

# The College of Engineering Checklist for Promotion & Tenure Dossier

- Documentation listed below should be prepared as 2 copies and 1 PDF
- A copy should be reserved by the department and should NOT be filed in the faculty member's personnel file
- Please observe the following preparation guidelines for these documents:
  - 2 copies and PDF should be sent to Dean's Office HR Manager prior to sending the paper copy. Paper copy can be received after the PDF version is approved.
  - Please do not use multiple staples, paper clips, or binder clips within the copies
  - Page numbers are preferred but not required
  - Double sided copies are encouraged

Candidate Name: \_\_\_\_\_

Department: \_\_\_\_\_

Joint Appt: \_\_\_\_\_

Adjunct Appt: \_\_\_\_\_

Current Rank: \_\_\_\_\_

Rank after Promotion: \_\_\_\_\_

## Dossier Contents:

### Dossier Table of Contents:

- Include a Table of Contents at the front of the dossier.
- Table of Contents should be divided into the sections described below.

#### 1. Chair's Letter

- Timeline of the candidate's faculty position (e.g. date of appointment, extensions of the tenure timetable, whether the promotion is mandatory)
- Complete tally of departmental vote (total eligible; affirmative, negative, absent, abstaining votes)
- Basis or reasoning for affirmative and negative votes. If not known, mention that the negative vote reasons are unknown to the chair due to confidential vote
- Nature and content of faculty discussion in promotion and tenure meetings, and a clear statement about the department's criteria for tenure and promotion
- Chair's independent assessment of candidate and his/her role in the present and future development of the academic unit
- Description and evaluation of research, teaching, service to the College, University or State
- Statement of the candidate's special competence, together with an analysis of external evaluator's comments relating to the candidate's standing, reputation, and scholarly achievements. There is no need for long sections of direct quoting from the letters; rather, a summary of how the reviewer's comments were interpreted by the faculty and Chair is of most value

- Description of the candidate's role in the development of the department curriculum at the undergraduate and graduate level and his/her place in its future development (optional for research faculty)
- Description of the program of research the candidate is following and plans for the future
- Comment on the quality of the journals and conference proceedings in which the candidate has published. The most respected journals or conferences in the candidate's field should be specifically mentioned
- For candidates working in multiple research areas, indicate which publication venues pertain to which areas of research
- If the Chair believes that the documentation required on the candidate's teaching record does not fully reflect the contributions of the candidate, the chair may include comments from graduate and undergraduate students to support the candidate's teaching record
- Summary of changes if previous recommendation was denied or postponed, with respect to the above items
- Any comments from the discussion of the candidate that could have led to a "no" or "abstain" vote
- Confirmation candidate was provided copy of faculty report with opportunity to respond.
- Candidate's confirmation receipt and response (if submitted) to faculty report

## **2. Adjunct and/or Joint Chair/Director letter**

- A letter from the Chair(s) of any adjunct-appointing department(s)
- If a faculty vote is required by the adjunct-appointing departments, this must be included in the Chair's letter
- A letter from the Chair(s) of any joint-appointing department(s), including faculty vote, is required.
- Tenure Split Documentation (if applicable)
  - i. Note: The home department initiating the recommendation for tenure and/or promotion is responsible for ensuring that this (these) letter(s) are included in the candidate's dossier.

## **3. Department Review Committee Report**

- Departmental review committee report, if produced
- Confirmation candidate was provided copy of committee report with opportunity to respond
- Candidate's confirmation of receipt and response (if submitted) to committee report

## **4. Self-Advocacy Statement**

- The candidate should provide a promotion statement listing and describing his/her scholarly or creative contributions in the record that are likely to be of the most lasting significance. The majority of selected contributions should have been completed after appointment as Assistant Professor when recommending promotion to Associate Professor, or after appointment to Associate Professor when recommending promotion to Professor. The candidate should explain briefly why these contributions are most significant, describing the relationship between these pieces and his/her overall research agenda. The candidate is also expected to describe briefly his/her significant teaching and service contributions.
- The candidate's self-advocacy statement should meet the following criteria:

