

# University of Missouri–St. Louis

## Guidelines for Promotion of Non Tenure Track Faculty

Revised by the 2022-2023 Promotion of Non-Tenure Track Faculty Committee  
Approved by Faculty Senate – February 21, 2023

This document describes general procedures and responsibilities regarding the promotion of Non Tenure Track (NTT) faculty at the University of Missouri–St. Louis. It is consistent with, but not limited to, Executive Guideline No. 35 and section 310.035 Non-Tenure Track Faculty of the *Collected Rules & Regulations* of the University of Missouri. Specific procedures and the standards for promotion of NTT faculty members are the responsibility of the Colleges, Departments, and Academic Units as prescribed by the Collected Rules. Hereafter, Departments and Academic Units are referred to as “Units.”

To inform newly-hired NTT faculty of the promotion process, all NTT faculty will be given a copy of this document and their Unit Guidelines with their first employment contract. This document will also be accessible through appropriate electronic means so that deans and department chairs can easily access the information. Faculty members are urged to consult their Unit Chairs and Unit Guidelines to determine paths to promotion.

This document contains the following sections:

- I. The NTT Promotion Process
- II. Overview of Promotion Procedures, Documents, and Responsibilities
- III. Guidelines for Preparing the NTT Promotion Factual Record
- IV. Guidelines for Preparing the NTT Promotion Dossier
- V. Background on the Philosophy of Promotion and Expectations of Ranks
- VI. Process and Evaluation Principles
- VII. Appendix: Definitions

### I. The NTT Promotion Process

All Candidates for NTT promotion, with the exception of librarians, must have held the current rank for at least five years. Librarian faculty must have held the current rank for at least three years. For Candidates hired at the beginning of a fall semester, the process of consideration may begin in the spring of the fifth year of employment; for Candidates hired at the beginning of a spring or summer semester, the process of consideration should begin in the spring of the sixth year. Prior experience in equivalent positions may be counted by the unit as time-in-rank for the purpose of promotion eligibility. In these cases, it is preferred that the initial appointment letter describes the prior position and the amount of time that is being credited for the purposes of promotion. If the issue of credit for prior positions is not addressed in the appointment letter, it should be addressed in a progress toward promotion review

within the first three years. The Candidate's Dossier should include materials substantiating the Candidate's records in the previous position for the designated time period. Then, the Candidate's combined record will be considered to assess whether the Candidate has met their Unit's promotion standards.

Each spring, full-time NTT faculty members who are eligible for promotion (Assistant and Associate Professors, Librarians I, II, and III) may prepare a report that outlines their rationale for promotion. The report should highlight credentials, indicate years in rank, and describe experiences that demonstrate growth. The report will be submitted to the Unit Chair and will be made available to members of the Unit's Annual Promotion Review Committee.

If the Unit Annual Promotion Review Committee so recommends, and the Candidate agrees to move forward, the Unit Chair will appoint an *Ad Personam* Committee. This Committee will assist the Candidate in preparing the full Factual Record as described in Section III below. For teaching faculty, the Committee will compile student evaluation data and solicit letters from peers that evaluate the Candidate's record for teaching and service.

For other NTT faculty, a similar Factual Record that describes their activities should be prepared by the Candidate. Such records may include published research articles, clinical protocols, and professional presentations. The candidate may include formative observations provided by faculty colleagues. The *Ad Personam* Committee may provide observation reports from internal and external faculty peers, peer researchers, and professional peers who have expertise in the Candidate's work.

The *Ad Personam* Committee reviews the Candidate's Factual Record and checks it for completeness. It also writes the *Ad Personam* Committee Report, which objectively summarizes and provides evidence of the Candidate's case for promotion. The *Ad Personam* Committee Report is part of the Dossier. The Committee works with the Unit Chair or Dean to ensure that the supporting documents described in section IV below (e.g., appointment letters, unit promotion standards, etc.) are included in the Dossier.

The Dossier is made available to the Unit Promotion Committee (typically the same as the Unit Annual Promotion Review Committee), whose members will discuss and vote on the Candidate's promotion. If the vote for promotion is negative, the Candidate will have 14 days to withdraw or rebut the negative vote in writing. The rebuttal letter must be added to the Dossier before it goes forward. The Unit Chair (if that individual is of higher rank than the Candidate), or designee, then writes a letter to the Dean that recommends for or against promotion, offers a brief explanation of the reasoning behind the vote, and includes a vote tally. The Unit Chair's Letter is included in the Dossier.

The Dossier is then made available to the Dean and, in colleges that employ one, the College NTT Promotion Committee, whose members discuss and vote on the

Candidate's promotion. If the vote for promotion is negative, the Candidate will have 14 days to withdraw or rebut the negative vote in writing. This rebuttal letter must be included in the Dossier. The Dean then writes a letter to the Provost that recommends for or against promotion, offers a brief explanation of the reasoning behind the vote, and includes a vote tally. The Dean's Letter is included in the Dossier.

