

FASTAP 2016 Review for promotion or initial appointment to tenure (AOPT or PROF)

1. Template Letter Preparation and Approval
 - a. The department/program chair (supported by the chair's assistant or equivalent) prepares the:
 - i. **Materials Request Letter** (internal promotions only), which advises the candidate of the review and serves to request the necessary materials.
 - ii. two template letters when contacting referees: the first to request that they review and submit a letter (the **Referee Request Email**), and the second after they have confirmed their participation to give them more information on what is expected (the **Referee Instructions Letter**). Please ensure a deadline date of at least two weeks prior to the Department Faculty Vote date to allow for review.
 - b. The department/program chair (supported by the chair's assistant or equivalent) submits all three template letters to seas.facultyaffairs@yale.edu with a copy to Grace Young at grace.young@yale.edu for approval.
 - c. An approval email is sent from the SEAS Dean's Office to the department/program chair and chair's assistant.

***Note:** All external candidates to tenure positions must be approved in the Faculty Search Reporting Process (FSRP) prior to the start of the tenure case.

2. Candidate Notification
 - a. The department chair meets with the candidate to explain the process for the upcoming review.
 - b. The department chair sends the candidate the approved version of the **Materials Request Letter** advising of the review and requesting the necessary materials, with a copy to seas.facultyaffairs@yale.edu.

***Note:** In cases involving fully joint appointments, a single unit takes primary administrative responsibility for the appointment/promotion process. For promotions, please refer to the Memorandum of Understanding governing the candidate's case. In these cases, that unit should consult with the SEAS Dean's Office regarding the selection of templates and preparation of case materials.

3. Initial Review Materials & Case Creation
 - a. The department/program chair's assistant (or equivalent) creates the Interfolio case for the review, and selects No when asked the question of whether the candidate will be involved with the review. The chair's assistant (or equivalent) will upload the candidate materials directly.
 - b. The candidate provides the department chair with preliminary materials, which consist of electronic copies of a detailed academic CV, names of up to three individuals who might serve as "arms-length" referees (persons, to the best of the department's knowledge, who were or are not

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teachers/mentors/advisors or others who have a close personal relationship with the candidate), names of up to three individuals whom the candidate believes would not offer a fair assessment of their work, and a brief statement of research interests to help guide the department in its selection of additional referees.

- c. The department chair and chair's assistant (or equivalent) schedule a TAC review date by emailing Sarah Logan at sarah.e.logan@yale.edu with a copy to seas.facultyaffairs@yale.edu.

4. Departmental Committee Selection

- a. The department/program chair selects a departmental faculty review committee, typically composed of three faculty members drawn from the pool of faculty members eligible to vote on the case.
- b. For promotions, the review will ordinarily be for the rank of (tenured) associate professor; in rare cases, the promotion review may be for the rank of full professor. For (external) appointments, the rank is determined in consultation between the department chair and the SEAS Dean's Office.
- c. The department/program chair's assistant (or equivalent) adds the review committee onto the Department Review Committee step in Interfolio, by adding an **ad hoc committee**, and adding the faculty members one by one into the committee.
- d. The department/program chair's assistant (or equivalent) adds the eligible voting faculty onto the Eligible Voting Faculty step in Interfolio, by adding a **standing committee**. In order to edit the members of a standing committee, the chair's assistant should click on Users and Groups under Cases in the left-hand column to maintain their faculty lists by rank.
 - i. Note: the department/program chair's assistant (or equivalent) may add the department review committee (as an ad hoc committee) or dept chair (as an individual user) onto any step of the case if desired.

5. Referee Selection and Approval

- a. The SEAS Dean's Office and chair of the Tenure and Appointments Committee (TAC) work with the chair(s) of the appointing department(s) and departmental review committee(s) to choose experts in the candidate's field to serve as external referees.
- b. The department/program chair (supported by the chair's assistant or equivalent) prepares an alphabetized list of proposed referees and comparators, following the Referee/Comparator Information List Guidelines (FASTAP 2016), and using the **SEAS Referee Form**. External reviewers are instructed to assess whether the candidate "stands among the foremost leaders in the world in a broad field of knowledge," and will also be asked to make explicit comparisons between the candidate and a list of four leading tenured faculty in their discipline at a range of career stages. A minimum of ten letters from referees is required, and at least seven of the letters must come from referees who have not previously written for the candidate for an appointment or promotion at Yale. Ideally, all will hold an "arm's-length" relation to the candidate (that is, will not have served as the candidate's

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teacher, mentor, or research collaborator, and will not have a conflict of interest). Please refer to the chart of letter requirements for FASTAP 2016, as well as the Qualifications and Criteria for Arm's Length and Fresh Statuses.

