



May 2017

Cornell University College of Human Ecology

GUIDELINES AND CHECKLIST FOR DEPARTMENT CHAIRS IN PREPARING DOSSIERS RECOMMENDING PROMOTION TO ASSOCIATE PROFESSOR WITH TENURE¹

The purpose of these guidelines is to help the candidate and department prepare the strongest possible dossier for promotion to associate professor with tenure. These guidelines should fit the majority of, but perhaps not all, situations. If you feel your candidate's accomplishments and activities need a slightly different approach, you are welcome to make changes *in consultation with the Associate Dean*. Departments are also welcome to include additional material beyond what is listed here when useful.

Note: The college encourages all candidates for promotion or tenure to create a Google Scholar page and either make it public or include a PDF of this information in the binder so that both outside reviewers as well as college faculty can easily access the candidate's publications and indicators of impact. This page will be placed under the research section of the dossier.

Candidates for tenure at Cornell University are expected to present an exceptional record, to rank very highly compared to colleagues in the same field at similar stages in their careers at peer institutions, and to demonstrate leadership or potential leadership in their field. University considerations in the decision to award tenure for those who will be at the Associate Professor level after the dossier review include "excellence in carrying out the responsibilities of the position, and unusual promise for continued achievement".²

Special Considerations for Joint Appointments. In the case of a joint appointment, notification must be sent to dual/joint or funding department(s)/college(s)/unit(s) to allow for participation and/or financial planning. It is essential that the secondary department's tenured faculty be involved in deliberations using *the same information as the tenure-home department* as per any agreements in place regarding the tenure process for the specific Assistant Professor.

A. TIMELINE

Electronic PDF dossiers containing information for promotion to associate professor with tenure should be delivered by the department via Cornell Drop Box to the Associate Dean's assistant (Cindy Thompson) by:

June 1 for an effective tenure date of November 1
August 1 for an effective tenure date of February 1
September 1 for an effective tenure date of April 1
December 1 for an effective tenure date of July 1

Once the electronic PDF dossier is delivered via Cornell Drop Box, it is reviewed to be sure all relevant sections have been submitted. An ad hoc committee is selected to undertake a review of the dossier and make a

¹ The College of Agriculture and Life Sciences has similar guidelines, which served as a key resource in the development of the current document. The CALS guidelines can be found here: <http://cals.cornell.edu/about/leadership/sad/appointment-procedures>.

² <http://theuniversityfaculty.cornell.edu/handbook/TENURE.pdf>

recommendation to the Dean. Six to eight weeks is a normal time for review by the ad hoc committee. After review at the College level, the following documents are included in the dossier: the ad hoc committee report, any additional materials requested by the ad hoc committee or by the Associate Dean, and a letter of recommendation to the Provost from the Dean and Associate Dean. The documentation will then be reviewed by the Faculty Advisory Committee on Tenure Appointments (FACTA), which will advise the Provost. The Provost will consult with his/her advisors before conveying the dossier to the Cornell University Board of Trustees. This process necessitates a long time frame.

Approval of the award of tenure, or promotion and tenure will be made by the Board of Trustees and conveyed by a letter from the President to the candidate.

Procedures following a negative tenure decision at the departmental level can be found here:
<http://theuniversityfaculty.cornell.edu/handbook/toc.html>

B. DOCUMENTATION REQUIRED (Note – ALL solicitations for letters must be done by the department and not the candidate. Do not include any letter in more than one area [peer letter, student letter]).

The dossier should be submitted in PDF format using the bookmarks outlined below (see name of bookmark listed in parentheses). Materials should be addressed to the Dean but delivered to the Associate Dean.

All materials assembled supporting the evaluation and recommendation are regarded as confidential to be shared only with those involved in the decision process.

1. CHAIR'S LETTER (PDF Bookmark: Chair's Letter)

Letter from Department Chair to the Dean with the recommendation regarding promotion and tenure. The letter should include the date of meeting and vote of tenured faculty, giving reasons for any objections, reservations, or abstentions. The vote should be taken after the tenured faculty have reviewed the full documentation, and there has been opportunity for discussion. (Letters from the faculty with their evaluation and the reasons for their vote are to be included in the documentation, see "Faculty Letters" below)

The letter should include the Chair's Evaluation of the performance of the candidate in each function for which he or she carries responsibility. This should be a thoughtful analysis of the relationship of the candidate to the present and developing mission of the department and College. The Chair should comment on the quality of journals, presses, and other venues where the candidate's work has appeared. The letter should also address the candidate's teaching or extension/outreach work. The letter should address any disagreements and matters of serious concern in the file, as well as any abstentions.

