

**GUIDELINES FOR PREPARING CREDENTIALS FOR TENURE AND/OR PROMOTION REVIEW
COLLEGE OF ARTS AND SCIENCES - DRAKE UNIVERSITY**

Introduction to the Guidelines

Tenure and/or promotion can be awarded only when a clear and convincing case supports such a decision. The purpose of these "Guidelines for Preparing Credentials for Tenure and/or Promotion Review" is to create a format for the presentation of promotion and tenure cases: by the candidate to the department, the department to the college committee, the committee to the dean, and the dean to the provost. The instructions refer to criteria of departments and the college for excellence in teaching, scholarship, and service.

The Arts and Sciences Faculty Policies Handbook states these priorities with respect to these areas of responsibility: *"Commitment to excellence and demonstrated effectiveness in teaching is the most important consideration in the granting of tenure and/or promotion. A record of quality scholarship/creative activity that is subject to external review is required. Strong service to the university, one's profession, students and/or the community and advising students are also important. Deficiencies in teaching cannot be offset by accomplishments in other areas.* Thus, Drake accords teaching the highest value, with scholarship as the next ranking essential element. While service is important, it is not placed on a par with either teaching or scholarship.

Specific criteria for assessing teaching, scholarship/creative activity, and service exist in written form for the college (see the applicable sections from the faculty policies handbook printed below) and in each department (as specified in the concluding paragraphs of 3.1.31, 3.1.32, 3.1.33; department statements are available from the department chair or the dean). By college policy, the annual written evaluations of faculty are provided for review by the promotion and tenure committee of the college (3.1.63), along with the candidates' materials.

Eligibility for review for tenure is stated in 3.1.11 and for promotion 3.1.12. Criteria and procedures for promotion to professor are stated in 3.1.63. The general guidelines for tenure and promotion are outlined in 3.1.2. Prospective candidates should note particularly that the procedures of the college place responsibility for preparation of candidacy papers on the candidate (3.1.26), who is required to present a full and well documented record of accomplishment. The department review committee must then conduct a thorough analysis of the candidacy (3.1.51 and 3.1.62) and present to the college promotion and tenure committee a fully documented recommendation. The procedures of the college committee are specified in 3.1.64. If special contractual considerations mediate normal criteria, such contractual language must preface any promotion and tenure case as part of the context for the evaluation (see also 3.1.25).

This document is intended to be consistent with section 3.1 in the Faculty Policies Handbook of the College of Arts and Sciences, and it specifically implements 3.1.27. In instances of inconsistency, if any, the Handbook prevails. Persons using this document should therefore use it with section 3.1 of the Arts and Sciences Faculty Policies Handbook at hand. If you do not have a copy of the Arts and Sciences Faculty Policies Handbook, it is available on line or may be obtained from the Arts and Sciences office.

Guidelines

I. Basic Organization of Document and Preparations

This document is designed to assist candidates in preparing the materials specified in 3.1.61 in a format that enables the department and college committees, the dean, and the provost to review their record fully and fairly. The candidate is asked to prepare a dossier consistent with these guidelines.

A. A cover sheet should contain the following information:

PROMOTION AND TENURE PORTFOLIO

NARRATIVE SECTION

STATEMENT ON BEHALF OF:

NAME _____

DEPARTMENT _____

CHAIR _____

DATE PRESENTED TO DEPARTMENT _____

Department Review Committee

DATE FORWARDED TO THE DEAN _____

DATE FORWARDED TO THE PROVOST _____

B. The Promotion and Tenure Statement Consists of Two Four-part Sections:

1. *To be completed by the faculty member – a self-reflective, concise yet thorough statement discussing her/his record and indicating plans for future development in each of these areas:*
 - a. Description of teaching activities in relation to the criteria specified in 3.1.31 and department statements
 - b. Description of scholarly/creative activities in relation to the criteria specified in 3.1.32 and department statements
 - c. Description of service activities in relation to the criteria specified in 3.1.33 and department statements
 - d. Documentation appendix (attachments providing evidence as called for in 3.1.61)
2. *To be completed by the department review committee*
 - a. Evaluation of teaching in relation to the criteria specified in 3.1.31 and department statements
 - b. Evaluation of scholarship/creative activities in relation to the criteria specified in 3.1.32 and department statements
 - c. Evaluation of service in relation to the criteria specified in 3.1.33 and department statements
 - d. Recommendation