The Dossier is then made available to the Senate Committee for Promotion of NTT Faculty, whose members discuss and vote on the Candidate's promotion. If the vote for promotion is negative, the Candidate will have 14 days to withdraw or rebut the negative vote in writing. This rebuttal letter must be included in the Dossier. The Chair of the Senate Committee then writes a letter to the Provost that recommends for or against promotion, offers a brief explanation of the reasoning behind the vote, and includes a vote tally. The Senate Committee Chair's Letter is included in the Dossier.

## II. Overview of Promotion Procedures, Documents, and Responsibilities

To be considered a Candidate for promotion, it is recommended that faculty members follow the procedures below.

1. **Annual Promotion Review.** Each year during the process of the Annual Review, the Unit Chair, or their designee or Committee, reviews NTT faculty members' progress toward promotion.
  - a. The Candidate notifies their Unit Chair of their desire to go up for promotion and submits a written rationale for promotion.
  - b. The Unit Chair evaluates the rationale and advises the potential Candidates of their chances for success or failure.
  - c. If the Candidate chooses to move forward, the Unit Chair notifies their Dean, if applicable, of the potential Candidate and identifies an *Ad Personam* Committee to advise the potential Candidate.
  - d. If the Candidate chooses not to move forward, the process ends.
2. **The *Ad Personam* Committee.** The *Ad Personam* Committee advises the Candidate in preparing the Factual Record, and with the help of the Candidate, assembles a Dossier according to Unit, College, and campus Guidelines. The *Ad Personam* Committee is responsible for conducting and/or collecting assessments of the Candidate's work (such as student evaluations, peer observations, and recommendation letters from students, peers, and outside experts), as required by the Unit Guidelines. The Committee shall request external letters in a timely manner. Diverse representation in solicitation of external reviewers is desirable. Letters from outside reviewers shall address the Candidate's record in their areas of appointment. They may also address the Candidate's impact on the field or in their community when the writer has particular knowledge of relevant contributions of these types. For teaching Candidates, the *Ad Personam*

Committee will explain how they gathered student feedback, indicate how many responses were received, and summarize comments provided in student feedback forms and recommendation letters for inclusion in their Report. For extensive raw data, such as student course evaluations or student surveys, the *Ad Personam* Committee will summarize these data in the Committee Report, and store raw data in the Candidate's Department or Unit office.

If outside evaluations or letters of recommendation are required, the *Ad Personam* Committee should advise reviewers that the University of Missouri–St. Louis policy is to keep the identity of outside reviewers confidential to the extent allowed by law.

If the *Ad Personam* Committee determines that the Factual Record is incomplete, they will advise the Candidate to consult with their Unit Chair and possibly wait to advance their case for promotion. However, the decision to wait or continue belongs to the Candidate alone. If the Candidate determines they do not intend to move forward with the promotion process, they must notify their Unit and *Ad Personam* Committee Chairs.

If analysis shows that the Factual Record is complete, the *Ad Personam* Committee then reports its findings in writing. A simple explanation helps evaluators understand if a requirement does not apply to the Candidate, or why a common piece of evidence is missing, under-represented, or presented in an unexpected format in the Dossier. (This is not unusual.) While the *Ad Personam* Committee's report can show the Candidate's readiness for promotion, the report should not be an advocacy document that recommends promotion since that is the job of the Unit Committee.

The *Ad Personam* Committee Chair submits the report and confirms on behalf of the Committee their belief that the report is a factual statement. Then, the Dossier, which includes the Candidate's Factual Record, the *Ad Personam* Committee Report, and the other documents described in Section IV, is sent to the Unit Committee for review.

3. **The Unit Committee and Unit Chair** shall review the Dossier assembled by the *Ad Personam* Committee to be sure it is complete, factual, and unbiased. Dossiers that do not meet these criteria will be returned to the *Ad Personam* Committee for revision. If the Unit Committee still finds the Dossier incomplete, inadequate, or biased after one revision by the *Ad Personam* Committee, the Unit Committee will correct these deficiencies in a supplement to the Dossier.

A recommendation on the promotion of the Candidate shall be made on behalf of the Unit Committee by the Unit Chair.

- a. **Deliberations.** Upon receiving and accepting the report by the *Ad Personam* Committee, and any letters submitted by members of the Unit, the Candidate's Dossier will be discussed fully and appropriately.

- b. **Voting.** After appropriate discussion, the Unit Committee will vote whether to recommend promotion. The Dean may not participate or vote in meetings of the Unit Committee, but with the approval of the Unit Committee, they may attend Unit Committee meetings as an observer. The Unit Chair, when also a member of the Unit Committee, may participate in discussions of the committee and vote with the committee. Unit Committee members should vote at this level, and may not vote at subsequent levels of review.

