Reappointment, Promotion and Tenure Toolkit

A Resource for Tenure System Faculty at Michigan State University
This document provides a summary of University policies but does not replace University Policies which are referenced by web addresses for the relevant sections in the Faculty Handbook.

This a working draft. Please send any feedback to adapp@msu.edu or complete the on-line feedback form at www.adapp-advance.msu.edu. It is expected that units/departments could modify this guide to meet the unique needs of their contexts.

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Introduction

- At MSU, faculty are expected to be both active scholars and student-focused. They must demonstrate substantial scholarship and ability to promote learning through our on-campus and off-campus education and research programs.
- MSU must improve continuously. To do so requires that academic personnel decisions must result in a progressively stronger faculty – a faculty who meet continuously higher standards that assures enhanced quality within a national and international context. Individual personnel actions for tenure recommendation should result in the improvement of academic unit quality.
- Assessment of faculty performance should recognize the importance of both teaching and research and their extension beyond the borders of the campus as part of the outreach dimension.
- The achievement and performance level required must be competitive with faculties of leading research-intensive, land-grant universities of international scope. (comparison is important)
- Details regarding the Reappointment, Promotion and Tenure process is provided in an annual letter sent out to chairs and directors in fall semester. The basic content of that letter can be found at: http://www.hr.msu.edu/documents/facadchandbooks/facultyhandbook/recommendations.htm

Timeline for RP&T - What Happens and When?

1. Initial Appointments

- The normal initial appointment for an Assistant Professor is for 4 years followed by a second 3 year probationary appointment.
- If at any time during the two probationary appointments, an assistant professor is promoted to associate professor, tenure is awarded and there are no further probationary appointments.
- New Associate Professors are typically appointed for one 4-year probationary appointment, but these appointments may range from 2-5 years.
- All tenure system probationary appointments begin on August 16 (following the initial appointment in the tenure track) regardless of when during the calendar year the appointment is effective.

2. Early Promotion or Tenure

- Early promotion/tenure is based on an exceptional record of accomplishments at MSU that is based on department/school/college and University criteria. Early promotion/tenure is reserved for extraordinary cases.
- An assistant professor without tenure may request promotion to associate professor with tenure prior to the conclusion of the stipulated probationary appointment period. A negative decision on such a request does not preclude consideration for promotion at the normal time.
Early promotion and tenure for an assistant professor can be requested – faculty should seek guidance from their unit administrator, unit promotion and tenure committee members or mentor. Review any unit or college evaluation criteria for promotion to see if your professional accomplishments match the expectations for promotion and tenure.

3. **Extension of Tenure System Probationary Appointment**

The tenure system probationary appointment is extended automatically for one year for the following reasons:

- Leaves of absence with or without pay that are one semester to twelve months. Changes in appointment to 50% time or less for one year.
- Upon request from a faculty member on approved leave of absence (paid or unpaid) for twelve weeks or longer for reasons related to the birth or adoption of a child. Automatic extensions for this reason are limited to two separate one-year extensions.
- Immigration/visa status that does not permit the award of tenure for candidates who have been recommended for tenure.
- An extension recommended as an outcome of a hearing and/or appeal conducted pursuant to the Faculty Grievance Policy.
- Additionally, extensions of the probationary appointment may be requested from the University Committee on Faculty Tenure (UCFT). These requests may be due to reasons related to childbirth, adoption, the care of an ill and/or disabled child, spouse, or parent; personal illness; to receive prestigious awards, fellowships, and/or special assignment opportunities; or other such serious constraints. Who do you ask: First your unit administrator.

