

**INSTITUTE OF
AGRICULTURE AND
NATURAL RESOURCES**

**GUIDELINES FOR THE
EVALUATION OF FACULTY:**

**ANNUAL EVALUATION,
PROMOTION, TENURE,
AND REAPPOINTMENT**

March 27, 2015

Update January 2020

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SECTION I -- INTRODUCTION

The Bylaws of the University of Nebraska Board of Regents and the University of Nebraska-Lincoln *Guidelines for the Evaluation of Faculty: Annual Evaluations, Promotion, and Tenure* provide foundational guidance for the evaluation of faculty, including promotion and tenure, within IANR. As permitted by policies referenced in the aforementioned documents, IANR has developed the supplemental guidelines identified below. These provide additional guidance and clarification about the policies, procedures, requests, and expectations in response to unique needs of IANR. To reduce confusion, this document combines relevant material from both the source documents and the additional material unique to IANR into one inclusive set of guidelines. However, this document does not replace or supersede the University Bylaws or UNL Guidelines documents. The most recent version of the UNL Guidelines document is located at <https://ianr.unl.edu/policies/promotion-and-tenure>.

Each of the following sections addresses one of the major evaluation activities: annual evaluation, reappointment, and tenure and promotion. A general overview of each activity is found in the *UNL Guidelines for Evaluation of Faculty: Annual Evaluations, Promotion, and Tenure*.

A. Definitions:

Unit: any administrative unit within IANR to which faculty members are assigned or affiliated (e.g., academic unit (e.g., department, school), engagement zone, center, institute, program)

Unit leader: department head/chair, school director, engagement zone leader, program leader.

Supervisor: the person in an administrative role who has responsibilities for evaluating faculty performance.

Probationary faculty members: these are faculty members who have a *specific term* tenure-line position but who are not yet tenured. These faculty members are eligible for both tenure and promotion.

Special appointment faculty members: these are non-tenure line faculty members who are appointed for a specific term, usually one to three years. Those in the professor of practice, research professor, extension professor, extension educator, forester, and geoscientist ranks are eligible for promotion. Those who have lecturer, senior lecturer, visiting, research associate, and post-doctoral appointments are not eligible for promotion. Although it is possible to designate adjunct faculty members as “assistant”, “associate”, or “full”, this is not required. The criteria for using rank designations for adjunct faculty is determined at the unit level with the approval of the deans. Determinations of adjunct faculty members’ rank is determined at the unit level; their materials do not route through the multitier evaluation process described in Section III.

Faculty practice faculty members: these are special appointment faculty members in professor of practice and research professor positions. Faculty practice faculty members are eligible for promotion, but not tenure.

B. IANR forms related to the evaluation of faculty members:

Unit leaders or their administrative assistants have access to all required forms related to the evaluation of faculty.

- a. Academic Performance Evaluation and Professional Development of Faculty Form (located in Sharepoint)
- b. An annual report of faculty accomplishments and impacts is to be completed through Activity Insight (instructions located at <http://ianr.unl.edu/activity-insight-resources>).
- c. Position Description (located in Box)
- d. IANR Annual Faculty Progress Form (located in Sharepoint)

SECTION II -- ANNUAL EVALUATION

A. General guidelines.

- a. Bylaws of the NU Board of Regents (subsequently referred to as *University Bylaws* (<http://www.nebraska.edu/docs/board/bylaws.pdf>))
- b. *UNL Guidelines for the Evaluation of Faculty: Annual Evaluations, Promotion, and Tenure* (subsequently referred to as *UNL Guidelines* (http://www.unl.edu/svcaa/documents/tenure_guide.pdf)).

B. Who is to be evaluated. All faculty are to be evaluated annually.

C. What informs annual evaluation. The basis for the annual evaluation is the faculty member's:

- a. self-appraisal of annual accomplishments
- b. updated CV
- c. other pertinent data available to the supervisor (e.g., course evaluations)
- d. annual peer review of faculty accomplishments
- e. annual peer review of progress toward promotion and/or tenure (as appropriate)
- f. the supervisor's observations of the faculty member's performance.

The faculty member's annual report of faculty accomplishments must be submitted through Activity Insight (<https://ianr.unl.edu/activity-insight-resources>) by January 15 of the year following the calendar year for which the faculty member is being evaluated, although some units may request submission prior to that date. The faculty member's self-appraisal is important documentation of annual accomplishments. Failure to submit a self-appraisal through Activity Insight and an updated CV by the deadline can result in a "Needs Improvement" or "Unsatisfactory" evaluation. If a supervisor uses additional information to that submitted by the faculty member or peer review committee (see above) to inform their evaluation, the faculty member must be a) informed that this additional information is being taken into consideration, b) given the opportunity to review this information for themselves, and c) given the opportunity to present supplementary information.

D. What is being evaluated. Supervisors evaluate the quality and impact of a faculty member's accomplishments (e.g., products, outcomes) and contributions, in light of their apportionment and position description, over the course of the evaluation period. Faculty members should document accomplishments in each area of their apportionment in light of the expectations identified in their position description and unit (e.g., department, school, college, extension) documents. While faculty

members may be given credit for contributions and accomplishments outside their apportionment and that are not stated in their position description, these contributions and accomplishments do not replace apportionment and job description expectations unless previously agreed upon and approved by the faculty member's supervisor or other appropriate IANR administrator. Faculty members' contributions to the culture/climate and inclusive excellence within the unit and IANR are subject to evaluation regardless of apportionment and position description. It is also expected that faculty members will contribute to an atmosphere of intellectual honesty and demonstrate integrity, academic responsibility, and ongoing professional development in all aspects of their work. A faculty member may receive an overall rating of "Needs Improvement" or "Unsatisfactory" for deficiencies in only one performance area, despite accomplishments in other performance areas. This includes the faculty member's contributions to culture/climate and inclusive excellence within the unit.

