

**APPENDIX
PROCEDURES FOR
FILE PREPARATION AND PRESENTATION
TENURE AND PROMOTION
ITHACA COLLEGE
(reviewed by the Board of Trustees 2/24/05)
Definition of the File**

Part I

A complete file consists of two parts. Part I consists of essential documents for review and is contained in a single, 3-inch binder. The candidate will provide this binder, with labeled dividers and table of contents corresponding to each section to be contained in Part I. The candidate will submit a statement on teaching, scholarship/professional activity, and service (section 1 of Part I), a current curriculum vitae (section 2 of Part I), and verification from the Provost's Office that the official transcript of the highest degree completed is in the candidate's official personnel file. Consistent with college or school policy, the dean's office or department is responsible for maintaining and submitting the other personnel documents to be included in Part I including any prior comprehensive reviews, internal peer evaluations, student statements, and all confidential letters solicited by the dean and/ or department representative on behalf of the candidate. The dean or department will add these personnel documents to appropriate sections of Part I in the binder. Part I will remain the property of the dean's office or department after the tenure and/or promotion review is complete. With the exception of the curriculum vitae, files for promotion to full professor should contain only information since the file for promotion to associate professor was closed to new material.

Part II

Part II contains supportive material that is provided by the candidate and placed within a maximum of three additional 3-inch binders (supplemented, if necessary, by a small box for materials that cannot be contained within binders, such as books or tapes). Supporting material should document teaching, professional activity, and service. Candidates are responsible for compiling this material and for organizing it within the 3- inch binders. Candidates are advised to include essential items only and to use plastic holders sparingly. A carefully conceived table of contents for each binder, and dividers for each section within the binders, are both required. Part II will be returned to the candidate after the tenure and/or promotion review is complete. Files for promotion to full professor should contain only information since promotion to associate professor.

Contents of the File

Part I - Contained in 3-Ring Binder #1

INTRODUCTION

Table of Contents

Policies and Procedures for the Department and School

DEADLINE FOR MATERIALS

The file is closed to new material on the date that the initial reviewing body submits its formal recommendation. At this point no new material may be added.

MATERIAL FOR REVIEW

1. Statement on teaching, scholarship/professional activity, and service.

This statement highlights the entire file and illustrates how the candidate meets the criteria for tenure and/or promotion. The maximum length is ten double-spaced pages.

2. Curriculum vitae and verification of official transcript of highest completed degree.

3. Comprehensive Reviews

This section must include all major formal evaluations for tenure-eligible faculty. Inclusion of other comprehensive reviews depends on school procedures.

4. Internal Peer Evaluations

These evaluations are required and will follow school or department guidelines.

5. Student Statements

For untenured faculty, student statements from all semesters in the probationary period or the equivalent for faculty serving in non-tenure-eligible notice appointments, must be included. For tenured faculty or CNTE faculty seeking promotion, student statements for all classes for the three years immediately preceding review must be included. Student statements can be placed in a separate 3-ring binder labeled IA if necessary.

6. Evaluative Letters From Qualified Peers Concerning Scholarly/Professional Activity

The most useful external evaluative letters are those that provide expert objective assessments of the candidate's scholarly/professional activity by peers who are provided appropriate context for their assessment. There should be five or six evaluations from academic peers at or above the rank for which the candidate is being considered (or, if rank is not an appropriate consideration, professional colleagues of comparable or greater stature). In rare cases, where appropriate, academic peers selected may be below the rank for which the candidate is being considered. In such cases the reasons for selecting these peers, despite their rank, should be fully indicated by the candidate. Where appropriate, successful and highly regarded individuals outside academe may be solicited for external reviews.

This section of the file should include on a single sheet a brief descriptive statement of the professional status of each external peer as well as the relationship, if any, to the candidate.

These letters should be solicited in the following fashion:

- It is the candidate's responsibility to initiate the process, so that external reviewers have sufficient time to submit the evaluative letters.