4. **When do you develop your reappointment, promotion or tenure materials**

- Download Form D [http://www.hr.msu.edu/forms/faculty_forms/FormInfoRRPTPages.htm](http://www.hr.msu.edu/forms/faculty_forms/FormInfoRRPTPages.htm)
- Start organizing your productivity measures from the **beginning** of your appointment
- Begin to review the materials needed to be submitted near the end of the academic year before the year when materials are to be submitted for reappointment/promotion.
- In the spring, talk with the chair or unit administrator about what to include in the packet and when the materials are due in the unit.
  - The University’s timetable for RP&T is distributed to units in August, and includes a list of faculty scheduled for review. At that time the Dean’s Office informs units when packets are due from the departments. [http://www.hr.msu.edu/promotion/facacadstaff/FacGuideTenure.htm#Time](http://www.hr.msu.edu/promotion/facacadstaff/FacGuideTenure.htm#Time)
  - Also begin to plan writing the reflective essay.
- Units define their own deadlines for submission of RP&T materials; usually the packets are due to the departmental committee in early fall.
- Departments must submit their input and recommendations for all RP&T packets to the college early in the spring semester.
- In March and April, Deans meet with Associate Provost/Associate Vice President for Academic Human Resources, Senior Associate Provost and the Vice President for Research and Graduate Students to review each RP&T recommendation.
Provost decisions are announced to deans usually by the end of April.
Deans notify chairs and directors of actions taken after receiving notice from the Office of the Provost.
Lists of reappointments and promotion involving award of tenure are forward to President and Board of Trustees for their approval in June.
Notification of final approval for actions is sent to deans who notify chairs and directors who notify the faculty in mid to late June.

Preparing Materials for RP&T – A Checklist of Best Practices for Faculty
For details see Faculty Guide for Reappointment, Promotion and Tenure Review: http://www.hr.msu.edu/promotion/facacadstaff/FacGuideTenure.htm

_____ Document EVERYTHING – from the beginning of your appointment -- If it isn’t documented it didn’t happen!!!

_____ Set up a system to record your professional activities and accomplishments in systematic way.
In your document demonstrate:
- Excellence
- Vitality
- Impact
- Synergies
- Growth and Trajectory

_____ Review contents of Annual Review letters from prior years and be sure to highlight improvements in areas of concern.

_____ Review examples of RP&T packages submitted previously. Your unit administrator may be able to provide such materials.

If you are jointly appointed in more than one department or college:

_____ You should meet regularly (at least once a year) with the appropriate administrators in the department/unit in which you have a minor appointment. You should request input, ideally in writing, regarding progress related to your minor appointment in that unit.

_____ Your RP&T materials will be reviewed by your primary department/college. Only that college will make the final recommendation.

_____ Your RP&T materials may be shared with the unit/college in which you have a minor appointment. Input will be requested by the lead department/college before developing their recommendation

_____ If you have an appointment in a unit such as MAES or the NSCL, your packet may be shared with those units and input will be requested
http://www.hr.msu.edu/documents/facacadhandbooks/facultyhandbook/facultyStatus.htm
Preparing Materials for RP&T – A Checklist of What Needs to be Documented

1. Teaching

- Formal Classes
  - Schedule, class size and format
  - Syllabi, course materials
  - Exams and grade distribution
  - Student evaluations
  - Colleague evaluations
  - Evidence of student learning

- Workshops, Seminars, etc. (conducted by you)
  - Format, materials, evaluations
  - Attendance & Audience

- Advising & Mentoring
  - Schedule and load of formal student advising
  - Mentoring activities
  - Student supervision of independent study, clinical, internship or thesis projects

- Supervision and Training of Graduate Students
  - In research: as major professor, on advisory committee
  - For teaching assistance
  - In service and outreach activities

- Course and Curriculum Development
  - Develop/redesign course
  - Develop teaching materials
  - Planned/developed out-of-class experiences

- Professional Activities
  - Instructional research and instructional grants
  - Professional development: attendance at workshops, professional meetings

- Additional Ideas for Teaching Documentation
  - Reflective statement
  - Your philosophy, approach, goals, objectives
  - Your teaching methods
  - How these fit within your unit and discipline
  - How your teaching has changed over time

- Course Reflections
  - Your goals for student learning
  - How you help students achieve these goals
  - New approaches and innovations you have developed
  - Impact on students – outcomes assessment, unsolicited comments

- Relationship of Teaching to Other Work
  - Teaching, research, service, outreach
2. Research and Scholarship

- Products of Research
  - Books or monographs (can include reviews of books)
  - Book chapters
  - Articles in refereed journals
  - Non-peer reviewed publications
  - Creative works—exhibits, performances
  - Edited works—journals, other publications
  - Presentations at scholarly/professional meetings
  - Other papers, reports, reviews

- Funded Projects
  - Grant proposals—funded and non-funded
  - Grant management—budgets, staff
  - Reports