Voting shall be conducted by secret ballot. Each ballot shall include a vote for, against, or abstaining; and a rationale for the vote in the case of negative or abstaining votes. The Unit Committee Chair will coordinate the counting of votes and provide a tally of the votes for, against, abstaining or invalidated because of lack of signature or rationale in the case of negative or abstaining votes. A record of the vote should be included with the Chair's Letter (below). Absentee votes must be accompanied by a written appraisal of the Candidate's strengths and weaknesses and this appraisal must be made available to the Unit Committee before its vote.

- c. **The Unit Chair's Letter.** The Unit Chair will write a letter addressed to the Provost that reviews the Dossier, the *Ad Personam* Committee Report, the Unit Committee's discussion that occurred before the vote, and the Unit Committee's decision to recommend or not recommend promotion. If the Unit Chair is opposed to the Committee's recommendation, the Unit Committee must elect another member to prepare the letter.

The Unit Chair's Letter must include a tally of votes, a summary of the candidate's strengths and any weaknesses, and reasons for any negative votes or abstentions. The vote shall be conveyed only by tally of votes for, against, abstaining, or invalidated; percentages should not be used.

- d. **Informing the Candidate.** After a vote has been taken, the Candidate is to be informed, in writing, of the Unit Committee's action (the vote tally, for, against, abstaining), and given a copy of the Unit Chair's Letter.
- e. **Candidate Response Process** (see the **Definitions** section for Response Options). If the Candidate selects Response Option (1), the response and the Dossier are sent to the Dean. If the Candidate selects Response Option (2), the Dossier is handled as described in Response Options.

In addition to the defined Candidate Response Options, the Candidate may submit a written response and request that the Unit Chair reconsider the original recommendation. If the request is directed to the Unit Committee, the Unit Committee will reconvene and act upon a request for reconsideration within 10 calendar days of receiving that request. The committee will, after reviewing all newly submitted material, either confirm or revise its original

recommendation. The Candidate will receive in writing a revised recommendation, or a confirmation of the original recommendation, including the new Unit Committee vote, if there is one, and the Committee's rationale for the decision. Then the Dossier will go forward to the Dean. The Candidate Response Options outlined in the preceding paragraph are once again available to the Candidate. The actions subsequent to the exercise of one of the Candidate Response Options are the same as outlined in the preceding paragraph.

4. **The Dean of the School or College.** The Dean shall review the Candidate's Dossier and shall prepare a written recommendation addressed to the Provost. In preparing their recommendation, the Dean may consult with the Unit Committee, members of the faculty individually, and/or form an advisory College Committee. If an advisory College Committee is formed, and if it is asked to deliberate and vote on a recommendation to promote, then a record of the vote tally should be included with the Dean's recommendation. Reasons should be included for every negative vote and abstention.

- a. **The Dean's Recommendation.** The Dean's Recommendation and Candidate's Dossier are forwarded to the Provost.

The Candidate shall be given a written copy of the Dean's recommendation and may exercise the Candidate Response Options. The Unit Chair will also receive a copy of the Dean's recommendation.

- b. **The Candidate's Response.** If the Candidate selects Response Option (1), the response is addressed to the Provost and sent to the Senate Committee on the Promotion of Non-Tenure Track Faculty. If the Candidate selects Response Option (2), the Dossier is handled as described in Response Options.

5. **The Senate Committee on the Promotion of Non Tenure Track Faculty.** Dossiers are forwarded from the Provost to the Senate Committee on the Promotion of NTT Faculty. The Senate Committee considers recommendations for promotion received from the Units, College, and Deans. All voting is conducted by secret ballot. No absentee voting shall be permitted.

In cases where a Candidate is from the same Unit as a Senate Committee member, the Senate Committee member shall vote only at the Unit level but may participate by answering questions and may be present for the discussion of the Senate Committee.

**The Senate Committee's Recommendation:** The Senate Committee Chair then writes a letter addressed to the Provost that recommends to promote or not to promote. The letter must include the vote tally (for, against, or abstain) and a written summary of the Committee members' appraisal of the Candidate's record. Reasons must be included with every negative vote and abstention.

The Candidate shall be given a written copy of the Senate Committee's recommendation. The Unit Chair and Dean may also receive a copy of the Senate Committee's recommendation.

**The Candidate's Response:** The Candidate may exercise the Candidate Response Options. If the Candidate selects Response Option (1), the response is addressed to the Provost and sent to the Provost and the Senate Committee. If the Candidate selects Response Option (2), the Dossier is handled as described in Response Options.

6. **Action by the Provost:** The Provost shall communicate their decision to the Candidate in writing. Copies of their decision may also be given to the Candidate's Unit Chair, Dean, and Chair of the Senate Committee. The Candidate has 14 days to request that the Provost reconsider the decision. Only the Candidate can request reconsideration by the Provost. The Provost normally will respond within 20 days, either confirming the original decision or informing the Candidate of a revised decision. Final action by the Provost must occur before 31 July.

