews in the College of Medicine that occur in the third, sixth, and ninth year.***

***\*\*Guidance regarding second- and fourth-year reviews also applies to special third- or fifth-year reviews.***