- Reflective Statement related to research
  - Standing in the Discipline
  - Journal rankings
  - Citation analysis
  - Reviews and published reactions
  - Awards and honors
  - Invited activities
  - Unsolicited testimonial

- Involvement in the Discipline
  - Manuscript review
  - Grant evaluation panels
  - Leadership activities in scholarly societies
  - Collaborations

- Relationship of Research to Other Work
  - Research and Teaching
  - Research and Service/Outreach

3. Service, Outreach and Professional Service

- Service to Scholarly/Professional Organizations
  - Leadership roles—elected and appointed
  - Committee memberships
  - Reports written
  - Grants developed
  - Conferences planned

- Service within the University
  - Department, college, university leadership roles
  - Department, college, university committees
  - Grants for the institution
  - Task forces and reports
Other service and outreach information CAN include
- Broader Community
- Activities Disseminating Knowledge
- Evaluation and Development of Products
- Partnerships with Agencies
- Clinical Service

Other Ideas
- Reflective Statement related to service
- Evidence of Expertise
- Invited Talks/Presentations
- Proposal reviews
- Awards and honors
- Published reactions
- Collaborations
- Unsolicited testimonials

Evidence of Impact
- Program evaluations
- Outcomes assessments
- Constituency reactions
- Examples of change related to your work

Relationship to Other Work
- Service and Teaching
- Service and Research

4. Other materials in the RP&T package

- Candidate’s CV (Include honors and awards, other professional recognition, professional certifications, leadership positions in disciplinary society or on campus, consulting activity, intellectual property development, professional service)

- External Letters of Evaluation (University Guidelines)
(colleges may have more specific guidance)
http://www.hr.msu.edu/documents/facacadhandbooks/facultyhandbook/refLetters.htm

- Chair/Director Cover Letter of Support
A letter is usually prepared by the Chair/Director after reviewing the materials submitted by the candidate and after reviewing the recommendation by the unit’s RP&T committee. The letter then becomes a part of the packet.
Operating Principles of the Tenure System:
http://www.hr.msu.edu/documents/facacadhandbooks/facultyhandbook/TenurePrinc.htm

Summary:
Provides principles regarding the start dates for probationary appointments, leaves of absence, notification of non-reappointment, appointments of foreign nationals, interpretation of the tenure rules and where tenure resides.

Granting Tenure
http://www.hr.msu.edu/documents/facacadhandbooks/facultyhandbook/granttenure.htm

Summary:
Faculty members appointed with the rank of Professor in the tenure system are granted tenure from the date of appointment.

Faculty members appointed as Associate Professors without tenure and who have served previously at MSU are appointed in the tenure system for a probationary period of, generally, two to five (2-5) years.

A newly appointed Associate Professor can be granted tenure from the date of appointment.

Faculty members appointed as an Assistant Professor are appointed for an initial probationary period of four years and may be reappointed for an additional probationary period of three years.

Reassigning Tenured Faculty
http://hr.msu.edu/documents/facacadhandbooks/facultyhandbook/facultyreassign.htm

Summary:
Tenure at MSU resides in the University. Thus, if a unit is discontinued, reassignment of the faculty is normally in another academic unit and is negotiated with the faculty member and the receiving unit.

Stopping the Tenure Clock
Implementation Practices:
http://www.hr.msu.edu/documents/facacadhandbooks/facultyhandbook/implementation.htm

Summary:
Provides reasons for automatic, one-year extension of probationary appointments and information about the process for requests of extensions for other reasons.
Post Tenure Review
http://www.hr.msu.edu/documents/facacadhandbooks/facultyhandbook/posttenure.htm

Summary:
There is not a distinct university process for post tenure review, although many colleges have post tenure review policies. The post tenure review process can result in a plan which leads to increased productivity or enhanced professional achievement by the faculty member. Depending on the outcome of the plan, the process can result in disciplinary action, including dismissal.