- E. *The role of peer review in annual evaluation.*** Annual peer review is expected of all tenure-line faculty members who are not fully promoted and/or not yet tenured. Faculty members who are tenured and fully promoted are subject to regular peer review at least every three years. Annual peer review is expected of all non-tenure line faculty members who are on a faculty practice-line (i.e., Professor of Practice, Extension Professor, Research Professor).

The composition of the unit peer review committee (including how faculty members are selected for service on this committee) is determined at the unit level, and must be documented to ensure consistency, transparency, and fairness. The peer review committee reviews the faculty member's annual report of accomplishments (i.e., Activity Insight report) and CV in conducting their annual review of the faculty member's accomplishments. For those not yet fully promoted, an outcome of this review is a peer review committee indication of whether or not, in their judgment, the faculty member is making progress toward promotion and/or tenure. Unit peer review committees document their review using the *IANR Annual Faculty Progress Form*. The results of this review should inform the supervisor's evaluation.

- F. *The annual evaluation rubric.*** Supervisors of IANR faculty members are required to use a standard *Academic Performance Evaluation and Professional Development of Faculty* form and rubric. The form has spaces for the supervisor to document their evaluation of the faculty member's accomplishments; impacts; and organizational, team, and communication competencies. "Good Work" is the performance rating that is the standard of excellence expected of all IANR faculty. "Outstanding Work" is the performance rating given when the faculty member documents significant successes beyond normal expectations, and "Extraordinary Year" is reserved for the occasional year in which the faculty member achieves meaningful programmatic impacts and accomplishments far above their peers. A "Needs Improvement" performance rating is used when a faculty member falls below expectations in one or more areas of their apportionment, and when it is believed that corrective action will result in the faculty member being able to return to a satisfactory performance rating. A "Needs Improvement" rating is not to be used in more than two consecutive years. A substantial chronic deficiency in performance warrants an "Unsatisfactory" performance rating. For tenured faculty members, an "Unsatisfactory" performance rating may trigger post-tenure review.

- G. *The responsibility of the supervisor in annual evaluation.*** The annual performance review should provide feedback on how well the faculty member is performing in relation to their assigned duties and, most importantly, where and how the faculty member might improve that performance. It serves neither

the faculty member nor the institution's best interest when the evaluation is overstated or understated, or when it does not indicate how the faculty member might improve. Even faculty members who receive a rating of "Outstanding Work" and "Extraordinary Year" may benefit from constructive feedback about how they might improve their performance.

- H. *Faculty members' right to review their annual performance evaluation.*** The *UNL Guidelines* require that prior to finalization of the supervisor's written evaluation, the faculty member must be given the opportunity to meet with the supervising administrator to discuss their performance evaluation. The finalized written evaluation is given to the faculty member for review and signature. The faculty member's signature on the evaluation indicates that they received it, not that they are in agreement with all aspects of the evaluation. The faculty member has the option of including written comments on the evaluation form, or of including a separate letter that will be attached to the supervisor's evaluation and become part of the faculty member's personnel file.
- I. *Guidance relating to faculty members at Research, Extension, and Education Centers (REEC)*** – Annual evaluation of faculty members whose work stations are at an REEC are conducted by their department head/school director or, in the case of extension educators, their Engagement Zone coordinator or program leader (as appropriate). For faculty members whose work station is at an REEC, the REEC director should communicate prior to January 15 with the faculty member's supervisor about their assessment of the faculty member's performance and contributions to the REEC. The REEC director does not conduct an annual evaluation of the faculty member. The observations of the REEC director inform the supervisor's annual evaluation of the faculty member.

SECTION III -- REAPPOINTMENT

A. *General guidelines.*

For faculty members on specific term appointments (tenure leading probationary faculty members), the specific term of their appointment is one year. With satisfactory annual reviews, reappointment is assumed and automatic up to the tenure notification date specified in the faculty member's letter of offer (or properly executed addendum or approved request for tenure extension).

Regardless of work station and/or affiliation with a center, institute, program, division, etc., the tenure home unit for specific term faculty members is a department or school. (The only exceptions are those which were established prior to January 2020).

Many faculty members with special appointment contracts (non-tenure leading) have an appointment for a stated term. Exceptions are often, but not always, Extension Educators, Foresters, and Geoscientists. The stated term of special appointments generally range from 1-3 years, but may, in special circumstances, be up to 5 years.

For special appointment faculty members on a Professor of Practice, Research Professor, and Extension Professor line, specific action by an appropriate administrator is required to reappoint the faculty member to another stated term. If action is not taken, continuation for an additional 12 months is assumed and automatic. In the event of non-reappointment, if the stated term of the appointment

expires at the end of one year or sooner, notice shall be given by an appropriate administrative officer not less than three months in advance of the termination date. If the stated term of appointment expires after one year of continuous service, but not later than two years, notice shall be given by an appropriate administrative officer not less than six months in advance of the termination date. If the stated term of appointment expires three years or more, notice shall be given by an appropriate administrative officer no less than 12 months in advance of the termination date.