### **III. Guidelines for Preparing the NTT Promotion Factual Record for Candidates for Promotion and *Ad Personam* Committees**

Preliminary Notes:

*Descriptive vs. Prescriptive.* Because of the differences in the kinds of work NTT faculty do, this document intends to be *descriptive* by naming the kinds of information that are typically found in the Factual Record. Candidates should let their *Ad Personam* Committee and their Unit Guidelines help them determine what is necessary and what will be useful to include in their individual case for promotion.

*Time Period Covered.* With the exception of details about educational, academic, and professional qualifications, the Factual Record should focus only on the Candidate's period under evaluation and should relate clearly to promotion requirements. Typically, that means the period since a candidates' initial appointment or last promotion.

*Curriculum Vitae vs. Factual Record.* A *curriculum vitae* (CV) and Factual Record share some of the same information, but they are different. A CV will show accomplishments and development over an entire career, while a Factual Record will provide a detailed view of a Candidate's accomplishments and development during the period under evaluation. If an item could be misunderstood, Candidate's may include a *brief* explanation (1-3 sentences) to show the significance of the item.

*Primary Responsibility.* Sections 2 through 5 below refers to a Candidate's *primary responsibility* at UMSL. In most cases, NTT faculty members are hired as Teaching, Research, or Clinical faculty. Although it is possible that a Teaching Professor might do some research or clinical practice, or a Clinical Professor might do some teaching or

research, *the primary responsibility of that faculty member's effort would be in one area*. Letters of appointment should indicate the faculty member's primary responsibility. If it does not, please consult the Unit Chair or Dean. (See Collected Rules and Regulations of the University of Missouri, section [310.035](#).)

The NTT Promotion Factual Record is to be prepared by the Candidate for promotion and should include the following items in this order:

### **1. Educational, Academic, and Professional Background**

List in order: full name, current position, educational history, professional credentials, and employment history.

### **2. Primary Responsibility: Teaching**

*If TEACHING is your primary responsibility:*

A. Provide a brief statement of your philosophy of teaching (1-2 pages typically).

B. List goals and accomplishments (or accomplishments and goals\*) including creative contributions to teaching.

\*Listing goals then accomplishments can help you demonstrate that you have aimed at a particular kind of result and have been successful in achieving it. Listing accomplishments and then goals can help you show a trajectory for future growth. You should choose the approach that is best for you. Accomplishments might include, for example, new courses developed, participation in interdisciplinary courses, and teaching that necessitates collecting and organizing a new body of information.

C. List the courses, and the number of sections and students per course, taught at or through the University of Missouri–St. Louis at both the undergraduate and graduate levels. Be sure to specify if you were instructor of record, if the course was team-taught, etc. Identify those courses that were taught online (either hybrid or completely online) or at off-campus sites. Elaborate briefly on the significance of these courses and number of students taught, if appropriate).

D. List undergraduate and graduate research and independent study projects supervised, including master's theses and doctoral dissertations. You may also include participation in doctoral comprehensive examinations. Elaborate briefly on the topics and significance of these projects and the parts you played in them.

E. List teaching done through continuing education/extension and teaching done at other institutions. Name the course and number of students. Include a brief explanation if necessary to show significance, such as for invited lectures or in-



residence professorships. Be sure to specify if you were instructor of record, if the course was team-taught, etc.

F. Provide a complete listing of any publications (include full bibliographic citation) or other output relating directly to teaching. You may list publications more indirectly related as well, but they must be explained clearly and briefly.

G. List materials developed relating to teaching.

H. List all other activities or impacts relevant to teaching.

### **3. Primary Responsibility: Research**

*If RESEARCH is your primary responsibility:*

A. Provide a brief statement of your research (1-2 pages typically). Please write in ways that non-experts can understand.

B. List goals and accomplishments (or accomplishments and goals\*) including funding (funded and unfunded funding proposals). State whether you were the Principal Investigator and indicate the percentage of your contribution, if applicable.

\*Listing goals then accomplishments can help you demonstrate that you have aimed at a particular kind of result and have been successful in achieving it. Listing accomplishments and then goals can help you show a trajectory for future growth. You should choose the approach that's best for you.

Accomplishments might include publications (bibliographic details not needed here), funded projects, patents filed or issued, research students' accomplishments, invited lectures, or chairing sessions in national and international meetings/conferences, invited book chapters/reviews, editorial activities, consulting and expert witness, patents/patent filings/disclosures.

C. Give a complete listing of publications and presentations even if they are listed before. Please give full bibliographical citations and indicate the percentage of your contribution, if applicable.

D. List undergraduate and graduate research and independent study projects supervised, including master's theses and doctoral dissertations. You may also include participation in doctoral comprehensive examinations, including membership in thesis evaluation/defense committees, both internal and external. Elaborate briefly on the topics and significance of these projects and the parts you played in them.

E. List any teaching done, both formal and informal. Be sure to specify if you were instructor of record, if the course was team-taught, etc. Elaborate briefly on the significance of this work.