Faculty Handbook Policies:

- Policy and Procedure for Implementing Disciplinary Action Where Dismissal is Not Sought
  Provides causes for discipline, the process, and possible disciplinary actions.
  http://www.hr.msu.edu/documents/facacadhandbooks/facultyhandbook/Disciplinary.htm

- Dismissal of Tenured Faculty for Cause
  Provides grounds for dismissal and the stages of the process.
  http://www.hr.msu.edu/documents/facacadhandbooks/facultyhandbook/dismissal.htm

Appointment, Reappointment, Tenure and Promotion Recommendations Policies:
http://www.hr.msu.edu/documents/facacadhandbooks/facultyhandbook/recommendations.htm

Summary:
Handbook outlines the process initiated at the unit level, based on both peer review of candidates and unit standards for performance. Candidates are reviewed at the college and university levels; these reviews are based on explicit unit criteria and quality evaluations, consistent with college and university policies and goals. Recommendations can be positive or negative for: reappointment of an Assistant Professor for a second probationary period; reappointment of a tenure-system, untenured Associate Professor with the award of tenure; promotion of Assistant Professor to Associate Professor with the award of tenure; promotion of an Associate Professor to Professor. An overview of the standards for such recommendations is presented.

Tenure Action and Promotion:
http://www.hr.msu.edu/documents/facacadhandbooks/facultyhandbook/tenureaction.htm

Summary:
This section includes an overview of the extensive information needed to evaluate faculty performance for tenure action and promotion. Expectations for action are unit specific and dependent on an individual's particular assignment.
College-Level Reappointment, Promotion and Tenure Committee Policies:
http://www.hr.msu.edu/documents/facacadhandbooks/facultyhandbook/reapptTenure.htm

**Summary:**
**University Policy**
Each college is required to establish a college-level reappointment, promotion and tenure committee that is charged to provide advice to the dean about department/school recommendations for reappointment, promotion and tenure. Deans are responsible for personnel matters in her or his respective college, taking into account the college’s advisory procedures. College-level reappointment, promotion and tenure committees provide input to the dean in making reappointment, promotion and tenure decisions.

**Principles**
Each college must include in its written materials rules governing the reappointment, promotion, and tenure process, a procedure for establishing a college-level reappointment, promotion and tenure review committee, including methods for selecting committee members and how the committee will function.

Guidelines for Academic Unit Peer Review Committee Composition
http://www.hr.msu.edu/documents/facacadhandbooks/facultyhandbook/peerReviewUnit.htm

**Summary:**
Each unit establishes procedures to provide peer review advice to unit administrators regarding recommendations for academic personnel actions, including merit salary increases. The unit bylaws should indicate the designated group(s) to whom recommendations regarding reappointment, tenure and promotion should be made. Guidelines for Peer Reviews Committee Composition are outlined.

External Letters of Reference
http://www.hr.msu.edu/documents/facacadhandbooks/facultyhandbook/refLetters.htm

**Summary:**
External letters of reference are required for all reviews involving the granting of tenure or promotion. Some units require external letters for reappointment. Practices may vary by unit, but the principles of soliciting letters of reference are outlined.

Policies regarding the Confidentiality of Letters of Reference:
http://www.hr.msu.edu/documents/facacadhandbooks/facultyhandbook/tenureRecommend.htm

**Summary:**
In soliciting letters of reference a specific statement of confidentiality MUST be included in the request. The suggested wording of the statement is listed in faculty handbook reference above.
Evaluation of Non-Tenured Faculty in the Tenure System Policies:
http://www.hr.msu.edu/documents/facacadhandbooks/facultyhandbook/nontenured.htm

Summary:
The above reference outlines the process for evaluating non-tenured, tenure-system faculty. The actions to be taken upon decision not to reappoint are outlined and the possible responses of the faculty member not reappointed are presented.

Faculty Guide for Reappointment, Promotion and Tenure – An Overview:
http://hr.msu.edu/promotion/facacadstaff/FacGuideTenure.htm

Summary:
Provides overview of RP&T process including time table, early promotion & tenure, visa status, effective dates for various decisions and outcomes, Survive and Thrive workshop descriptions, University level review and tenure and promotion recognition dinners. Also presents data on RP&T processes from the last five years.
WORKSHOPS, PROGRAMS & RESOURCES ON REAPPOINTMENT, PROMOTION & TENURE
(For Faculty)

1. **Survive and Thrive in the MSU Tenure System**
   
   http://fod.msu.edu/SurviveThrive/about.asp
   
   Scheduled during each fall semester.
   