- The candidate submits to the dean and/ or department representative (department chair or chair of personnel committee, in most instances) the names of five or six potential outside reviewers including a brief paragraph on the professional status of the reviewer and the reviewer's relationship to the candidate. Again, the primary concern is to identify knowledgeable reviewers able to contribute to an informed, objective assessment of the candidate's work in the context of Ithaca College's tenure/promotion criteria. This list must be submitted to the dean no later than April 1 of the year preceding the tenure and/ or promotion review.
- At this point in the process it is recommended that the dean or dean's designee (department chair or chair of personnel committee, in most instances) informally contact potential outside reviewers (via e-mail or telephone) by April 15 to determine willingness to provide an evaluative letter. If fewer than five outside reviewers agree to provide evaluative letters, the candidate may need to identify additional potential outside reviewers.
- The dean or designee should send letters to the outside reviewers soliciting confidential assessments by May 1 of the year preceding the tenure and/or promotion review. These letters should provide appropriate context to the outside reviewers, including as an attachment sections 4.12.7 through 4.12.7.3.3 from the current Faculty Handbook. A common template for these letters will be available in the dean's or provost's office.
- In addition to the letter of solicitation, the candidate's CV plus representative scholarly/professional/ creative work should be included, as deemed appropriate by the candidate.
- Responsibility for acknowledging receipt of these letters is borne by the individual soliciting the letters. The solicitor may need to provide reminders to external evaluators and, if fewer than five letters are received, may need to meet again with the candidate and dean/ designee to solicit additional letters.
- These letters will remain confidential to the candidate and will only be read by appropriate individuals or committees that are part of the formal review process. The letters become the property of the dean's office. If excerpts from these letters are cited in written recommendations, the authors' names or other identifiers should not be included to help ensure confidentiality.

7. Evaluative Letters from Alumni Concerning Teaching

Letters from alumni should provide substantive assessments of the learning experience. There should be at least eight and no more than ten letters from alumni preferably representing the span of years for which the candidate is undergoing review.

These letters should be solicited in the following fashion:

- It is the candidate's responsibility to initiate the process, so that alumni have sufficient time to submit letters.
- The candidate, in consultation with the department (department chair or chair of the personnel committee, in most instances), submits to the dean the names of several people he/she wishes to be solicited. This list must be submitted not later than April 1 of the year preceding the tenure evaluation.
- These letters should provide appropriate context to the alumni for the review. A common template for these letters will be available in the dean's or provost's office.
- Responsibility for acknowledging receipt of these letters is borne by the individual soliciting the letters. The solicitor may need to provide reminders to alumni, and if an insufficient number of letters is received, may need to meet again with the candidate to receive additional names and submit additional letters.
- These letters will remain confidential to the candidate and will be read only by appropriate individuals or committees that are part of the formal review process. The letters become the property of the dean's office. If excerpts of these letters are cited in written recommendations, the authors' names or other identifiers should not be included to help ensure confidentiality.

8. Evaluative Letters Concerning Service to the College, Profession and Community

Letters from individuals within and outside the College should provide substantive assessments of service to the college, profession, and the Ithaca community. There should be several letters preferably representing the span of years for which the candidate is undergoing review.

These letters should be solicited in the following fashion:

- It is the candidate's responsibility to initiate the process, so that individuals have sufficient time to submit letters.
- The candidate, in consultation with the department (department chair or chair of the personnel committee, in most instances), submits to the dean the names of several potential people he/she wishes to be solicited. This list must be submitted not later than April 1 of the year preceding the tenure evaluation.
- The dean or designee will send letters to people whose names have been submitted by the candidate, soliciting confidential assessments by a specific date. These letters should provide appropriate context for the review. A common template for these letters will be available in the dean's or provost's office.
- Responsibility for acknowledging receipt of these letters is borne by the individual soliciting the letters. The solicitor may need to provide reminders, and if an insufficient number of letters is received, may need to meet again with the candidate to receive additional names and submit additional letters.
- These letters will remain confidential to the candidate and will be read only by appropriate individuals or committees that are part of the formal review process. The letters become the property of the dean's office. If these letters are cited in written recommendations, the authors' names or other identifiers should not be included to help ensure confidentiality.

9. Recommendation by the Department (where appropriate)

This recommendation will be based on a review of the candidate's teaching, scholarly/professional activity, and service as documented in the file. The vote, date of the action, and signatures of department members (or committee) voting ensure that subsequent reviewers understand the recommendation, it is especially important to identify and explain any apparent discrepancies between the college's stated criteria for tenure and/or promotion and contrary evidence in the file (maximum length not to exceed ten double-spaced pages).