B. Annual feedback toward tenure

- 1) The unit peer review committee should provide written feedback to the faculty member and the unit leader annually regarding the progress of each tenurable faculty member. This should be done annually through the sixth year.
- 2) The faculty member may, but is not required to share their previous academic year(s) performance evaluation form with the unit peer review committee.
- 3) The appropriate administrator reviews the peer review committee's comments on progress towards tenure and makes an independent appraisal of the faculty member's progress. For faculty members located at REECs or other centers, or who, through formal affiliation, are contributing to the priority programs of IANR, this appraisal is made with input from the REEC director, or leader of the center or program. The appropriate administrator then shares his/her appraisal, as well as that of the peer review committee and REEC director (or equivalent, if appropriate), in a meeting with the faculty member to review their annual evaluation.
- 4) The unit peer review committee and unit leader should use the IANR "Faculty Annual Progress Form" for written feedback to faculty.
- 5) If a negative tenure decision appears inevitable, it is in the best interest of both the university and the faculty member to notify him/her of non-reappointment at the earliest possible date.

C. Reappointment recommendation of probationary and special appointment faculty members.

If the appropriate administrator, after reviewing the entire record, recommends reappointment to another stated term, this is forwarded to the dean(s) by indicating appropriately on the "Faculty Annual Progress Form" referenced above in B.4.

SECTION IV – TENURE AND/OR PROMOTION IN RANK

A. General guidelines. *University Bylaws* and the *UNL Guidelines* at the web sites identified in Section II.A.

B. Who is eligible for tenure and/or promotion. To be eligible for tenure, a faculty member must be appointed to a specific term tenure-line position. Tenure-eligible faculty members have probationary year-to-year appointments until granted tenure. Unless already fully promoted, probationary faculty are eligible for promotion. Special appointment (non-tenure line faculty members) who are in professor of practice, research professor, extension professor, extension educator, forester, and geoscientist positions are eligible for promotion if they are not already fully promoted.

C. IANR promotion criteria. A recommendation for promotion shall be based on "Criteria for Appointment and Promotion in Rank" located at <http://ianr.unl.edu/faculty-staff>. Unit and disciplinary specific criteria for promotion is available through each unit leader's office.

- D. IANR tenure criteria.** The University Bylaws (Section 4.5) state that each major administrative unit of the university shall prepare written standards which shall be used in making all decisions on awarding continuous appointment (tenure). In IANR, a recommendation for tenure shall be based upon the IANR standards, "Criteria for Granting Continuous Appointment, The University of Nebraska Institute of Agriculture and Natural Resources".
- E. Tenure and/or promotion files.** The candidate is responsible for documenting the case for tenure and/or promotion. This includes writing candidate statements that illustrate the significance of their contributions, accomplishments, and impacts, and including appropriate documentation of these contributions, accomplishments and impacts through their CV; student, peer and administrator reviews and evaluations; and other supporting material.

The 2020-2021 IANR Document Request for Promotion and Tenure is found in Attachment A. While the appropriate administrator is responsible for providing material to be included in the Administrative Section, it is the candidate's responsibility to ensure that this material is organized appropriately and that all the necessary elements are included.

The department head/school director (or other appropriate administrator) sets the date for submitting the file to permit adequate time for deliberations and due process at each stage of review. The candidate is entitled to access all materials in the file and to know the identity of everyone who reviews the file. Candidates must be informed of the content and source of any substantive new evidence to be added to the existing file, and they have a right to add commentary in response to any of this new information at any point as their materials progress through each stage of review.

- F. External letters of review** -- In IANR, external review letters are mandatory for tenure and/or promotion files of tenure line faculty members who are being considered for tenure and/or promotion (associate or full); and special appointment faculty members who have appointments of professor of practice, research professor, or extension professor who are being considered for full promotion (external letters are not needed for promotion from assistant to associate). Extension educator, forester, and geoscientist files do not require external review.

The UNL Guidelines state as mandatory procedures:

A candidate may waive the right to access outside reviews and/or the right to know the identity of outside reviewers. Such waivers shall not be assumed, implied or coerced, and must be executed in writing prior to solicitation of outside reviewers. The scope of the waiver shall be clearly indicated in writing. A copy of any waiver executed by a faculty member shall become a part of the file. (A copy of "Waiver of Right to See Information Form" is located at <https://executivevc.unl.edu/faculty/evaluation-recognition/promotion-tenure>).

All external evaluation letters must assess the quality and impact of the candidate's research or creative activity; extension education and/or engagement/outreach; and/or teaching. When external reviewers are solicited for reviews, they should receive copies of the Candidate Statement(s), CV, and any other materials (e.g., examples of publications) that will allow them to evaluate the quality and impact of the candidate's work across all areas of their work responsibility. Disciplinary expectations and unit-level guidelines exist that help determine what material external reviewers receive.

Those conducting external reviews should be asked to not provide an assessment of whether the candidate would be tenured or promoted at their institution.

It is the responsibility of the unit leader, the chair of the tenure and promotion committee, or the dean—not the candidate—to solicit external letters for review. The *UNL Guidelines* state: *Any unit that intends to solicit outside reviews as a part of its review process shall develop rules for solicitation of such reviews that are consistent with this section. In situations where outside review is undertaken, the faculty member is entitled to know how, and by whom, the panel of potential reviewers is to be identified and selected. Every reasonable effort must be made to assure that the external reviewers represent an appropriate subset of peers; a candidate shall have the opportunity to propose names to the panel and to object to the inclusion of others, but the final identification of the reviewers remains the responsibility of the person charged with conducting the review.*

It is preferable that reviewers have full professorial rank, however, external reviewers must occupy a rank equal to or above that being considered for the candidate. Reviewers must be chosen who are qualified to judge the quality of the candidate's outcomes, products, accomplishments and impacts because of their own knowledge of the field. With few exceptions, it is expected that reviewers hold faculty or administrator positions at institutions comparable to or more highly-regarded than UNL.