   The workshop has the following objectives:
   
   - To expand faculty members’ understanding of department and University reappointment, promotion and tenure procedures.
   - To discuss approaches to documentation and record keeping for reappointment, promotion and tenure purposes.
   - To provide practical information on making choices, balancing conflicting demands, and managing departmental politics.
   - To provide an opportunity for communication and problem solving among faculty and academic administrators. Many faculty members find it helpful to attend this program more than once, finding different elements useful at different stages of their pre-tenure experience.

2. **From Associate Professor to Professor: Productive Decision-making at Mid-Career**
   
   http://fod.msu.edu/SurviveThriveII/about.asp
   
   For Recently Appointed Associate Tenure-System Professors
   
   This one-half day workshop is scheduled during the spring semester of even numbered years and has the following objectives:
   
   a. To clarify expectations for attaining the rank of full professor;
   
   b. To enable new associate professors to better anticipate the opportunities and challenges they will face and to inform their mid career decision-making and experiences; and

   c. To provide a venue for faculty members to ask questions about this new stage in their careers.

3. **Spring Institute on College Teaching and Learning**
   
   http://fod.msu.edu/SpringInstitute/about.asp
   
   Single and multi-day workshops are offered on topics related to active learning, inclusive teaching, and assessment.

4. **Online Instructional Resources**
   
   http://fod.msu.edu/oir/index.asp
   
   Instructional resources on a large number of instructional resources that are available on the web are available from this site, organized by major topical areas.
5. **Orientation For New Tenure System and Health Programs Faculty, Continuing System Librarians and National Superconducting Cyclotron Laboratory Appointments**  
http://fod.msu.edu/orientation/TSHP_about.asp  
Orientation for all NEW tenure system faculty occurs in late August and includes, in addition to the general orientation, a research section and an additional *technology workshop*.

6. **Workshop for Faculty Leaders**  
http://fod.msu.edu/wfl/about.asp  
Workshops for Faculty Leaders (WFL), provide leadership development for faculty in their many roles in governance, search committees, research projects and large labs, and the myriad of contexts in which faculty rely on leadership skills.

7. **Support for Research**  
Office of Research Facilitation and Dissemination sponsors a variety of faculty research workshops, seminars and discussion groups.  
http://resfacil.msu.edu/

8. **Events and resources provided by the Women's Resource Center:**  
http://wrc.msu.edu/events.php?events  
Past programs have included:  
“Letting Off a Little Self Esteem”  
“College to Career Transition”  
“Training for a Future in Political Office”
Orientation for New Administrators –
Office of Faculty and Organizational Development
http://fod.msu.edu/orientation/EXM_about.asp
Three half-day sessions, mandatory orientations for department chairs, school directors, and deans, are held in early August.

The program includes:
1. Hiring, Promotion, Tenure and Performance Review
2. University Research Policies and Procedures
3. Survival Skills for New Administrators
4. Conflict Resolution Resources
5. Legal and Regulatory Environment

LEAD programs – Office of Faculty and Organizational Development
http://fod.msu.edu/lead/about.asp
LEAD workshops are offered for deans, chairs, directors and executive managers, sponsored by the Office of Faculty and Organizational Development in the Office of the Provost. These programs are designed to promote ongoing communication among academic administrators, provide leadership development opportunities, and support campus leaders (deans, chairs, directors, and executive managers) in their efforts to foster organizational change in their units. Past programs have included topics such as:

1. Making Joint Appointments a Success
2. Tackling the Human Resources Challenges of the Chair/Director
3. Study of Mid-Career Faculty: Implications for Practice
4. Strategies for Advancing Diversity and Quality at MSU in a Post-Prop 2 Environment
5. Success in the Academic Hiring Process from Start to Finish
6. Faculty Performance Review and Development: Improving the Process and its Outcomes

Resources from the Office for Inclusion and Intercultural Initiatives
http://www.inclusion.msu.edu/
1. Bias-Free Communication Brochure
2. Sexual Harassment training programs
3. Bias Incident Reporting and Training
4. Brochure on Assuring Equity and Non-discrimination
5. Annual Data Reports on Inclusion and Diversity at MSU
Below are guidelines regarding best practices for UNITS when reviewing Reappointment, Promotion and Tenure Policies and Procedures

_____ The unit has written materials governing the appointment, promotion and tenure processes and the procedure for establishing a unit-level RP&T/merit review committee.