10. Recommendation by the Department Chair (where appropriate)

This recommendation will be based on a review of the candidate's teaching, scholarly/professional activity, and service as documented in the file and will take into consideration the curriculum and enrollment needs of the department (maximum length not to exceed ten double-spaced pages).

11. Recommendation by the School Tenure and Promotion Committee (where appropriate)

This recommendation will be based on a review of the candidate's teaching, scholarly/professional activity, and service as documented in the file. The vote, date of the action, and signatures of committee members voting will be included as well as the basis and justification for the action. To help ensure that subsequent reviewers understand the recommendation, it is especially important to identify and explain any apparent discrepancies between the college's stated criteria for tenure and/or promotion and contrary evidence in the file (maximum length not to exceed ten double-spaced pages).

12. Recommendation by the Dean

This recommendation will be based on a review of the candidate's teaching, scholarly/professional activity, and service as documented in the file and will take into consideration the curriculum and enrollment needs of the school (maximum length not to exceed ten double-spaced pages).

Part II- Contained in up to Three Additional 3-Ring Binders

SUPPORTING MATERIALS TO DOCUMENT TEACHING ACTIVITY

Candidates may include instructional materials which provide an indication of the range of classes and number of students they teach, the kinds of assignments they give, the manner in which they evaluate student work and assess student learning, the way in which they design and develop courses, and additional activities that they perform to supplement their teaching. For example, candidates may include representative syllabi, course proposals, sample assignments or exams, reflections upon their teaching, graded student drafts or completed essays, and information about Web sites they have developed for courses. Candidates may also choose to provide evidence of their former students' professional success, including graduate study. They may also include personal notes from students and evidence of their advising activities. However, candidates are urged to be selective in choosing representative material that supports the opening statement about teaching.

SUPPORTING MATERIALS TO DOCUMENT SCHOLARSHIP/PROFESSIONAL ACTIVITY

The College identifies at least five basic types of scholarship: the Scholarship of Discovery, the Scholarship of Integration, the Scholarship of Application, the Scholarship of Teaching, and the Scholarship of Artistic Endeavor. These five categories do not embrace the entire range of valuable scholarship. Rather, the categories denote five areas of scholarly activity that the College has chosen to recognize as particularly significant.

Materials to document scholarship/professional activity may include refereed work, primary evidence of refereed artistic endeavor, non-refereed work, and secondary evidence. The criterion used to distinguish refereed from non-refereed work is that the selection process for refereed work involves peer review of some kind. Refereed work may include, but is not limited to, the following: articles, papers, books, textbooks, anthologies, collections, bibliographies, treatises, chapters in larger works, instructional materials, computer programs, compact discs, tapes, photographs, reviews, clinical reports, journalistic articles, posters, presentations, abstracts, and creative work. Successful curricular or grant applications also may be included. Jointly published, refereed work with students should be identified specifically. Works "in press" (accepted for publication and in the process of being published), labeled accordingly, should be included.

Primary evidence of refereed artistic endeavor also may include, but is not limited to, the following: programs, announcements, brochures, letters of invitation, and unsolicited letters of appreciation. In addition to the confidential letters from outside reviewers placed in Binder #1, secondary evidence may include, but is not limited to, the following: critical reviews of the work, evidence of citations, and conference programs.

Non-refereed work should be listed as a separate category and labeled accordingly. Non-refereed work and evidence of non-refereed artistic endeavor may include any of the examples listed previously. Candidates are urged to be selective in choosing secondary and non-refereed evidence to be included. Works "in progress or in preparation" should not be included, although they could be listed on the vitae in a separate category labeled accordingly.

SUPPORTING MATERIAL TO DOCUMENT SERVICE

Evidence to document service may include, but is not limited, to the following: announcements, brochures, programs, project reports, copies of service presentations (if available), job descriptions and/or project achievements for offices held, and unsolicited letters of invitation or appreciation. Documentation for promotion to full professor may include evidence of service to the department, school, college, community, and the profession.

IMPLEMENTATION AND AMENDMENT

These procedures will be in effect for all tenure-eligible faculty and for all non-tenure eligible notice faculty seeking promotion who begin their appointment after approval of these procedures. Other tenure-eligible faculty hired prior to approval will have the option of using this document or the previous guidelines statement which is currently in effect. All faculty seeking promotion to professor will use these procedures beginning in fall 2005.

Procedures to amend this document are the same as those to amend the Faculty Handbook (Policy Manual IV).