F. List any undergraduate/graduate/non-formal courses related to your field of research that you have developed or participated in developing. Please indicate the percentage of your contribution, if applicable. Be sure to specify if you were instructor of record, if the course was team-taught, etc. Identify any publications/presentations/funding that may have resulted from this activity.

G. List materials developed relating to teaching and research activities including presentations to the community or profession (e.g., high school students, non-science groups such as Boy Scout or Girl Scout organizations, accreditation agencies, governmental agencies, political/business leaders, etc.).

H. List any other activities or impacts relevant to your research activities that you feel appropriate and which may help in the evaluation.

#### **4. Primary Responsibility: Clinical Practice**

*If CLINICAL EDUCATION & PRACTICE is your primary responsibility:*

A. Provide a brief statement of your philosophy of teaching clinical and/or didactic topics (1-2 pages typically). Please write in ways that non-experts can understand.

B. List goals and accomplishments to clinical education and practice including your most creative contributions.

Accomplishments might include supervising/training those who provide clinical care, delivering clinical care in specialty areas or general practice, integrating student experiences within clinical environments, integrating and facilitating transitions between clinical and didactic activities, and/or adapting new knowledge and technologies into teaching and/or training protocols.

C. List the courses, whether they are clinical, didactic, or laboratory, and the number of sessions and students per course. Elaborate on your roles with students and patients (e.g., coordinating courses, team teaching, supervising student clinical encounters, directing and monitoring externships, etc.).

D. List any research and independent study projects supervised, including master's theses and doctoral dissertations. Also, include any extended mentoring activities. Elaborate briefly on the topics and significance of projects and your involvement in them.

E. List any teaching done through continuing education/extension and at other institutions. Also, report clinical practice either in a faculty practice or outside the

university. Elaborate on the significance of continuing education ~~GE~~ teaching and clinical practice in the clinical education process.

F. Give a complete listing of any publications (include full bibliographic citation), peer reviewed or otherwise, and output relating directly to teaching and/or clinical practice.

G. List materials developed relating to clinical practice and/or clinical supervision.

H. List all other activities including community and professional involvements including their impact on teaching and/or clinical supervision.

### **5. Other Areas of Primary Responsibility**

Faculty whose area of primary responsibility is not teaching, research, or clinical practice, should refer to their appointment letter and Unit Guidelines to identify relevant information to include in the Factual Record. They should consider adapting the items outlined above in ways that align with their specific appointment requirements/faculty contributions.

### **6. Service.**

A. Describe your overall role in Unit affairs.

B. List Department, College, University, University System, and/or community committee memberships and other service that you engaged within with dates (including beginning and ending dates). Briefly outline any significant accomplishments about which the reader should know, if appropriate.

C. List memberships in scholarly/professional organizations; including roles played, committee membership activities, task force service, and other professional service provided for organizations.

D. List any publications and/or presentations relevant to service (e.g., popular book reviews, program notes, invited talks, roundtables, workshops, etc.).

E. Summarize professional activities in support of the university that are engaged in at the external community level, clearly indicating both the type and degree of involvement (e.g., community outreach).

F. Summarize any professional consulting.

G. List all other activities or impact relevant to service.

### **7. Upload a current version of your CV.**

#### **IV. Guidelines for Preparing the NTT Promotion Dossier**

These materials are to be prepared by the *Ad Personam* Committee, Unit Committee, Unit Chair, and Candidate

Follow the guidelines below in preparing the Candidate's Dossier. Do not omit any items. Be clear, concise, and to the point. Be sure to review Unit Guidelines. Do not include items about nonprofessional characteristics of the Candidate that could be the basis for allegations of discrimination and/or other unfair treatment.

Note: Some items may be uploaded by the Candidate and others by the *Ad Personam* Committee. Since materials are being gathered from various sources, the Candidate and Committee must coordinate and communicate carefully and transparently throughout this process.

Materials are to be uploaded by the date determined on the annual calendar for promotion posted on the Academic Affairs website.

##### **Materials to Include in Dossier**

1. *Letter of Appointment* - The Letter of Appointment shows the date employment begins and the distribution of effort among the Candidate's Primary Responsibilities.
2. *Unit Guidelines*
3. *Annual Reviews of Progress toward Promotion.*
4. *Candidate's Factual Record.*
5. *Ad Personam* Committee's Report – This report should summarize the Candidate's Dossier and qualifications and measure them against Unit Guidelines, as follows. The Report should also draw attention to the added responsibilities and accomplishments that make the Candidate especially promotable.
  - a. Evaluation of work related to Primary Responsibilities – Include qualitative and quantitative data and indicate how the data have been collected and evaluated. The data evaluated should be in accord with Unit Guidelines and could include the following.
    - i. Courses / training sessions / professional development programs taught or supervised – include names, type (e.g., undergraduate, graduate, professional training, community outreach), and milieu in which each was offered. Include all new, revised, interdisciplinary/cross-disciplinary efforts, and/or courses requiring the collection of a new body of data.