- i. 5 pages or less
- ii. Include separate statement on teaching with discussion of:
  - 1. Goals
  - 2. Direction
  - 3. Impact
- iii. Include separate statement on research with discussion of:
  - 1. Goals
  - 2. Direction
  - 3. Impact
- iv. Include separate statement on service activities with discussion of:
  - 1. Goals
  - 2. Direction
  - 3. Impact
- Candidate should also assess her/his own performance, how s/he has responded to performance recommendations from mentors, and a frank assessment of the quality of mentorship provided to her/him by the department.
- Reference to three most influential publications written to date, with a short statement (by the candidate) explaining the impact and importance of each of these publications. (Copies in Section 5, Publications)

#### **5. CV, Publications, Other Scholarly Activity, Teaching, Research & Service**

- General Biographical Information
  - i. Full Name
  - ii. Department Affiliations
  - iii. Telephone number, email, and (office) mail address
  - iv. Other personal biographical information the candidate wishes to offer
- Educational history (institution, degree conferred, year) and Ph.D. dissertation title
- Employment (institutions, positions, years)
- Awards and Honors
- Affiliations (e.g. adjunct appointments, etc.)
- Publications
  - i. In-print publications listed in reverse chronological order (most recent first) in each main division listed below
    - 1. Inclusive page numbers for each entry in print
    - 2. Publications not yet in print may be included at the end of each category, but these must be clearly labeled with a status of "In Press (accepted)," or "Submitted."
  - ii. Refereed archival journal publications
  - iii. Conference proceedings and other non-journal articles
    - 1. Non-journal-refereed publications (e.g., conference proceedings)
    - 2. Non-journal abstract refereed publications (e.g., conference proceedings)
  - iv. Books and editing
    - 1. Books written
    - 2. Parts of books (chapters in edited books)

3. Books edited
  4. Journal issues edited
- Miscellaneous
    - i. Patents submitted and/or awarded
    - ii. Abstracts, letters, non-refereed papers
    - iii. Other (web sites, software, etc.)
  - Other Scholarly Activity
    - i. Invited Lectures and seminars. Include:
      1. Location (e.g. institution)
      2. Title of Seminar / lecture
      3. Date (Year and Month)
    - ii. Conference presentations. Include:
      1. Conference Title
      2. Title of Presentation
      3. Presenter (for multiple-authored papers)
      4. Date (Year and Month)
    - iii. Professional Society Memberships (give dates of membership)
    - iv. Other (e.g., work as a referee, including journal titles and approximate number of articles refereed)
  - Graduate Students
    - i. Chaired Doctoral Degrees (indicate if the department does not offer a doctoral degree, and co-chaired if applicable). Include:
      1. Student name
      2. Dissertation title (optional)
      3. Current Employer (if known)
      4. Year of Completion
    - ii. Chaired Master's Degrees (indicate co-chaired if applicable). Include:
      1. Student name
      2. Scope of supervision (e.g., thesis, project or coursework only).
      3. Thesis / paper title, if applicable (optional)
      4. Year of completion
    - iii. Other significant student supervision. Include:
      1. Student name
      2. Scope of supervision (e.g., thesis, project or coursework only).
      3. Thesis / paper title if applicable (optional)
      4. Year of completion
  - Research Activities
    - i. Sponsored Research. Include:
      1. Funding agency
      2. Project Title
      3. Dollar Amount, indicating the total award, any University matching funds, and any significant fractions which were subcontracted to other institutions. The default assumption is that the funding is allocated equally across all co-PIs. Please indicate if that is not the case.

