

**Virginia Tech Guidelines for Promotion and Tenure Dossiers**  
**2007 - 2008**  
Revised 4/13/07

The promotion and tenure guidelines, a table of contents template, and a standard cover page are available electronically at [www.provost.vt.edu](http://www.provost.vt.edu).

The university promotion and tenure committee is appointed and chaired by the university provost and vice president for academic affairs. The committee reviews the qualifications of the candidates recommended for promotion or tenure by each academic dean. It also reviews those cases in which the dean has not concurred in the college committee's positive recommendation. The purpose of the reviews is to verify that the recommendations are consistent with university objectives, programmatic plans, and budgetary constraints (section 2.8.4.3 of the *Faculty Handbook*).

Tenure is an institution developed for the protection of the academic freedom of the teaching faculty in institutions of higher education. Eligibility for tenure consideration is limited to full-time faculty members holding regular faculty appointments in academic departments. Tenure will not be granted to faculty members with temporary appointments, to faculty members in part-time positions, or to administrative and professional faculty. Individuals holding tenure in academic departments who are appointed to administrative positions, however, will continue to hold tenure in those departments. Full-time administrators who also hold appointments in academic departments and engage in teaching, research, and outreach may be recommended for tenure in such departments.

Promotion to a higher rank and appointment with tenure may be granted to faculty members on a regular faculty appointment who have demonstrated outstanding accomplishments in an appropriate combination of instructional, research, outreach, extension, and other professional activities.

All candidate dossiers must be submitted to the university promotion and tenure committee according to the following guidelines.

Cover Page: The provost provides a standard cover page, available at [www.provost.vt.edu](http://www.provost.vt.edu).

Document Format: The dossier should be formatted as follows

- font type of either Verdana or Arial
- minimum font size of 11
- single-spaced
- double-spaced between paragraphs
- margins of 1-inch left/right and top/bottom
- pages numbered sequentially, using Arabic numerals

- page numbers in the upper right-hand corner
- begin numbering with the cover page as page 1
- do *not* insert pages such as 1.a, 1.b, etc.
- remove extraneous page numbers (anything other than those appearing in the upper right-hand corner).

Table of Contents: A table of contents template is available at [www.provost.vt.edu](http://www.provost.vt.edu). If a section is not applicable to a candidate's dossier, please include it in the Table of Contents and within the body of the dossier, but indicate that the section is not applicable or "N/A."

Specific instructions for preparing each section of the dossier are as follows:

## I. Executive Summary

Provide an executive summary, no more than three pages in length in outline form. The summary should address accomplishments and significant contributions pertinent to the candidate's field, which may include the following, but are not necessarily limited to these topics or to this list order:

- Awards
- Education
- Research and teaching interests
- Professional appointments
- Publications (selected—see sentence below regarding candidates for promotion to full professor)
- Competitive grants (selected, or all if page limit allows)
- Other sponsored research (selected, or all if page limit allows)
- Courses taught (selected, or all if page limit allows)
- Student advising (selected, or all if page limit allows)
- Diversity initiatives or contributions (selected, or all if page limit allows)
- Outreach and professional service (selected, or all if page limit allows)

Candidates for promotion to full professor should include in the executive summary only publications since their promotion to associate professor.

## II. Recommendation Statements

### A. Statement from the dean

The statement from the dean is an informative, individualized assessment of the candidate's credentials as they relate to Section 2.8.4 of the *Faculty Handbook*. The dean's statement should reflect the dean's perspective.

B. Statement from the college committee

The statement from the college committee should be quite detailed and should include the division of the vote. Indicate the actual vote tally, rather than stating that the vote was “unanimous” or a “positive majority.” For example, “The college committee voted (10—yes and 3—no) to recommend the candidate for promotion with tenure to associate professor.” A brief explanation of the concerns represented by the dissenting votes should be included.

C. Statement by the department head, chair, or division director

Candidates should not be expected to make their own cases. This statement is limited to 3-4 pages in length, and should include:

- A summary of the candidate’s professional assignment at Virginia Tech.
- An evaluation of the academic performance and effectiveness of the candidate in each of the areas of faculty responsibility—teaching and academic advising; research and creative activities, and outreach, including indication of position responsibilities and AY or CY designation.
- Information regarding the quality and appropriateness of publication forums.
- Information regarding the significance of keynote presentation/lecture venues.
- A summary of important accomplishments and an interpretation of significant contributions.
- An explanation of the procedures by which the candidate was evaluated.
- The head or director’s recommendation, which should refer to the outside reviewer letters.

D. Statement by the department or division promotion and tenure committee

This statement should include the division of the vote. Indicate the vote tally, rather than stating that the vote was “unanimous” or a “positive majority.” For example, “The departmental committee voted (8—yes and 0—no) to recommend the candidate for promotion with tenure to associate professor.” Please include an explanation of the concerns represented by the dissenting votes. In the absence of a unanimous recommendation, a minority report may be included. In most cases, however, the basis for a split vote should be evident in the committee letter.

- E. Statements from other units for faculty with joint appointments or other formal interaction

If the candidate's research is primarily through a team in a research center, the center director should provide a letter of evaluation.

- F. For faculty who present significant interdisciplinary or multidisciplinary and collaborative teaching, research, outreach, or extension as part of the record, the dossier should include one evaluation letter from the director, coordinator, or leader of the interdisciplinary or multidisciplinary program.

Do not include an excessive number of "congratulatory" letters.