When external reviews are required, the tenure and/or promotion file must include at least three external (to UNL) and independent letters of review. "Independent" means letters will be from individuals who have had no (or only limited) professional or personal relationships with the candidate and who have been chosen by the unit leader (or the tenure and promotion committee or dean, as appropriate) for their ability to provide an objective assessment. These would not include dissertation advisors, current or former collaborators, former colleagues, personal friends or others who have any special relationship to the candidate. For cases in which the extreme prominence of a candidate for full professor makes independent letters impracticable, special care should be taken to solicit letters from exceptionally prominent reviewers.

A document should be included in the candidate's file that clearly identifies whether the external reviewers were nominated by the unit (e.g., unit leader, P&T committee) or the candidate, the qualifications of each reviewer, and the relationship (if any) of the reviewer to the candidate. A copy of the letter template soliciting the review should also be included in the candidate file. While a unit leader may determine their unique template, a sample letter, "Model Letter Soliciting External Reviews" is located at <https://executivevc.unl.edu/faculty/evaluation-recognition/promotion-tenure>. Other external letters of review, not independent and/or solicited by the unit, may be included but must be so identified in the file.

G. Unit promotion and tenure committee/promotion committee.

In IANR departments and schools, the department head/school director will provide for a P&T committee of three or more faculty members with tenure and who are eligible to vote on an application for promotion. These committees will evaluate materials for candidates for tenure and/or promotion for probationary, tenured-not fully promoted, and special appointment (non-tenure line) faculty members, with the exception of extension educators and foresters. For faculty members with extension educator and forester appointments, the appropriate administrator will provide for a

promotion committee consisting of three or more faculty members who are eligible to vote on an application for promotion. A committee member shall not be eligible to vote on a recommendation for a candidate aspiring to a rank not yet achieved by the committee member. Faculty members who are not tenured are not eligible to vote on a recommendation for a candidate being considered for tenure.

- 1) The unit leader shall not be a member of the promotion and tenure/promotion committee.
- 2) The promotion and tenure/promotion committee may be either appointed or elected in accordance with the rules of each administrative unit.
- 3) For tenure-line and faculty practice-line faculty members, one or more faculty members with work station assignments at an REEC shall be included on the committees of those administrative units with one or more faculty members located at an REEC.
- 4) An administrative unit may include IANR faculty members from outside the unit in order to meet the minimum committee size and REEC representation requirements.

H. IANR deans

The IANR deans are the deans of CASNR, ARD, CED, and CEHS. The deans evaluate and make recommendations on decisions related to tenure and/or promotion for all IANR faculty members. The deans who oversee apportionment responsibilities that correspond with the apportionment of candidates make joint recommendations for tenure and/or promotion decisions. The dean of CEHS is involved in the joint recommendations on all candidates who are faculty members in CEHS units.

I. *Annual feedback toward tenure and/or promotion.*

- 1) The appropriate administrator will provide for a peer review committee of three or more faculty members who are eligible to vote on an application for tenure and/or promotion. This committee may be the unit Promotion and Tenure Committee/Promotion Committee or may be a separate committee specially charged with conducting annual peer review. A committee member shall not be eligible to provide feedback on a candidate aspiring to a rank not yet achieved by the committee member. Faculty members who are not tenured are not eligible to provide feedback on a recommendation for a candidate being considered for tenure.
- 2) The departmental peer review committee should provide written feedback to the faculty member and the unit leader regarding the progress of each promotable and tenure eligible faculty member. For probationary faculty members and faculty members who are tenured but not yet fully promoted, this should be done annually. For special appointment faculty members, this should be done annually. For faculty members who are tenured and fully promoted, this should be done at least once every three years.
- 3) The faculty member may, but is not required to share previous years academic performance evaluation forms with the unit peer review committee.
- 4) The appropriate administrator reviews the peer review committee's comments on progress towards tenure and/or promotion and makes an informed yet independent appraisal of the faculty member's progress. The administrator then shares the peer review committee's appraisal at the meeting with the faculty member to review their annual evaluation.
- 5) The unit peer review committee and unit leader should use the IANR "Faculty Annual Progress Form" for written feedback to faculty.

J. *Guidance unique to decisions about tenure*

- 1) The tenure evaluation process must be initiated in time to be concluded prior to the tenure notification date specified in the letter of offer.
- 2) Faculty members have a right to request an extension to the tenure notification date.

Extensions may be granted with the approval of the unit leader, dean(s), and IANR Vice Chancellor for extenuating circumstances that may interrupt a faculty member's ability to meet the standards for tenure eligibility. A faculty member who is granted a tenure extension cannot be held to a higher standard than that which is expected of any faculty member submitting materials on time. A faculty member submitting a request for tenure extension may submit materials according to their original timeframe without this being considered early.