- ii. Number of individuals taught, trained, and/or supervised.
    - iii. Summary of course / session / program evaluations – indicate the significance of evaluation results by comparing results to department, unit, and/or national averages.
    - iv. Summary of student letters.
    - v. Summary of peer observations, outside peer evaluations, letters from collaborators.
    - vi. Other relevant evidence pertinent to the performance of Primary Responsibilities; such as publications, patents developed, grants, other scholarship, performance, creative works, etc.
  - b. Evaluation of Service – Summarize the Candidate's record of service as required by the Unit. Indicate how the Unit evaluates the Candidate's service. Additional relevant service to the University and/or the profession at the unit, college, campus, community, regional, national, and/or international levels should be included as well.
6. *Unit Committee Report (submitted through the Unit Chair's Letter).*
  7. *Reasons Cited for Any Negative Votes or Abstentions (if any).*
  8. *Unit Chair's Recommendation (if any).*
  9. *Candidate's Response (if any).*
  10. *Revised Unit Committee Report and/or Unit Chair's Recommendation (if any).*
  11. *Appendices*
    - a. Supporting materials for evaluating performance of Primary Responsibility.
      - i. If the candidates' primary responsibility is teaching, include a sample student feedback form. Do not include raw data.
      - ii. Include a sample letter requesting peer or outside peer evaluation.
      - iii. Summarize credentials of any outside evaluators.
      - iv. Include letters from outside peer evaluators
    - b. Supporting materials for evaluating service.

The above items complete the Dossier from the Unit. Subsequent levels of review will add the following items to the Dossier:

1. The recommendation of the Dean. If there is a College Committee, the Dean's recommendation should include the College Committee's Letter (if provided) and the vote tally and reasons for any negative votes or abstentions.
2. Response of candidate to the Dean (if any).
3. The recommendation of the Senate NTT Promotion Committee including the vote tally and reasons for any negative votes or abstentions.
4. Response of candidate to Senate NTT Promotion Committee recommendation (if any).
5. The decision of the Provost.
6. Response of candidate to Provost decision (if any).

## **V. Background on the Philosophy of Promotion and Expectations of Ranks**

UM System [CRR 310.035.K](#). (Executive Order 35) specifies,

Evaluation of the Candidate's application for promotion should focus on the specific area of appointment – teaching, research, clinical/professional practice, extension or library – as well as service and professional activities related to that primary responsibility.

In promotion considerations, the total contribution of the faculty member to the mission of the unit, school/college and/or campus over a sustained period of time should be taken into consideration. This includes comprehensive documentation of the position, including a letter of appointment identifying the candidate's home department/unit and the initial position description, communications detailing changes in position responsibilities, and any other statements regarding expected performance.

The promotion of NTT Faculty is intended to support the overall quality of faculty members in the NTT ranks, and to recognize the excellence they have achieved. A faculty member who strives for excellence not only benefits students and their education, but also reflects well on the University and the faculty member's field of expertise; and makes the University a better, more potent partner in the community and the state of Missouri.

Promotion is not automatic. Promotion recognizes *the growth and development over time* of the NTT faculty member's contributions, quality, merit; and impact on their

students, department/program, college, university; and field or community at departmental, local, regional, national, and/or international levels.

## **1. Categories of NTT Faculty and the Primary Responsibility**

UMSL allows the types of appointments outlined in CRR 310.035 (e.g., teaching, research, clinical, extension, library, or professor of practice). Upon hiring and reappointment, faculty members are given a Letter of Appointment by their Unit Chair or Dean that specifies the Primary Responsibility of their appointment. Percentages are assigned to the primary responsibility duties to indicate the distribution of the faculty members' efforts. Promotion Candidates are evaluated on the two areas in which they distribute their efforts: the primary responsibility and service.

## **2. Ranks**

Although job requirements might change over time as the faculty member takes on new tasks and responsibilities; the expectations of growth and development in the faculty member's quality, merit, and impact throughout their career remain basic to earning promotion. NTT faculty work in varied positions, but across the University, the following are expected.

**NTT Assistant Professors** have demonstrated the expertise and experience to execute their job responsibilities successfully in their specific area of appointment (teaching, research, clinical, extension, or professor of practice), as well as the service and professional activities related to that Primary Responsibility. NTT Assistant Professors have strong records of service in the Unit, show an interest in and a potential for growth and excellence in the specific area of appointment, and demonstrate the potential for leadership among peers.

**NTT Associate Professors** have demonstrated excellence in their specific area of appointment beyond that justifying the rank of Assistant Professor. They have made sustained contributions to the Unit and the University, and show consistent evidence of growth. NTT Associate Professors have strong records of leadership and service in the Unit, and beyond the Unit as well; whether in the University, community, or profession.