If the department uses a departmental review committee, its report should be included in "Faculty Letters" (below), not here.

Bookmark Summary:

Chair's Letter

2. POSITION DESCRIPTION (PDF Bookmark: Position Description)

Please include a copy of the original letter of appointment *with salary information redacted* (**PDF Sub-Bookmark Name: Original Letter of Appointment**), a copy of the original position description (**PDF Sub-Bookmark Name: Original Position Description**), and any subsequent letters (**PDF Sub-Bookmark Name: Subsequent Letter**), which altered expectations of the position (again with any salary information redacted). Any written response by the candidate to the above should be included as well.

Bookmark Summary:

Position Description

- Original letter of appointment

- Original position description
- Subsequent letters

3. ANNUAL REVIEWS (PDF Bookmark: Annual Reviews)

Include copies of the letter sent to the candidate following each annual review. Include candidate comments submitted in response to reviews, if any. If missing annual reviews, Chair must address reasons in Chair's Letter (Section 1) or include a statement of explanation here.

Bookmark Summary:

Annual Reviews

- By year, most recent first

4. FACULTY LETTERS (PDF Bookmark Name: Faculty Letters)

Please include letters from each tenured faculty member providing an evaluation of the candidate in reference to the considerations above *and* the individual's vote. If the department uses a departmental review committee, its report should be included in this section.

Bookmark Summary:

Faculty Letters

- Departmental Review Committee Letter (if applicable)
- Faculty Letters – by faculty name

5. PEER LETTERS (PDF Bookmark Name: Peer Letters) (Note – ALL solicitations for letters must be done by the department and not the candidate.)

- The role of external evaluators is to assess the candidate's accomplishments, stature in the field, and future promise. External evaluators should be given a charge that is as specific as possible and should be provided with as much material relating to the candidate's performance as is conveniently possible. In your request to external reviewers, please include a request to the reviewer to please provide the full details of the contact he/she has had with the candidate through his/her career. Provide a list of reviewers segregated into two categories (*Recognized Leaders outside Cornell University* and *Letters from Evaluators suggested by the Candidate*) along with a CV for each reviewer. **(PDF Sub-Bookmark Name: Table of Evaluators)**
- Letters of evaluation from *at least five, but not more than seven*, recognized leaders in the field outside Cornell who have neither been closely associated with, nor selected by, the candidate. The letters should request evaluation, not support. The request letter should state the criteria listed above which the faculty will use in judging a candidate for the awarding of tenure. The letters should provide an evaluation of the quality of the candidate's work and its impact on the scholarship of the field. In selecting external evaluators and when possible, departments are encouraged to attempt to select at least one well-established leader in the larger discipline who is not working in the same subdiscipline as the candidate. The purpose of these evaluations is to understand the breadth of impact and promise of the candidate's work³ **(PDF Sub-Bookmark Name: Recognized Leaders outside Cornell)**
- The department should also solicit letters (4-6) from *evaluators suggested by the candidate*. These letters should request evaluation, not support. The request letter should state the criteria listed above which the faculty will use in judging a candidate for the awarding of tenure. The letters should provide an evaluation of the quality of the candidate's work and its impact on the scholarship of the field. If the evaluator is a co-author or collaborator of the candidate, the letter should address the

³ <http://theuniversityfaculty.cornell.edu/handbook/DossierGuidelines.pdf>

Diversity and Inclusion are a part of Cornell University's heritage. We're an employer and educator recognized for valuing AA/EEO, Protected Veterans, and Individuals with Disabilities.

contribution of the candidate to the work (**PDF Sub-Bookmark Name: Letter Writers Suggested by the Candidate**)

The file should include a table listing the following information: names and institutions of reviewers selected by department to whom the dossier was sent; whether the reviewer declined or responded; names and institutions of reviewers suggested by the candidate to whom the dossier was sent; whether each reviewer declined or responded.

We recommend contacting external reviewers to determine their availability prior to sending them material. Individuals who are unavailable need not be listed among those asked for an evaluation.

Note: Letters solicited from peer reviewers can be subpoenaed as part of a legal process, but are treated by the university as confidential documents. Letters solicited from students, Cornell colleagues and others are similarly confidential and should not be shared with outside peer reviewers.