- 3) No person may be considered for tenure without his/her consent. Refusal to be considered at the mandatory time, however, is equivalent to resignation no later than at the end of the probationary period.
- 4) At any level of the consideration process, a candidate may request that the nomination be withdrawn from further consideration, recognizing that if materials are being considered at the mandatory time that withdrawing materials is tantamount to resignation at the end of the probationary period.
- 5) If tenure is being considered at the mandatory time, the file continues to advance to the IANR Vice Chancellor, regardless of the decision by the IANR dean(s).
- 6) The IANR Vice Chancellor reviews the documentation file and makes an independent recommendation to the Chancellor. If the IANR Vice Chancellor recommends against tenure and after reconsideration continues to recommend against tenure, the candidate has the right to appeal the decision to the Chancellor. All nominations are forwarded to the Chancellor, regardless of the decision at the dean(s) or IANR Vice Chancellor levels.

K. *Guidance unique to decisions about promotion in rank.*

- 1) Consideration for promotion is not compulsory. It is the responsibility of the faculty member to determine if and when they wish to be a candidate for promotion and to compile the file documenting evidence justifying promotion.
- 2) Any member of the faculty, the unit leader, or an evaluation committee may encourage a faculty member to submit his/her promotion application.
- 3) Promotion applications shall only be considered according to the published timeline.
- 4) At any stage of the consideration process, a candidate may request that their application be withdrawn from further consideration. Withdrawing an application for promotion does not have negative impact on the person's employment or status with the university.
- 5) If the IANR dean(s) recommend against promotion, the promotion process terminates. The candidate and the unit leader each have a right to appeal the decision to the IANR Vice Chancellor.
- 6) If the IANR dean(s) recommend promotion, the IANR Vice Chancellor reviews the documentation file, including letters from the unit committee, unit leader, and dean(s) to make an independent recommendation to the Chancellor. If, in the evaluation process, a negative recommendation has been made by one of the reviewing parties and the IANR Vice Chancellor also makes a negative evaluation and the reconsideration process is complete, the process terminates. In this case, each of the reviewing parties making a positive recommendation has the right to appeal the decision to the Chancellor.

L. When a candidate is being considered for tenure and promotion simultaneously

- 1) The candidate's letter of intent should clearly indicate that they wish to be considered for both tenure and promotion.
- 2) The candidate shall submit only one file documenting their achievements. This file will be used to consider both tenure and promotion.
- 3) Groups or individuals acting on the file must make recommendations on tenure and promotion separately. For promotion and tenure committees, this means that they will conduct two separate votes, one for promotion and one for tenure. These votes and the reasons for them should be documented in the same letter.

M. Tenure and/or promotion materials review process

- 1) Action taken by each of the reviewing parties (committee through the IANR Vice Chancellor) should be recorded on the "Faculty Promotion Tenure Recommendation Form.
- 2) The candidate must be informed of their right to obtain reasons for a negative recommendation. The candidate may request that reasons (and/or clarification of reasons) are provided in writing. Reasons provided in writing become part of the candidate's tenure and/or promotion documentation file.
- 3) The candidate has the right to request reconsideration of a negative recommendation at each stage of consideration. A reconsideration should be requested and deliberations completed before materials are advanced to the next stage.
- 4) An application is first considered at the unit level by the unit's promotion or promotion and tenure committee.
- 5) The recommendation of the committee, including the vote of the committee and a description of the reasons for the recommendation, are transmitted in writing to the unit leader, with a copy to the candidate and to the candidate's promotion file.
- 6) Following completion of deliberations by the unit's promotion or promotion and tenure committee, including any reconsideration of an initial decision, the unit leader reviews the entire record, which includes the letter from the unit's promotion or promotion and tenure committee, and makes an independent recommendation that is documented in writing and addressed to the dean(s), with a copy to the candidate. The documentation of the unit leader's recommendation becomes part of the candidate's file. The unit leader notifies the chair of the unit's promotion or promotion and tenure committee of the recommendation.
- 7) Following deliberations by the unit leader, including any reconsideration of an initial decision, the IANR dean(s) with responsibility for any part of the candidate's apportionment review the candidate's materials and meet to determine a joint recommendation. The dean of CEHS participates in the deliberations for CEHS faculty members regardless of the apportionment configuration. The dean(s) document their recommendation to the IANR Vice Chancellor in writing, with a copy to the candidate, the candidate's promotion file, and the candidate's unit leader.
- 8) The four IANR deans meet to determine a joint recommendation, which is documented in writing to using the Faculty Promotion Tenure Recommendation Form. This documentation is included in the candidate's file, which is transmitted to the IANR Vice Chancellor.
- 9) The IANR Vice Chancellor reviews the documentation file, including letters from the unit committee, unit leader, and dean(s) to make an independent recommendation to the Chancellor.
- 10) If the Chancellor decides against tenure and/or promotion, the IANR Vice Chancellor shall transmit the decision in writing to the dean(s), the unit leader, and the candidate.
- 11) Positive recommendations are reported to the Board of Regents.

N. Recommendation notification timelines

- 1) The candidate must be notified of a group's or individual's recommendation within two working days of the decision.
- 2) The candidate must inform a group or individual not recommending promotion and/or tenure of their intent to request reconsideration (appeal the decision) within two working days after receipt of notification of the negative recommendation.
- 3) The candidate will have five working days after the initial notification to prepare the reconsideration/appeal which can be presented orally, in writing, or both.
- 4) The group or individual to whom the reconsideration is being made must inform the candidate of the decision within five working days after the reconsideration/appeal has been presented.



