

CAS PROMOTION AND CONTINUING APPOINTMENT CHECKLIST (drafted May, 2011)

The following is a checklist to help assure inclusion of appropriate materials with each request for faculty promotion and/or continuing appointment. Notations in parenthesis indicate the relevant section of the University's **Guidelines for Preparation of Recommendations for Promotions and Continuing Appointment**. The Guidelines can be found at: <http://www.albany.edu/academics/procedures.promotions.continuing.appointment.shtml>. The bullets points were compiled as a result of common errors/omissions found in file by the CAS Tenure and Promotion committee.

- _____ 1. Cover Sheet. (C.1)
 - Second level of review is CAS Tenure and Promotion Committee.
- _____ 2. Summary of Actions Form. (C.3)
- _____ 3. Document Register. (C.2)
 - Please note that the sample provided on the UAlbany website listed above is only an example, and while the order should be followed as much possible, there is room for each department to tailor the file to meet individual needs.
 - When complete please email a copy of the document register to Jaime Galusha (JGalusha@albany.edu).
- _____ 4. Curriculum Vitae. (C.4)
 - CV must be signed and dated.
 - Items should be listed in reverse chronological order. Make sure everything is dated.
 - There is a sample CV format provided on the UAlbany website listed above. CVs should follow this format whenever possible.
 - Separate peer reviewed publications from non-peer reviewed publications.
 - Separate articles submitted or under review from those that have been published.
 - Be clear if students are co-authors.
 - If work is co-authored an explanation of % effort must be included in the file.
 - An explanation of the importance of the order of authorship must appear somewhere in the file.
 - Conference presentations must be kept separate from published work.
 - Be sure to include complete references including authors and page numbers on journal articles and chapters.
 - Candidate's doctoral mentor and thesis title, and post-doctoral mentor(s) if applicable, must be identified.
 - If you list student committees on CV be sure to separate those where the candidate is the chair and those where he/she is a committee member.
- _____ 5. Candidate's SUNY/Albany employment history and course load. (C.5)
 - Departments should obtain employment history from Denise Szelest in HR and course load from Laura Benson Marotta in IRPE.
- _____ 6. Candidate's statements of major research themes and future plans, teaching philosophy, and service (typically no more than 1-3 pages). (C.6)
 - Research statements should be understandable to an audience outside the discipline.
- _____ 7. Solicited independent letters of evaluation. (C.7)
 - At a minimum there must be four untainted letters; recommended number, six. If there are fewer than six letters the chair should address this in his/her recommendation.
 - Include a description of the procedure used for identifying suitable, independent evaluators and provide an explanation of why the reviewers were selected. Include the number originally solicited, those who said no and why.
 - Check to be sure that the majority are senior in rank; if not, be sure to provide sufficient explanation.
 - If a reviewer comes from outside academia explain why the individual was selected.
 - An initial contact with potential reviewers should be made to determine if they are willing to provide an evaluation and if previous interactions with the candidate might keep the reviewer from providing an unbiased evaluation of the case.
 - Be sure to ask reviewers to comment on personal and/or professional relationships with candidate. If this is missing from the letters, follow-up with reviewers. An email can be attached to the letters to provide clarification.
 - Include a copy of the solicitation letter. In the letter be clear about action, e.g., tenure and promotion to associate professor or promotion to full professor.
 - Descriptions of outside evaluators – make sure all have CVs and attach to the letters.
 - Check to be sure that confidentiality of letters has been established (e.g., is it okay for candidate to read letter). Letters must be held confidential unless otherwise stated. Examples of confidentiality statements are provided on the University website.

- Be sure there is a list of the materials sent to the reviewers (may appear in solicitation letter to reviewers or in a separate document).
- _____ 8. Unsolicited letters of evaluation. (C.8)
- You must 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 University website.
 - Anonymous statements should not be included in the file.
- _____ 9. Peer and student evaluation of teaching. (C.9)
- File must contain a comprehensive summary report on the candidate's teaching.
 - Courses should be listed in chronological order.
 - Class evaluations must be included in file and discussed in the evaluation.
 - Grade distributions should be included (Laura Benson Marotta in IRPE can provide).
 - SIRF scores (from IRPE/Laura Benson Marotta) should be presented in tabular format in a manner that allows for comparison across levels and over time. Department should put SIRF scores in departmental context.
 - Raw SIRF data should go in the Appendix. Provide written comments as well.
 - Include a copy of the student evaluation form. In most instances this is the SIRF. If not, provide a copy of the department's evaluation form.
 - Primary teaching documents (e.g., syllabi, reading lists, exams). These documents can be placed in the Appendix.
 - Involvement with graduate students should be detailed. List separately dissertations committees where candidate is chair or member.
 - Identify any courses that have been co-taught, provide an explanation of the % effort. Make sure that course evaluations only include the candidate.
 - Make sure that confidentiality procedures for solicited and unsolicited letters on teaching are followed. Do not request letters from students currently enrolled in a departmental program.
- _____ 10. Description of procedure used to solicit evaluations of service contributions and summary of results. (C-10)
- File must contain a summary of the candidate's service contributions.
 - Letters to support service contributions should be included in the file and include the same confidentiality statements as those solicited (and unsolicited) for the research and teaching sections of the dossier.
- _____ 11. Summary of faculty composition. (C-11)
- _____ 12. Listing of top scholarly journals in the candidate's field. In the case of the creative arts, this might take the form of a listing of venues. (C-12)
- _____ 13. Citation analysis – if appropriate, if not, please note this somewhere in the file (e.g. Chair's letter). Be sure to put citations in context for the discipline and explain how the citation analysis was obtained.
- _____ 14. Letters of transmittal and recommendations from reviewing bodies and officers. (C-13)
- Summary of Department/School recommendation and vote, including indication of who prepared the document and the date approved by the Department/School.
 - File should be considered in accordance with departmental by-laws. Be sure to clearly address voting procedures. The Chair does not vote.
 - 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., on sabbatical, medical appointment, etc.).
 - Clearly differentiate voting faculty.
 - Be sure that the numbers add up (# of voting faculty in a department, abstentions, faculty vote) and match the document register.
 - Chair's recommendation.
 - In addition to providing the chair's 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).
 - Check to be sure the external evaluators were not identified.
 - CAS Tenure and Promotion Committee recommendation.
 - Dean's recommendation.
 - Recommendation from the Council on Promotions and Continuing Appointment.
 - Provost's recommendation.
- _____ 15. Appendix (Typically includes copy of publications and teaching materials, raw SIRF scores).