_____ The unit has developed general guidelines and expectations for tenure-system faculty reappointment as Assistant Professor, Associate Professor with Tenure, and for promotion from Associate to Full Professor.

_____ All guidelines and expectations for reappointment, promotion and tenure are available to all faculty in the unit.

_____ Guidelines and expectations for RP&T are discussed on a regular basis by the faculty.

_____ Guidelines and expectations for RP&T at the Unit level are reviewed to be consistent with the guidelines and expectations of the College (or Colleges for jointly administered units).

_____ Description of the materials that must be submitted for the unit-level RP&T reviews are readily available to all faculty members.

_____ The process for evaluation of RP&T packages at the unit level is clearly defined and readily available to all faculty members.

_____ The chair/director or designated person(s) uses the annual performance review process to inform and guide pre-tenure faculty regarding progress to promotion/tenure.

_____ The chair/director or designated person(s) uses the annual performance review process to inform and guide tenured Associate Professors regarding progress to promotion to full professor.

_____ The unit guidelines regarding the number and type of external evaluation letters to be included in the performance review are clearly defined and readily available to all faculty.

_____ The timeline for the unit-level RP&T process is made readily available to the faculty each year.

_____ The guidelines for RP&T for faculty jointly appointed in multiple units are made readily available to all RP&T peer review committee members.

_____ The multiple appointment memorandum is consulted when reviewing faculty members who are jointly appointed in more than one unit. [http://hr.msu.edu/forms/faculty_forms/FormInfoMam.htm](http://hr.msu.edu/forms/faculty_forms/FormInfoMam.htm)
The unit makes information regarding unit, college and university resources to assist faculty in preparing for RP&T readily available to all faculty members.

The Unit RP&T committee is given input and guidance regarding the review process so that evaluations are consistent, objective, and are aligned with the written unit-level expectations for the faculty.

The unit and college guidelines and expectations, as well as the university RP&T policies are reviewed by the unit RP&T committee prior to reviewing RP&T materials. Unit (and college) expectations should support the missions of MSU.

The chair/director meets with the unit RP&T committee and discusses each recommendation made by the committee.
Below are guidelines regarding best practices for COLLEGE DEANS’ OFFICES to consider when developing, reviewing or revising Reappointment, Promotion and Tenure Policies and Procedures

_____ The College has written materials governing the reappointment, promotion and tenure process and procedure for establishing a college-level RP&T review committee

_____ Dean has informed the unit administrators about the procedures and criteria that the College will use regarding decisions about reappointment of Assistant Professors and untenured Associate Professors with the award of tenure.

_____ The College has developed general guidelines and expectations for promotion to Associate Professor with tenure and from Associate to Full Professor.

_____ All guidelines and expectations for reappointment, promotion and tenure are available to all tenure system faculty members in the College.

_____ Guidelines and expectations for RP&T are discussed on a regular basis with the unit chairs and directors.

_____ Guidelines and expectations for RP&T at the College level are reviewed to be consistent with the University guidelines and expectations.

_____ The process for evaluation of RP&T packages at the College level is clearly defined and readily available to all faculty members in the College.

_____ The College RP&T committee reviews (1) the unit and college criteria for reappointment or promotion and (2) the university policies and procedures regarding the RP&T process prior to reviewing unit recommendations.

_____ The Dean meets with the College RP&T committee and discusses each recommendation from the committee.

_____ Information regarding unit and college evaluation criteria and expectations are included with the Dean’s recommendation to the Provost’s Office.

_____ The multiple appointment memorandum is consulted when reviewing faculty jointly appointed in more than one unit.

http://hr.msu.edu/forms/faculty_forms/FormInfoMam.htm

_____ For faculty jointly appointed in another college, input is sought from the secondary college when reviewing RP&T recommendations at the college level.
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A Resource for Tenure System Faculty
AT MICHIGAN STATE UNIVERSITY

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This a working draft. Please send any feedback to adapp@msu.edu or complete the on-line feedback form at www.adapp-advance.msu.edu. It is expected that units/departments could modify this guide to meet the unique needs of their contexts.