2019-2020 IANR Documentation Request for Promotion and/or Tenure

This document lists the required and supplementary materials requested for tenure and/or promotion files for faculty¹ whose dossiers will be submitted to the Office of the IANR Vice Chancellor. Page 1 of this document describes a) how the IANR Documentation Request differs from that distributed by the Office of the Executive Vice Chancellor, b) how this applies to IANR faculty appointments in the College of Education and Human Sciences (CEHS) and Biological Systems Engineering (BSE), and c) the use of the term “unit leader”. Pages 2-3 is a list of materials required for the Administrative and Candidate sections of the candidate’s tenure and/or promotion file. Page 4 is a list of supplementary materials that a candidate may wish to include to support information presented in their candidate statements. The materials included on the list found on page 4 are not required. They are only presented as examples of what a candidate may choose to include in an appendix. Pages 5-8 describe what is expected in the Candidate Section.

Additional materials requested by IANR. This Documentation Request differs from that distributed by the Office of the Executive Vice Chancellor on April 24, 2019 by adding a request to the Administrative Section for the following documents:

- Faculty Promotion and Tenure Recommendation Form (this is the appropriate IANR transmittal form)
- Letter from leader of unit in which a candidate has a minority appointment (included only if the candidate’s has an appointment < 50% in another academic unit)
- Letter from Research, Extension, and Education Center Director (included only if the candidate’s primary work station is at an REEC)
- Position description
- Annual Progress Forms
- Copy of the annual report of faculty accomplishments and impacts (i.e., Activity Insight report) for the current year (Section 4.6 Bylaws of the NU Board of Regents)
- Copy of the unit’s current standards for promotion and/or tenure.

Special instructions for BSE faculty and CEHS faculty with IANR appointments. Faculty members in BSE and the IANR units within CEHS (CYAF, NHS, and TMFD) should order the documents following the convention recommended in the Documentation Request distributed on April 24, 2019, selecting an appropriate location to insert the documents mentioned above. All other IANR units (including extension educators) should include the requested documents in the order listed on the following pages (pages 2-3).

Meaning of the term “unit leader”. Throughout this document, “unit leader” refers to the individual who is the immediate supervisor of the candidate. This term is inclusive of department head, school director, department chair, research, extension and education director, associate research and extension director, extension program leader, and engagement zone coordinator.

¹ This does not apply to Foresters. A unique Document Request exists for Foresters.

2019-2020 IANR Documentation Request for Promotion and/or Tenure

All materials must be compiled into a single PDF file and submitted electronically. Original electronic documents must be used whenever possible and scans of hard copy documents should be used only when necessary. The file must include “bookmarks” to mark the beginning of sections, with each bookmark representing the appropriate page, rather than a section cover sheet.

I. Administrative Section (material provided by appropriate administrative unit)²

- A. Faculty Promotion Tenure Recommendation Form
- B. Promotion and tenure internal evaluations³, as applicable, in this order
 - a) Letter from unit tenure and/or promotion committee
 - b) Letter from unit leader or unit administrator⁴
 - c) Letter from college committee (if applicable)
 - d) Letter from dean(s)
- C. Internal reviews⁵ as applicable, in this order
 - 1. Letter from leader of unit in which a candidate has a minority appointment (only if the candidate has an appointment of < 50% in another academic unit)
 - 2. Letter from Research, Extension and Education Center Director (only if the candidate’s primary work station is at an REEC)
- D. External reviews⁶ as applicable⁷, in this order
 - 1. Peer review letters
 - 2. Candidate’s waiver form
 - 3. Brief statement of how external reviewers were chosen, their qualifications and relationship to candidate
 - 4. Sample letter soliciting evaluation⁸
- E. Position description⁹
- F. Letter of offer
- G. Letters of reappointment
- H. Annual evaluations and Annual Progress Forms (since last promotion starting with the oldest first)
- I. Teaching information¹⁰
 - 1. Peer evaluation of teaching
 - 2. List of courses taught with summary of quantitative data from students teaching evaluations, if available.
- J. Copy of the annual report of faculty accomplishments and impacts (i.e., Activity Insight report) for the current year (Section 4.6 Bylaws of the NU Board of Regents)
- K. Copy of unit’s current promotion and/or tenure standards

² Although documents and material to be contained in the administrative section is provided by the appropriate administrative unit, it is the candidate’s responsibility to ensure that this material is organized appropriately and that all the necessary elements are included. This may include including place holders where confidential or sensitive information can be inserted.

³ Each group or individual making a recommendation on the file must submit a letter that provides reasons for the recommendation. In particular, the letter documenting the vote of the faculty committee is to be written by a member of that committee, addressed to the next administrator to review the file, and copied to the candidate and the candidate’s file. It is not sufficient for documentation of the faculty vote and reasons for that vote to appear only in the administrator’s letter.

⁴ For Extension Educators a unit administrator may differ among educators. It can be a Research and Extension Director, Associate Research and Extension Director, Department Head/School Director, and/or Extension Program Leaders.

⁵ These reviews should identify the contribution that the candidate is making to the unit or REC, but should stop short of recommending promotion and/or tenure.

⁶ External evaluations should be requested from faculty holding rank at or above that being sought at peer or aspirational peer (typically R1) institutions. External evaluators should be asked to review the candidate’s file to provide an assessment of the candidate’s work and potential for future scholarship.

⁷ Promotion materials for extension educators and foresters do not require external letters of review.

⁸ See sample letter online at <http://academicaffairs.unl.edu/documents/promo-tenure/externalreviews.pdf>.

⁹ Include a copy of your current position description. If your position has changed since your last promotion or your appointment, also include the previous position description(s) following your current position description.