C. Responsibility for Preparation of Promotion and Tenure Statement

1. The candidate, working with the department chairperson or the chairperson's designate, is responsible for the preparation of the descriptive statement (3.1.26). A tenured faculty member may assist the candidate in preparing an accurate and complete curriculum vitae and describing the candidate's accomplishments. While these statements should be thorough, candidates are urged to be concise in their narrative.
2. The evaluation and recommendations by the department are confidential and must be written by a member of the department promotion and tenure committee. If the chairperson, did not write the recommendation for the department review committee, he or she may write a separate recommendation.

II. Description of Teaching, Research, and Service (to be supplied by the candidate)

The purpose of a narrative format is to afford the candidate the opportunity to provide a concise yet comprehensive statement in support of his or her candidacy for either promotion and/or tenure. It is useful to provide in the appendix appropriate documentation for the activities described, e.g. material from one's cumulative teaching portfolio such as course syllabi, exams, assignments, and evidence of student learning with an indication of the faculty member's role in developing that learning; all student evaluations from all classes must be submitted. Scholarly products such as reprints of articles, grants, reviews by one's peers and annual department chair and dean evaluations should be included from the period under review. The documentation should appear in the appendix in the order in which the items are first mentioned in the narrative. Pages in the appendix should be correlated to the narrative.

A. OUTLINE FOR DESCRIBING TEACHING ACTIVITIES (with reference to 3.1.31)

1. Statement of Teaching Goals and Philosophy:

To the extent not covered in the course syllabi, describe your pedagogical practices as they are evidenced in your course assignments, exams, and classroom activities.

2. Description of Courses Taught:

Please compile in an easily readable format the titles, dates taught, credit hours for the courses taught during the years leading to the promotion and/or tenure review (for promotion, materials from the previous five years will be sufficient). The materials should include syllabi, and representative handouts, assignments, and exams and should be letter-and-number keyed to the letters and numbers specified in the narrative to aid the committee in their review.

3. Description of Areas of Teaching Interest and Competence:

- a. Identify areas of teaching interest and competence;
- b. Describe how one's courses reflect these interests, and how (or whether) these interests have been shaped by teaching experience and/or curricular or programmatic needs.

4. Mentoring:

- a. Indicate approximate number of students whom you have mentored.
- b. Describe the ways in which you act as a mentor.
- c. Submit any materials that provide evidence about the overall quality of your mentoring activities.

5. Class evaluations:

- a. Describe how evaluation forms were designed and by whom;
- b. Submit the student evaluations for each course described above (#2);
- c. Provide, if desirable, a response to these evaluations, and indicate how they have contributed to the process by which the faculty member has continually improved her/his teaching.

B. OUTLINE FOR DESCRIBING RESEARCH, SCHOLARLY, AND CREATIVE ACTIVITIES (with reference to 3.1.32)

1. For the purpose of providing an overview of the bibliography to follow, summarize the focus and direction of your scholarly or creative work.

2. PUBLISHED SCHOLARLY WORK, PERFORMANCES, AND EXHIBITIONS:

If your work is usually exemplified by publications, please list them by the categories specified in 3.1.32, using the standard entry form of your discipline. Include items "in press," giving full publication information. In cases of multiple authorship or collaboration, please describe individual contribution. Please do not include non-published work here or work that is more appropriately placed in the service category (see 3.1.33).

If your work is usually exemplified by plays, concerts, music compositions, or art exhibitions, provide evidence of artistic achievement, such as reviews, selection in artistic competitions, purchase of work by museums, galleries, etc., with reference to the categories in 3.1.32b. In cases of multiple authorship or collaboration, please describe individual contribution.

3. SCHOLARLY OR CREATIVE WORKS IN PROGRESS AND/OR SOON TO BE PUBLISHED / EXHIBITED / PERFORMED:

Follow the same format as above and identify each as under review, submitted, or in progress. Provide dates of actual or expected submission, exhibitions, or publications. Include such works as part of the documentation in appendix.