**NTT Professors** have made sustained contributions during their career to the specific area of appointment as well as service and professional activities related to that Primary Responsibility. A person being considered for promotion to professor should have achieved significant distinction in the specific area of appointment or related service and/or professional activities. NTT Professors should have strong records of leadership and service in their Units, in the University, and beyond the University as well; whether in the profession or the community.

Librarian faculty have ranks specific to this type of appointment that are designated in [CRR 310.035.B.5](#) and their unit guidelines.

## **VI. Process and Evaluation Principles**

The process for promotion for full-time, NTT faculty follows the NTT Promotion Timeline, which can be found on the UMSL Academic Affairs website.

UM System [CRR 310.35.K](#). states,

Specified criteria for promotion and description of the process used for promotion in rank should be spelled out by the school, college, or academic unit and approved by the provost in advance. The development of specific criteria and guidelines used to determine standards of excellence for promotion purposes should be the responsibility of the department/unit, subject to approval by a Dean/Director and the Provost.

Evaluation areas should be consistent with the established academic standards for each discipline. The decision of whether or not to apply for promotion rests with the NTT faculty member. Annual reviews should be valuable indicators of the applicant's readiness for promotion.

NTT faculty members are evaluated according to their Primary Responsibility and service. To be eligible for promotion, faculty members are expected to make significant contributions in each area. The annual review for promotion is not based on the activities of just one year, but on the individual's cumulative record during the time period under consideration and their progress toward promotion.

The review and recommendation for promotion is conducted by full-time department faculty of higher rank than the Candidate; and may include NTT, tenure-track, and/or tenured faculty. This review may be done by the Unit Chair or by a committee. If the Candidate agrees to move forward with the promotion process, the process then follows the NTT Promotion Timeline.

It is important to note that once the Candidate has decided to begin the process to promotion, only the Candidate can stop the process. The Candidate is urged to seek advice concerning their potential for success in promotion from their Unit Chair and faculty peers with knowledge of campus promotion processes.

All participants in the promotion process, including advisors, evaluators, and others, are reminded of the confidential nature of all information gathered (e.g., all discussions, deliberations, and recommendations).



## Appendix

### Definitions

***Ad Personam Committee***: a committee consisting of at least three faculty members at a rank higher than the Candidate's rank. This committee will normally come from the Candidate's home Unit but by necessity may include members from other Units or from outside the University. *Ad Personam* Committee members who are from outside UMSL will normally not receive financial compensation for their service. The Candidate has the right to select one member of the *Ad Personam* Committee; while the Unit Promotion Committee or its designee will select the remaining members, after consultation with the Candidate.

The *Ad Personam* Committee is responsible for advising the Candidate on assembling the Factual Record and assessing it for completeness. It is also responsible for soliciting, collecting, and presenting letters, reports, and other assessments from students, peers, and outside experts that demonstrate the Candidate's suitability for promotion as part of the *Ad Personam* Committee Report. The *Ad Personam* Committee writes and submits the *Ad Personam* Committee Report and works with the Unit Chair or Dean to compile the additional documents required for the Dossier (listed in Section IV).

**Annual Promotion Review**: Unit procedure that evaluates and tracks an NTT faculty member's progress toward promotion and recommends promotion to the Unit Chair. Units can form committees to perform these actions. If a committee is formed, it can be made up of NTT and TT professors at Associate Professor and Professor ranks. Associate Professors and Professors evaluate Assistant Professors, and full Professors evaluate Associate Professors. In the case of smaller units, annual promotion review may be done by the Unit Chair or their designee.

**Candidate**: a faculty member being considered for promotion. The Candidate is responsible for preparing the Factual Record, the CV, and the appendices of sample materials, citations, and other materials that show the growth and development in the Candidate's quality, merit, and impact.

**College Committee**: a committee formed at the Unit Dean's discretion, in the Candidate's College, charged with deliberating and voting on the Candidate's promotion.

**Curriculum Vitae (CV)**: An overview of professional credentials, qualifications, and experiences that shows the growth and development of a faculty member over the course of a career. The addition of the *Curriculum Vitae* to the Dossier affords readers a broad and long-term context for the narrowly focused details that appear in the Factual Record.

**Dean:** The Dean of the school or college in which the Candidate has their primary appointment. The Dean is responsible for assessing and recommending promotion or no promotion to the Provost. For the Missouri Institute of Mental Health, the Vice Chancellor of Research serves in the role of Dean.

**Dossier:** A document produced by the Candidate and Candidate's *Ad Personam* Committee that is used by the various units to review the Candidate and recommend for or against promotion. When the Dossier is forwarded from one level of review to the next level of review, it must include: (1) everything in the original Dossier; (2) all material added at prior levels of review; (3) all material solicited at the current level of review; and (4) all reports, recommendations and responses generated at the current level of review. No unsolicited information shall be included in the Dossier or considered in the evaluation. Guidelines for preparing the Dossier are given in Section IV, "Guidelines for Preparing the NTT Promotion Dossier."