¹⁰ For faculty with CASNR teaching appointments, the CASNR guidelines for continuous improvement of teaching should be followed and documented. See casnr.unl.edu/teaching-improvement-reflection

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II. Candidate Section (to be prepared by candidate)

- A. **Candidate's Letter of Intent**
- B. **Curriculum Vitae or Resume**
- C. **Candidate Statement** identifying that portion of the candidate's work that in the candidate's judgment represents their most significant work, explains why they think this work is significant, and points out what its impact has been and will be. This statement should reference supporting materials presented in the Appendices.

III. (Appendix A.1 (all faculty except Extension Educators) and A.2 (Extension Educators) of this Documentation Request detail what should be included in the candidate statement.)

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Appendices (to be prepared by candidate)

Candidates should only include:

- Significant and relevant information
- Information referred to in the Candidate Section
- Information required by the College

- A. Possible examples of supporting evidence for the quality and effectiveness of teaching:
1. Student evaluations
 2. Course portfolio
 3. Number of undergraduate advisees
 4. Curriculum/course development
 5. Student achievement/outcomes
 6. Number of graduate student advisees
 7. Number of graduate student committees
 8. Evidence of innovative practices in your teaching
 9. Evidence of contributions to diversity and inclusion in your teaching
 10. International educational activity
 11. SOTL activities (Scholarship of Teaching and Learning)
- B. Possible examples of supporting evidence of the quality of scholarly, professional, and creative activity:
1. Publications (including electronic)
 2. Performances/exhibitions
 3. Reviews
 4. Citations
 5. International activity
 6. Evidence of contributions to diversity and inclusion in your research
 7. Funded grant proposals
- C. Possible examples of supporting evidence of the quality and significance of professional and institutional service activities:
1. Editorships
 2. Committee service (department, college, university)
 3. Leadership in professional organizations
 4. International activity
 5. Evidence of contributions to diversity and inclusion in your service
 6. Community service related to assignment
- D. Possible examples of supporting evidence of the quality and significance of extension activities:
1. Citations
 2. Programming highlights and impacts
 3. Publications, programs and products developed and/or implemented.
 4. Demonstrated/recognized leadership, innovation and scholarly contributions in Extension's priority programming issues.
 5. Statewide, regional, national and international activity
 6. Evidence of contributions to diversity and inclusion in your extension programming.
 7. Funded grant proposals

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Appendix A.1: Candidate Section all Faculty except Extension Educators

II. Candidate Section (to be prepared by candidate)

- A. **Candidate's Letter of Intent**—letter from candidate to unit leader/administrator and/or P&T chair informing of intent to apply for promotion and/or tenure.
- B. **Curriculum Vitae** (clearly note refereed or juried works; extent of contributions if collaborative works)
- C. **Candidate Statement** identifying that portion of the candidate's work that in the candidate's judgment represents his or her most significant work, explains why he or she thinks this work is significant, and points out what its impact has been or will be. This statement should reference supporting materials in the Appendices, should be at most 15 pages, and should address all areas of the candidate's apportionment. As a guideline, the proportion of the narrative should approximately match the proportion of the apportionment. For example, a faculty member with apportionment of 40% teaching, 40% research, and 20% service might write a statement with 3-6 pages on teaching, 3-6 pages on research, and 1-3 pages on service; faculty members should adjust this guideline based on their own apportionment.
 - 1. Teaching goals, practices, accomplishments, and summary of evidence that documents local and broader impact (must be included if candidate's apportionment includes teaching)
 - 2. Research/Creative Activity goals, achievements, significance and impact (must be included if candidate's apportionment includes research/creative activity)
 - 3. Extension goals, achievements, significance and impact (must be included if candidate's apportionment includes extension)
 - 4. Service goals, achievements, significance, impact at the department, college, university, professional and community levels (must be included if candidate's apportionment includes service)
 - 5. Administration goals, achievements, significance, and impact (must be included if candidate's apportionment includes administration)

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Appendix A.2: Candidate Section for Extension Educators

II. Candidate Section (to be prepared by candidate; organize this section by creating subsections to include Letter of Intent, Curriculum Vitae or Resume, Summary of Extension Accomplishments, University and Professional Service, and Community Engagement)

- A. **Candidate's Letter of Intent** –letter from candidate to unit administrator (copied to appropriate promotion committee chair) informing of intent to apply for promotion.
- Educators submit the letter to their primary supervisor (the person who completes their annual evaluation; engagement zone coordinator, program leader, or department head/school director) with a copy to the appropriate promotion committee chair.
 - Write the letter similar to a cover letter accompanying a résumé for a job application.
 - Limit the letter to one page.
 - The letter should serve a similar function as an abstract; alerting readers to the specific accomplishments, impacts, and areas of contribution that justify a positive promotion decision.
- B. **Curriculum Vitae or Resume** (clearly note extent of contributions if collaborative work)
- C. **Candidate Statement** identifying that portion of the candidate's work that in the candidate's judgment represents their most significant work, explains why this work is significant, and points out what its impact has been or will be.
1. Summary of Accomplishments
- This is the most important section of the promotion file.
 - While candidates will have had experience documenting accomplishments through annual reporting using Activity Insight, what you write in this section differs from what you submit through Activity Insight. Your summary of accomplishments for your promotion dossier should emphasize your cumulative contribution. It should reflect how the various pieces of your work fit together (or come together) to maximize impact over time.
 - Summarize your accomplishments since your last promotion, or if not previously promoted, since your appointment. Similar to your documentation of program accomplishments in your Activity Insight report, you will be able to group accomplishments in two to three general categories in this section of your promotion file.
 - The main portion of your summary will be the documentation of your accomplishments in the following focus areas. Be sure to document your specific role and contributions to team accomplishments and impact.
 - Issue based team(s).
 - Interest group
 - Any other significant team and/or focus area(s).
 - The main part of your summary of accomplishments should demonstrate the growth (over time) and accomplishments of the educational programs and verified learner behavior change in your focus area(s) (your "80%").
 - Be concise, but thorough. Look for ways to consolidate or summarize your accomplishments. It is often easier to see impact from bulleted lists and charts than in large blocks of text.
 - When deciding what to include in your summary of accomplishments, ask yourself, "So what?" If it does not present the "So what?" of your educational program, you need to ask yourself whether it should be included.
 - Define your role in team programming. What did you do? Examples may include the

