CAS Promotion &/or Continuing Appointment Document Checklist for ____________________________

(Candidate Name)

The following checklist promotes inclusion of required materials with each request for faculty promotion and/or continuing appointment. Notations in parenthesis indicate the relevant section of the University’s Procedures for Promotion and Tenure Review. The Procedures (68 pages with examples) can be found at: http://www.albany.edu/academics/promotion_tenure/Promotion_and_Tenure.pdf.

Initial Documents

Doc. 1 Cover Sheet (P1).

Doc. 2 Document Register (P2). An updated sample will be provided on the CAS/Provost website; follow this order as much as possible.

Doc. 3 Summary of Action Form (P3). The totals must match the number of faculty present and eligible to vote at the faculty meeting.

Doc. 4 Curriculum Vitae, signed and dated by candidate (P4). See sample CV format on the Provost’s website. List items in reverse chronological order.

☐ Candidate’s doctoral mentor or thesis committee chair, thesis title, and post-doctoral mentor(s) if applicable, must be identified.
☐ Include work under review, work in progress, and/or working papers under a different heading from published work.
☐ Separate peer-reviewed/refereed publications from non-refereed outlets. Separate papers from chapters.
☐ List papers delivered (or paper abstracts), doctoral dissertations, and articles in intramural or strictly local publications in a separate category from published work.
☐ Clearly indicate the order of co-authorship, and indicate senior authorship where appropriate. Indicate student and post-doc co-authors.
☐ Include complete references for publications, art exhibitions, musical compositions, etc. Full bibliographic information is required.
☐ If student committees are listed on CV, indicate whether you serve/d as chair or committee member.
☐ Specify the source, dates, and amount of any external funding (and unsuccessful attempts). List any internal funding in a separate category.

☐ Candidate’s description of individual role and contribution for co-authored work, if applicable (an explanation of the importance of the order of authorship must appear somewhere in the file if candidate has published multiple articles with several collaborators).

☐ Candidate’s UAlbany employment history (P5). Obtain employment history from Denise Szelest in HR.

☐ Candidate’s UAlbany course assignments (P5). Obtain course load from IRPE.

☐ Candidate’s Research Statement (no longer than 3-5 pages) (P6).
☐ Write research statement to be understandable to an audience outside the discipline (colleagues on CAS T&P Committee and CPC). A more specialized statement CAN be sent to external reviewers. Simply include this copy with the sample letter and list of materials sent.

☐ Candidate’s Teaching Statement (no longer than 1-3 pages) (P6). Address any weaknesses/areas of improvement if applicable.

☐ Candidate’s Service Statement (no longer than 1-3 pages) (P6).

External Reviews & Evidence of Scholarship (P7)

☐ Statement of method used to select external reviewers. Provide a description of the procedure used for identifying suitable, independent evaluators and an explanation of why the reviewers were selected. Include the number originally solicited, those who said “no” and why.
☐ Reviewers are to be from peer or better institutions, departments or programs and at an academic rank higher than the candidate; if not, provide explanation. Full professors are the expected norm for tenure and promotion cases.
☐ If a reviewer comes from outside academia explain why the individual was selected.
☐ Explicitly address any instances in which a reviewer could reasonably be interpreted to have a potential bias.

☐ A copy of the solicitation letter which is clear about the action (e.g., tenure & promotion to associate professor or promotion to full professor).
☐ Ask reviewers to comment on personal and/or professional relationships with candidate, and to indicate confidentiality preference.
☐ A list of the materials sent to the reviewers (may appear in solicitation letter to reviewers or in a separate document).

☐ Solicited confidential letters from external reviewers and a CV (or abbreviated CV) from each (P7).
☐ Four untainted letters at minimum; six highly recommended. If there are fewer than six letters, the chair should address this fact.
☐ Re-contact reviewers who did not comment on personal and/or professional relationships with candidate; emails can be attached to letters.
☐ Check to be sure that confidentiality of letters has been established (e.g., if it is okay for candidate to read letter). Letters must be held confidential unless otherwise stated. Examples of confidentiality statements are provided on the Provost’s website.