- c. The department chair sends the SEAS Referee Form to Assistant Dean, Kristin Flower (kristin.flower@yale.edu), with a copy to seas.facultyaffairs@yale.edu.
6. Referee Letter Solicitation
 - a. The department/program chair (supported by the chair's assistant or equivalent) sends the previously approved **Referee Request Email** to the referees as early as possible after receiving approval of the referee list from the SEAS Dean's Office. These initial emails should not be sent through Interfolio.
 - b. Chair's assistants (or equivalent) track all referee responses for submission according to the **TAC Checklist materials**. (i.e. the **Referee Response Form** and the **Referee Preliminary Correspondence**), and send reminder emails to potential referees who have not responded.
 7. Dossier Submission
 - a. The department/program works with the candidate to collect the candidate's dossier, which includes their CV, service/teaching/research statements, and scholarship. For (internal) promotions to tenure, please refer to the materials submission deadline in the **Materials Request Letter**. The candidate should submit all materials to the chair's assistant for uploading.
 - b. The chair's assistant (or equivalent) notifies the Dean's Office that materials have been received and checks that these materials fall within the required word/page counts as described on the **TAC Checklist** and requests revisions when necessary.
 8. Dossier Transmission to Referees
 - a. After the candidate's dossier is complete and has been approved by the SEAS Dean's Office, the chair's assistant sends the previously approved **Referee Instructions Letter** to referees who have agreed to write. These letters should be sent through Interfolio.
 - i. **Note:** In addition to the candidate's CV and scholarship, referees should receive access to the candidate's service, teaching, and research statements. Please click the grey **File – Add** button below the message body text to attach candidate materials to the Interfolio evaluation request. To ensure confidentiality, the referees will only be able to view what the administrator attaches to the evaluation request in Interfolio; they will not have access to the full case.
 - b. The chair's assistant (or equivalent) sends reminder messages via email 2 weeks and 1 week before the final referee letter deadline to those who have agreed to but not yet submitted an evaluation.

NOTE: Please remember that all recommendation letters and referee letters should be held in the **strictest confidence**. Only those faculty members who are allowed to vote on a candidate's case have permission to view the letters (see the Faculty Handbook

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Section V.E.1 for voting policy). The only document that may be shared with those not directly involved with a faculty search, appointment, or promotion is the candidate's CV.

9. Departmental Review

- a. The department faculty review the file and vote on the promotion or appointment. An affirmative vote by the department is required for the case to move forward in the review process. Department administrators are responsible for submitting the results via the Department Faculty Vote Form to the Interfolio case, and forwarding the case to **SEAS Dean's Office** using the instructions on the appropriate **TAC checklist**.
- b. **Note:** In a fully joint case, an affirmative vote is required by both departments to proceed. Departments must meet to vote separately, and each submit a Department Faculty Vote Form. Departmental votes ordinarily take place after all letters have been received from confirmed referees. However, if there are outstanding letters, the departmental vote may take place at least one week after the latest deadline provided to any referees. There should be at least a 4 week window between the departmental vote date and the TAC review date.

10. TAC Case Preparation

Chair's assistants (or equivalent) are responsible for completing the TAC Checklist materials in Interfolio prior to the TAC review. Departments should use Interfolio as well for the departmental review process. Please refer to the TAC Checklist.

- The case must be complete in Interfolio (that is, all the documents in the checklist must be uploaded and steps 1- 5 must be complete) **THREE WEEKS** in advance of the Tenure and Appointments Committee (TAC) meeting.
- **STEP 1:** Move the case to the Chair and Department Review Committee step.
- **STEP 2:** Please continue to upload the required materials from the TAC checklists listed while at the step **Chair and Dept Review Committee. Be sure to label each document according to the header of each TAC checklist item whenever possible.** When uploading the Department Faculty Vote Form, eliminate the instructional pages and only upload the final page and set the **Access** properties to **Administrator Only**. To set access, click on the square to the left of the document, and a bar at the top will appear. Click on Settings, and scroll down to select the access level.
- **STEP 3:** Verify that the packet is complete – click the **Read** button to view the packet and check that all documents are uploaded and are legible. Send the case forward to **SEAS Dean's Office**. Please keep the message checkbox checked to trigger a notification when the case is moved forward.
- **STEP 4:** At least three weeks prior to the TAC meeting (or as soon as possible), provide any scholarship (e.g., book, article, or manuscript) that is not available electronically that the department would like to make available to TAC members in advance of the meeting where the case will be discussed. Deliver these items to Grace Young, Assistant Director of Faculty Affairs in the SEAS Dean's Office.

11. TAC Review

If the department vote is positive, the chair presents the case to the relevant Tenure and Appointments Committee (TAC), which also reviews that written work and outside letters. The committee consists of the Deans of SEAS and the FAS, six to ten faculty members from the candidate's academic area, Physical Sciences & Engineering, and one faculty representative from one of the other academic areas.

12. Final Review

If the TAC approves the case, the promotion or appointment moves on to votes by the Joint Board of Permanent Officers of SEAS and FAS (all SEAS and FAS full professors) and the Fellows of the Yale Corporation.

13. Hiring/Promotion Processing

- a. After an affirmative vote from the Joint Boards of Permanent Officers (JBPO), the SEAS Dean's Office will submit the offer or promotion letter to the candidate, with a copy to departmental chairs and staff.
- b. Department administrators (chair's assistant or equivalent) are responsible for processing all appointments, reappointments, and promotions in Workday as soon as possible after receiving the appropriate letter from the SEAS Dean's Office, which serves as the supporting documentation. Please refer to the SEAS Chart of Required Documents for submission of supporting documents to facultyadmin@yale.edu, which lists several links to [Workday training](#) guides.