4. A list of PIs and Co-PIs and the level of the candidate's activity (primary, secondary, joint, etc.)
  5. Funding status (funded, not funded, or pending)
  6. Start and Finish Dates
- ii. Un-sponsored Research. Include:
    1. Title
    2. Start and Finish dates
    3. Reason for undertaking (e.g., publications, future funding, public importance)
- Documentation of teaching effectiveness
    - i. List of all undergraduate and graduate courses. Include:
      1. Course number / identification
      2. Title
      3. Year and quarter taught
      4. Number of credit hours
      5. Student enrollment
      6. Indication of whether student evaluations were given (yes or no)
    - ii. Summary of student teaching evaluations. Include:
      1. Course number/identification
      2. Year and quarter taught
      3. Number of students responding versus enrollment, e.g. 20/50
      4. Adjusted median rating of course as a whole (item 1)
      5. Adjusted median rating of instructor (item 3)
      6. Adjusted median rating of instructor's contribution to course (item 4)
      7. Adjusted median rating of combined items (1-4)
      8. Any graphs indicating trends (optional, but often helpful)
      9. The raw student evaluation forms themselves. However, the data from these forms should be distilled and summarized into tables or graphs to create a single-page summary as per the above
      10. Only include student evaluations for the candidate; if there are none, do not substitute some other evaluation, such as for the course as a whole or another instructor for the course
      11. It is not necessary to include the detailed student comments
    - iii. Supervision of undergraduate and graduate independent study (design projects and research). List total number of students and credit hours per year. A detailed breakdown by student is not required.
    - iv. Peer evaluation of teaching and a description of the department policy and procedures for any peer evaluation of teaching. Peer evaluations of teaching are most valuable when they address the intellectual depth of the material and the educational standards held by the instructor, as opposed to more social aspects such as student comfort
    - v. List of other teaching experience (short courses, workshops, and other educational programs)

- vi. Any other supporting documents on teaching development and effectiveness, e.g. evaluations by expert professionals such as CIDR (optional)
- Service
  - i. Departmental service (committees, etc.)
  - ii. College service (committees, etc.)
  - iii. University service (committees, etc.)
  - iv. Professional society and other service (committee memberships, positions and offices held, conference organization, journal editorship, etc.)
  - v. Community service (volunteer or consulting work, etc.)
  - vi. National or governmental service (agency review panels, etc.)
  - vii. All other service

#### **6. Other Supporting Information**

- Offers of positions elsewhere
- Acceptance letters for publications not yet in print
- Letters of approval for proposals not yet funded
- Any other information (that does not fall into the above categories) supporting the candidate

#### **7. Summary of External Reviewers**

- Description of the procedure used to select reviewers
- The motivation for the choice of each reviewer, i.e. what particular area of the candidate's research or career was the reviewer selected to reveal? The reviewers should provide a full coverage of the candidate's research areas, and it should be made clear who is an expert in which area.
- Candidate's role in selection of reviewers
- Relationship of each reviewer to the candidate
- Summary of the qualifications of each reviewer, and a justification in terms of reputation and technical expertise as to why the reviewer was chosen. Do not include the reviewer CV.
- Documentation of any conversations with reviewers

#### **8. Letters of External Reviewers**

- Overall minimum of 5 letters must be included in dossier
  - i. 4 "CLASS A" Letters (minimum) required for promotions
  - ii. 3 "CLASS A" Letters (minimum) required for new appointments
- Class B letters provide supplementary information and are not required in the dossier. B letters do not meet all four criteria below. Class B letters might include those from, for example, close collaborators when it is unclear who has been responsible for the research, funding agency program directors, or society officers.
- No more than 3 class B letters should be included in the dossier. If upon receipt of an A letter, it is clear that there is a tie between the letter writer and the candidate that disqualifies the letter as an "A," there can be an extra "B" letter.
- Reviews should be highly detailed and point to specific accomplishments of the candidate. Letters of a general nature are given less weight.
- "CLASS A" Letters meet the following four criteria:
  - i. Author is a recognized leader in the candidate's specialty field

- ii. Author is currently active in this field
- iii. Author is independent, having no mutual career interdependencies with the candidate
- iv. Author is independently selected by the department's review committee from a list of letter writers that includes those suggested by the department's review committee and those suggested by the candidate

**9. Solicitation Letter Sent to External Reviewers**

- Copy of the cover letter sent to external reviewers

**10. Candidates 3 Most Significant Publications**

- Photocopies are acceptable
- These may be chosen by the candidate
- Should be the same 3 publications referenced in Section 4