☐ Additional solicited letters related to scholarship, if any (P8). All solicited letters must be accompanied by a statement signed by each reviewer indicating the terms by which the letter may be shared with the candidate.

☐ Unsolicited letters of evaluation related to scholarship, if any, each accompanied by a letter of release (P9)
☐ Advise an unsolicited letter writer that his/her letter is NOT confidential and provide the opportunity to withdraw the letter. Examples of confidentiality statements can be found on the Provost’s website. Anonymous statements cannot be included in the file.

Documentation of Teaching (P10)

☐ Grade Distributions for Candidate and Department. IRPE can provide this information.

☐ First-hand Peer Observations of classroom performance.
☐ Include multiple observations (at least two), conducted in different classes, by more than one peer.

☐ Copy of Student Evaluation Form IF something other than SIRF is used.
An assessment of the

For promotion to full professor, only

In most cases, it is recommended that the chair recuse her/himself from writing this letter if s/he has published with the candidate.

These letters must include the same confidentiality statements as those solicited (and unsolicited) for the research and teaching sections of the dossier.

Solicited and unsolicited letters of evaluation related to teaching. Do not request letters from current students.

Make sure that confidentiality procedures for solicited and unsolicited letters on teaching are followed.

Documentation of Service (P11)

Procedures used to solicit evaluations of service contributions and a summary of results.

Letters to support service contributions.

These letters must include the same confidentiality statements as those solicited (and unsolicited) for the research and teaching sections of the dossier.

Final Documents

Information about major scholarly journals or creative venues in the candidate’s field (P12).

Include rankings or other indications of journal quality (e.g., impact factor), as well as whether each journal is peer-reviewed.

In disciplines where journals are not common as venues, include a list of the major venues for recognition of scholarly or creative contribution.

Citation analysis OR explain absence of citations in the Chair’s Letter (P13).

Include citation counts for all of a candidate's publications where available, if appropriate for discipline. Put citations in context for the discipline.

Separate self-citations from citations by others.

Including journals’ acceptance rates can be a helpful alternative to citations.

Summary of department faculty composition (P14).

Describes the composition of the voting faculty at each rank, with and without continuing appointment.

Departmental document outlining norms and expectations for tenure and promotion (P15).

Summary of Department recommendation and vote, including date of meeting, who prepared the document, and the date approved by Department.

File should be considered in accordance with departmental by-laws.

Clearly differentiate voting faculty. If non-tenure-track faculty or students have voting rights, include explanation.

Check to be sure the externals evaluators were not identified in the minutes.

Provide an explanation of why faculty members were not present at faculty vote (e.g., sabbatical, medical appointment, etc.).

Verify that the numbers add up (voting faculty present at meeting minus chair; administrative manager does not vote).

Chair’s recommendation. Do not identify external reviewers in recommendation.

This is the opportunity to put the case in context, address discipline-specific norms, and address any concerns raised (e.g., by external reviewers, negative departmental votes or abstentions, or weak teaching evaluations).

In most cases, it is recommended that the chair recuse her/himself from writing this letter if s/he has published with the candidate.

Copy of Department letter/s or email/s inviting candidate to response to Department meeting minutes/vote and to Chair’s recommendation. Candidate’s response, if any, must be included in the file.

Appendices (P16)

Research Appendix: Copy of publications, books, scholarly works, and/or artistic works

For promotion to full professor, only include work completed since last promotion.

Teaching Appendix: Raw SIRF data including written comments; sample of reading lists, tests, and major assignments.

Include a recent syllabus from each course taught (limited to the past five years for promotion to full professor).

Proof of Review: The signatures below indicate that the file has been reviewed and includes all listed/required information.

__________________________
Dept. Admin. Manager/Contact Secretary Signature

__________________________
Department Chair Signature