**Factual Record:** The collection of documents that demonstrates the Candidate's accomplishments in the specific area of appointment. The contents may vary according to whether the faculty member holds a teaching, research, clinical, extension, library, or professor of practice appointment. Guidelines for compiling the Factual Record are in Section III. After the Candidate submits the final version of the Factual Record, the candidate may submit new material that updates the status of items already in the Factual Record (acceptance or publication of articles or books, receipt of research grants or awards, etc.); but may not add new material to the Factual Record, remove material from the Factual Record, or rewrite parts of the Factual Record. The status updates must be submitted to the Unit Committee and Chair. If the Dossier has left the unit, the Unit Chair will forward the status updates to subsequent levels of review, with or without comment on the updates.

**Provost:** the administrative head of Academic Affairs. The Provost receives recommendations from the Unit Chair, Unit Dean, and Senate Committee Chair for or against promotion.

**Rationale for Promotion:** a detailed written statement that makes the case for consideration for promotion based on the expectations appropriate for each rank.

**Recommendations:** Deliberations by Units, Deans, and the Senate Committee all culminate in recommendations to the Provost.

**Response Options:** At each stage of the process when a recommendation not to promote is placed in the Candidate's Dossier, the Candidate must be notified immediately via email and be given 14 calendar days from the date of notification to submit a response.

The Candidate may: (1) submit a written response; or (2) withdraw from consideration, in writing; thereby waiving any right to further review, reconsideration, or appeal for that cycle. By withdrawing, a Candidate does not waive her or his right to file a grievance

related to recommendations made prior to the withdrawal. If the Candidate selects Response Option 2, the Dossier is forwarded to Academic Affairs and retained indefinitely as required by University regulations. At the Unit level, the Candidate's Dossier is not forwarded until there is a response from the Candidate, or 14 calendar days pass with no response. At other levels, the Dossier may be forwarded to the next level of review prior to receipt of a response from the Candidate, but shall not be evaluated at the next level of review until a response has been received, or 14 calendar days have lapsed. Any response should be sent to the next level of review, unless otherwise noted. The individual at the next level of review is responsible for including the letter in the Dossier and sending copies of the Candidate response to all earlier levels of review.

**Senate Committee:** the Senate Committee on Promotion of Non Tenure Track (NTT) Faculty, made up of full NTT professors and at least one TT professor elected by the Faculty Senate. The Senate Committee is responsible for assessing and recommending whether to promote or not promote the Candidate, and then passing that recommendation on to the Provost through the Senate Committee Chair.

**Terminal Degree:** the highest University degree awarded in a particular field of study. In most academic fields, the doctorate, such as the Ph.D. (Doctor of Philosophy), O.D. (Doctor of Optometry), or the Ed.D. (Doctor of Education), is considered the terminal degree. In Creative Writing, the MFA (Master of Fine Arts) is the highest degree awarded.

**Unit:** the faculty body that puts forward the first recommendation concerning promotion. In Arts & Sciences, Business, and Education, the Units are departments. In Nursing, Optometry, Honors, and Social Work, the Unit is the college or school as a whole. In the Missouri Institute of Mental Health, the Unit is the Institute as a whole; in the libraries, the Unit is the library as a whole.

**Unit Chair:** the administrative chair or director of the Candidate's unit. In Arts & Sciences, Business, and Education, the Unit Chair is the Chair of the Department. If the Department Chair is the Candidate for promotion, the Dean will designate a surrogate Unit Chair for the purposes of this review. In Nursing, Optometry, Honors, Social Work, and the libraries, the Dean will designate a faculty member as the Unit Chair for the purposes of promotion review. In the Missouri Institute of Mental Health, the Unit Chair is the Director of the Institute.

**Unit Guidelines:** established procedural guidelines and unit standards for the review of Candidates for tenure or promotion. These must be consistent with the University of Missouri System *Collected Rules and Regulations*, and with this document; and must be approved by the Dean and by the Provost.

When unit promotion guidelines are changed, the faculty being evaluated for progress toward promotion will be given two options:

- 1) be evaluated under the new guidelines, or
- 2) continue to be evaluated under the guidelines in effect at the time of the candidate's last promotion or at the time of their initial appointment in the NTT position (if the candidate has not been promoted since their initial appointment).

**Unit Promotion Committee:** a committee formed from the Candidate's Unit to deliberate and vote on the Candidate's promotion. Unit Committee members must have an academic rank above the Candidate's current rank, and may be tenured or NTT faculty members. The Unit Committee shall have no fewer than three (3) members. When fewer than three qualified members are available within the Unit, external members from other units or from outside the University shall be selected by the Dean. When external members are required, it is recommended that external member(s) participate in no fewer than one annual review of the Candidate's performance prior to the year in which the Candidate applies for promotion. The Unit Promotion Committee recommends to promote or not promote the Candidate to the Dean through the Unit Chair's Letter.