Bookmark Summary:

Peer Letters

- Table of evaluators
- Solicitation letter sent by chair
- Recognized Leaders outside Cornell
- Evaluators suggested by the candidate
- CV Recognized Leaders outside Cornell
- CV Evaluators suggested by candidate

6. CV (PDF Bookmark: CV)

The candidate should provide a complete and comprehensive CV.

Bookmark Summary:

CV

7. TEACHING (when relevant; PDF Bookmark: Teaching)

- a. Teaching Statement. The candidate should provide a statement describing teaching goals and accomplishments. (**PDF Sub-Bookmark Name: Teaching Statement**)
- b. Courses Taught. The dossier should include a listing of courses taught each year and enrollments in each. A course outline or syllabus should also be submitted for these courses. The last 5-10 years may be used for this list if the candidate has a long history of teaching that may be onerous to document completely. For team-taught courses, include a statement of specific involvement by the candidate. Note: Indicate whether the courses were taught at Cornell or elsewhere (as in the case of newly-hired faculty). (**PDF Sub-Bookmark Name: Courses Taught**)
- c. Student Course Evaluations. These should be *summarized in a table* and not prepared by the candidate (**PDF Sub-Bookmark Name: Student Course Evaluation**)
- a. Student Letters. Letters from students who have completed the candidate's course(s) should be solicited by the department chair, based on names of students at Cornell (or from the candidate's former institution). Students are sometimes reluctant to write a letter due to fear of reprisals. The Department may choose to redact student names from letters in this case, but must keep letters with signatures on file for verification upon request in the case of an appeal. (**PDF Sub-Bookmark Name: Student Letters**)
- d.

- e. Faculty Course Evaluation. When part of departmental guidelines, the dossier should include a statement from a departmental colleague(s) assessing the candidate's teaching and course materials⁴. **(PDF Sub-Bookmark Name: Faculty Course Assessment)**

Bookmark Summary:

Teaching

- Teaching Statement
- Courses Taught
 - List of courses taught
 - Course outlines
 - Team-taught involvement statement (if relevant)
- Student evaluations
 - Course Evaluation Table Summary
 - Request letter to students
 - Student Letters
- Faculty course assessment

8. EXTENSION (when relevant; PDF Bookmark: Extension)

- a. Extension Statement. The candidate should provide a description of the goals and accomplishments of extension programming, and a description of the approach used to meet the goals of the extension program. This should include evidence that the extension program addresses audience needs in a timely manner, is relevant and of high quality, is based on a foundation of research, and has made an impact on participants (stakeholders). **(PDF Sub-Bookmark Name: Extension Goals and Accomplishments)**
- b. Stakeholder Evaluation. Include 5-7 stakeholder letters in the extension program independent of other external letters, serving an equivalent role as letters from students to evaluate teaching or letters from advisees. **(PDF Sub-Bookmark Name: Stakeholder Evaluation)**

Bookmark Summary:

Extension

- Extension Goals and Accomplishments
- Stakeholder Evaluation
 - Stakeholder solicitation letter
 - Stakeholder letters

9. RESEARCH (PDF Bookmark: Research)

- a. Research Statement. The candidate should provide a statement describing goals and objectives for his/her research program and a statement of substantive research accomplishments, activities or discoveries. The overall intent is to make a compelling case for the ability of the candidate to provide leadership for his/her discipline in discovering new knowledge through creative analysis and synthesis. When relevant this includes information on external funding (a separate section on external funding can also be included if preferred). **(PDF Sub-Bookmark Name: Research Goals and Accomplishments)**

Bookmark Summary:

Research

- Research Statement
- Research Goals and Accomplishments
- Google Scholar

⁴ <http://theuniversityfaculty.cornell.edu/handbook/DossierGuidelines.pdf>

10. PUBLICATIONS (PDF Bookmark Name: Publications)

- a. The candidate must submit representative publications (in electronic form) showcasing his or her highest quality work. **(PDF Sub-Bookmark Name: Each sub-bookmark will be the name of the publication)**

Bookmark Summary:

Publications

- *name of the publication*

We have reviewed the dossier and to the best of our understanding, met all the requirements in the guidelines. We understand that missing or incorrect items could result in possible delay of the promotional process.

Signature of Chair

Date

Signature of Preparer

Date