4. ORAL PRESENTATIONS BEFORE PEER PROFESSIONAL GROUPS:

Again, with reference to 3.1.32, list titles and dates of the presentations and the identity of the groups hearing them. Include copies of presentations as part of the appendix.

5. GRANTS, CONTRACTS, OR FELLOWSHIPS:

a. GRANTS AWARDED:

Identify purpose for each. Include comments and critiques of reviewers or review panels.

b. GRANTS APPLIED FOR (listed at the discretion of the candidate):

Identify purpose for each. Include comments and critiques of reviewers or review panels.

6. PRIZES OR OTHER HONORS:

List the prize, title, or honor and the identity of the granting institution or organization.

C. OUTLINE FOR DESCRIBING SERVICE (with reference to 3.1.33)

Although service is an important contribution made by a candidate to the department, college, university, students, and community, it cannot be regarded as a substitute for superior achievement in the areas of teaching and scholarship. Nevertheless, description of service should include commentary on its quality, to the extent that is possible, and not only to the quantity (e.g., not simply a list of the committees on which one has served).

1. List the department committees, years served, and role (e.g., chair) on the committee; if necessary, describe the purpose and accomplishments of the committee.
2. List the university, division, school, or college committees, years served, and role (e.g., chair) on the committee; if necessary, describe the purpose and accomplishments of the committee.
3. Describe advising activities and approach. Issues that might be addressed in describing your advising include discussion of approximate number of advisees and contacts that you have with each advisee per year and the general philosophy that guides your advising activities. Submit any materials that provide evidence about the overall quality of your advising activities. If advising is not part of your responsibilities, so state.
4. Identify other departmental, college, or university responsibilities that constitute service.
5. Identify contributions to scholarly or professional organizations. These contributions may include holding office, serving on a committee, reviewing manuscripts, and so on.
6. Describe unpaid community service directly related to one's area of professional or academic area of expertise.

III. Evaluations of Teaching, Research/Creative Activity, and Service (to be completed by the Department Promotion and Tenure Committee)

The judgments by one's professional colleagues are crucial to the review process. The purpose of this section is to document the collective judgment of peers most familiar with the candidate's teaching, scholarship, and service. Toward this end it is important that the evaluative statements be supported by appended documentation solicited from the candidate and data gathered independently by the department.

External review of scholarship is required. Such external peer review should incorporate the candidate's recommendations of experts to be consulted in his or her discipline. (See 3.1.62) In those cases where

the candidate's work involves interdisciplinary programs (e.g., Law, Politics, and Society, Women's Studies, etc.), evaluations from the program director or faculty are to be obtained.

A. OUTLINE FOR EVALUATION OF TEACHING

1. How have the candidate's teaching interests and competence fit into the programs of the department/ division, college/school, and university?
2. Which criteria among those listed in 3.1.31 and in the department's statement were given the greatest emphasis in the evaluation of teaching?
3. What processes were used and what data were gathered to assess teaching effectiveness?
 - a. How was peer evaluation of teaching carried out? Who did the observations and what was the nature of the visits (e.g., the number of visits, the courses observed)? Include summaries of such visits in the appendix.
 - b. Cite special activities if any, undertaken by the candidate to provide effective mentoring and to contribute to the department/division through mentoring. The department should provide and comment on any evidence of the quality of the mentoring activities of the candidate.
4. What is the committee's evaluation of effectiveness of the candidate's teaching?
 - a. Evaluate the candidate's competence as a teacher in light of the above. Cite the candidate's strengths and weaknesses. Include student and peer evaluations in the appendix.

B. OUTLINE FOR EVALUATION OF SCHOLARSHIP/CREATIVE ACTIVITY

1. The department should identify the departmental or disciplinary standards for scholarly and creative work. Within that context, the department should evaluate the candidate's scholarly work. Which of the works represent important contributions? Where available, summarize or quote from reviewers' opinions and include in the appendix photocopies of reviews. For publications, clearly identify the publisher and the process of acceptance for publication. For non-published work such as conference presentations, please describe the internal and/or external review procedure. For joint publications indicate the candidate's contribution.