following: developed educational materials; applied for grants; promoted programs; delivered programs (actual teaching, not just facilitation); evaluated programs; wrote reports; lead teams, etc.

- Documenting the impact your educational programs have had in the lives of your learners is of critical value in your summary of accomplishments. (Answer “So what?”) Use short- and long-term evaluations to document actual changes in behavior and skills, increases in profitability, and improvements in knowledge and attitudes.
- Show evidence of quality educational programs and products, as documented by:
 - Developing a new educational program or product.
 - Taking a basic program and expanding it to a more in-depth educational program.
 - Increasing the size and diversity of your audience.
 - Using advisory groups, focus groups, or other methods to define program direction.
 - Partnering with others (in Extension, at UNL, and with other individuals, organizations or agencies).
 - Training others to multiply your programming efforts (e.g., Master Gardeners).
 - Use of short- and/or long-term evaluations that present what the learners changed, adopted, or saved as a result of your program. External data sources may also support verified learner behavior change.
 - Grants you received to support your programming efforts.
 - Peer-reviewed articles you authored or co-authored.
 - Developing an in-depth knowledge and expertise in your focus area so Extension colleagues, subject matter partner organizations, and learners (local and statewide) view you and seek you out as a credible resource for valuable programmatic and research-based material.
- Recognizing that many faculty members have significant sustained contributions and accomplishments outside their primary program focus area, these may also be reported in this section. However, this should not be a listing of all contributions outside your primary program focus area. Your justification for promotion should be based on cumulative contributions leading to key accomplishments that have demonstrable impact. The focus should always be on this, including how your work in various areas (in this case) ties together and contributes to your primary focus area.
- In addition to reference to specific educational programs, as the following are examples of accomplishments that may help to underscore the relevance, significance, and impact of your work:
 - Accomplishments in student recruitment.
 - Grants (include your % credit on all grants).
 - Peer-reviewed publications.
 - Invited presentations.
 - A summary of your outreach activities (newspaper columns, radio reports, TV programs, newsletters, electronic newsletters, magazine articles, social media, etc.). It may be helpful to list the type of outreach and number of outreach activities/year (e.g., 12 monthly radio spots, 52 weekly columns in two local newspapers; six articles in the Acreage e-Newsletter, two articles in the Nebraska Farmer, 25 posts on county 4-H blog). However, don't lose sight of the fact that promotion isn't granted because of an accumulation of these kinds of outreach activities, but through a demonstration of how you contribute through accomplishments and impacts.
- The following may be included in chart form and shown year by year for the period covered in your promotion file showing the number of:
 - Significant (out-of-state, multi-state, regional, national, international) professional development activities (do not include district and statewide Extension conferences).
 - Awards, honors, and special recognition you received (individually or as part of a team).
 - Learner-hours you generated when in a direct teaching role.
 - Original programs and products you developed, implemented and/or taught.
 - Other programs you taught.

2. University and/or Professional Service, and Community Engagement

- Document your service to the University through your participation on committees and in leadership roles for UNL, IANR, Extension, Interest Groups and/or Issue Based Teams, Districts, etc.
- List your professional service in these organizations and/or committees within these organizations: NCEA, ESP, ANREP, NACAA, NACDEP, NAE4-HA, NEAFCS, and in subject matter professional organizations (e.g., American Society of Agronomy, Academy of Nutrition and Dietetics, etc.).
- Document that you are actively engaged in your communities through participation in chambers of commerce, Kiwanis, Rotary, church, and/or other community service or civic organization.

ATTACHMENT B
CRITERIA FOR GRANTING CONTINUOUS APPOINTMENT (TENURE)
THE UNIVERSITY OF NEBRASKA
INSTITUTE OF AGRICULTURE AND NATURAL RESOURCES

January 1982

1. Sustained level of performance in the candidate's assignments. Performance will be judged in relation to the specific appointment, whether it be in research, teaching, extension, service or other domestic or international activities of the Institute of Agriculture and Natural Resources.

2. Creative and scholarly activity such as professional publications, peer recognition, patents and inventions, development of germplasm and variety releases, program innovations, significant computer programs or other scholarly and creative activities typically associated with academic endeavor.

3. Professional development judged by continued improvement, singular or collaborative research, teaching (instructional improvement), extension programs, other services or participation and leadership in professional activities.

4. The obligations of academic responsibility specified in Section 4.1 of the Bylaws of the Board of Regents and the standards of performance defined in Section 2.1 of the Bylaws of the University of Nebraska-Lincoln are integral parts of the criteria for granting continuous appointment in the Institute of Agriculture and Natural Resources.