If the candidate's creative work is demonstrated by concerts, compositions, exhibitions, or personal performances, comment on the quality of these. Cite the reviewers' comments.

2. OUTSIDE LETTERS OF EVALUATION

The department will seek reviews from persons outside the university who are in a position to speak about the significance and promise of the candidate's scholarship/creative activity. Persons solicited for these reviews should be provided with the necessary materials and the time to complete such reviews before the college review committee begins its consideration of the candidates. All persons so solicited should be made aware that the candidate may see these letters when they are included in the file, unless he or she has waived the right to see them.

- a. The candidate's work should be supported by three or four reviews, from both persons suggested by the candidate and persons suggested by the department.
- b. Reviewers should not include the thesis director or close acquaintances or direct collaborators of the candidate.
- c. The department in consultation with the candidate shall develop a list of prospective reviewers. The department is responsible for arranging the reviews.
- d. Correspondence with reviewers should urge that the candidate's scholarly or creative work be considered in the context of the primary emphasis Drake places upon teaching. A copy of the department's letter soliciting the review should be included with the materials submitted along with a copy of the *vita* of the reviewer.

C. OUTLINE FOR EVALUATION OF SERVICE

Although service is an important contribution made by a candidate to the department, college, and university, it cannot be regarded as a substitute for superior achievement in the areas of teaching and scholarship. The evaluation should include:

1. A departmental statement explaining its expectations regarding the level of service, inside and outside the department, at various stages of the promotion and/or tenure review period. This statement should identify policies or circumstances peculiar to the department or the candidate that affect a candidate's level of service. They should also describe administrative positions and responsibilities, if relevant to a candidate.
2. Evaluation of the candidate's service to the department, college, and university, in the context of the preceding departmental statement. This evaluation can contain reference to:
 - a. candidate's contributions to the department/division through committee work, advising, and other capacities;
 - b. candidate's contributions to the university and school or college;
 - c. candidate's contributions to scholarly and professional organizations.
3. A departmental statement explaining its expectations regarding the level of advising at various stages of the promotion and/or tenure review period. This statement should identify policies or circumstances peculiar to the department or the candidate that affect a candidate's level of advising, including explanation if no advising has been expected.
 - a. Evaluation of the candidate's advising. This evaluation may contain reference to:
 1. candidate's efforts to become knowledgeable about curricular and other advising issues and procedures;
 2. candidate's willingness to participate fully in providing for advising needs in the program;
 3. special activities undertaken by the candidate to provide effective advising; candidate's contributions to the department/division through advising.

DEPARTMENT REVIEW COMMITTEE RECOMMENDATION

Provide a narrative based on data provided in sections 1 and 2. Complete the following statement and indicate the phrase or phrases that apply. Voting members of the department promotion and tenure committee should sign below, indicating that they have read the complete contents of the "Statement" and have voted or abstained in the recommendation. List any non-voting members of the committee.

The department promotion and tenure committee recommends that

(first)

(middle)

(last name)

- () be granted tenure
- () be promoted to the rank of _____
- () be retained in present rank
- () be given a terminal appointment.

Signed: _____

Committee Chairperson

Committee members

**RECOMMENDATION OF THE COLLEGE
PROMOTION AND TENURE COMMITTEE**

Provide a statement of reasons for the committee's recommendation, complete the following statement, and sign below.

The College of Arts and Sciences Promotion and Tenure Committee recommends that

(first)

(middle)

(last name)

- () be granted tenure
- () be promoted to the rank of _____
- () be retained in present rank
- () be given a terminal appointment.

Signed:

Committee Chairperson

Committee members

Date: _____

RECOMMENDATION AND SIGNATURE OF THE COLLEGE DEAN

Provide your narrative assessment of the candidate's performance and your recommendation.

I recommend that

(first)	(middle)	(last name)
()		be granted tenure
()		be promoted to the rank of _____
()		be retained in present rank
()		be given a terminal appointment.

Signed: _____
Dean

Date: _____