- G. Letters of evaluation submitted by outside reviewers from peer institutions

The committee expects to see *all* external letters received, not just selected letters. The dossier must contain, at a minimum, four external review letters. It is the responsibility of the departmental promotion and tenure committee and/or department head to solicit evaluations from outside reviewers. *In a parallel but independent process, the candidate and the departmental promotion and tenure committee (and/or department head) will each prepare a list of outside reviewers. There may be instances when the committee and the candidate suggest the same outside reviewer. This is perfectly acceptable; however, candidates may not suggest all of the outside reviewers. The final list of outside reviewers should never be shared with the candidate.* Reviewers should not be former advisors or others too close to the candidate.

*Reviewers are expected to be at peer institutions or other major research universities.* If the best person to evaluate the work is at a university below peer level, please explain. A listing of Virginia Tech's SCHEV-approved peer institutions can be found at [www.irpa.vt.edu](http://www.irpa.vt.edu). Many other universities can be considered peer (or better) universities.

If a candidate has received an extension of the tenure probationary period, this should be addressed in the external review request as follows: "This candidate has received an extension of his or her tenure probationary period under approved university policies. You are asked to evaluate the candidate's accomplishments and appropriateness for tenure and promotion to associate professor as if the record had been accumulated during our normal six-year probationary period."

1. Provide information about the outside reviewers in a table format, as follows:

Reviewer	Institution	Suggested by Candidate	Suggested by Committee
Mary Jones	Stanford Univ.	X	
John Smith	Michigan State Univ.		X

2. Following the table, provide a brief (two to three paragraphs) biographical sketch of each reviewer and explain why he or she was particularly suited to review the candidate's work.
3. Following the biosketches, provide a sample copy of the letter of instruction sent to outside reviewers.
4. Following the sample outside review instruction letter, provide the letters from outside reviewers.

### III. Candidate's Statement

The candidate's statement should be no more than three pages in length. Neither this statement, nor any part of it, should be repeated or further developed elsewhere in the dossier. This statement should explain such matters as the character, coherence, direction, and purpose of the candidate's scholarly and professional work, including the integration of teaching, research and creative activity, and service. Scholarship, which is pervasive across all three missions of the university, is broadly defined at Virginia Tech as the creation of knowledge that is peer reviewed and publicly disseminated. As a land-grant university, Virginia Tech values the application of teaching and research in fulfillment of its outreach and extension responsibilities. Outreach accomplishments should be reported in context of research and teaching, as well as international and professional service. Faculty with extension appointments should also relate their program accomplishments to teaching, research, and outreach.

The statement should enable members of the university promotion and tenure committee to understand clearly the candidate's professional aims and achievements. The statement should explain but not evaluate the work. This statement should provide all reviewers with a clear understanding of the candidate's research and creative activities, teaching, outreach, and extension achievements. Where possible, the candidate's statement should reference specific scholarly achievements documented in the remainder of the promotion and tenure dossier. The statement should also address the candidate's engagement in diversity-related initiatives.

### IV. Teaching and Advising Effectiveness

Teaching and advising are multifaceted activities. In any assessment of a candidate for promotion and tenure, both the quality and the quantity of the

individual's achievements in teaching and advising should be presented in the dossier. A number of measures to demonstrate the quality of teaching and advising are available: development of instructional material and of courses and curricula; student, peer, and alumni evaluations; contributions as an academic advisor; recognition and awards for teaching or advising effectiveness; the long term effect of a faculty member on the personal and professional success of students; and student achievements.

Those evaluating candidates for promotion or tenure should give special consideration to teaching effectiveness. The assessment of teaching and advising effectiveness rests on a comprehensive review of both qualitative and quantitative measures. To be evaluated favorably, an individual should contribute to the accomplishment of the mission of the university in several aspects of teaching.

The promotion and tenure dossier should provide the following information about teaching and advising:

- A. A chronological list of courses taught since the last promotion or the date of appointment to Virginia Tech.

The chronological list should include courses by term and year, credit hours, course enrollments, and the faculty member's role (if not solely responsible for the course).

- B. A chronological list of non-credit courses, workshops, and other related outreach and/or extension teaching since the last promotion or the date of appointment to Virginia Tech.
- C. Completed theses, dissertations, other graduate degree projects, major undergraduate research projects, and honors theses directed
- D. Postdoctoral Fellow training and research

Format the information in this section, as follows:

Student: Mary Jones

Degree and Institution: Ph.D., Dept. of Toxicology, NC State University

Employed: August 2000 – present

Publications: 2

Meeting Presentations: 3

Employment after leaving postdoctoral position: State Toxicologist's Office, Durham, NC

- E. Current positions held by the candidate's masters and doctoral recipients
- F. Special achievements of former undergraduate and graduate students

G. Current academic advising responsibilities—graduate and undergraduate

Please include the students who are currently working on their theses, dissertations, etc.

H. Course, curriculum, and program development

The dossier must provide a persuasive evaluation of the faculty member's effectiveness as a teacher and an advisor. It should explain the point or meaning of any data, information, or examples included as evidence. Data from student evaluations, for example, are not necessarily self-explanatory; the numbers usually require interpretation and comparison. Where comparisons are warranted and would be helpful, they should be included. The quality of a candidate's achievements and ability as a teacher should be clearly demonstrated. Evidence such as the following should be included:

I. Student evaluations of instruction

Include the rating scale and college and/or department averages. Include data on all courses evaluated since the last promotion, enrollment in each course, number of students turning in evaluations, and numerical averages. Do not include student comments from teaching evaluations. Include evaluations of non-credit courses or other outreach or extension-related teaching, which should include participant data as defined above and evidence of the impact of programs on participants.

J. Peer evaluations of instruction

Provide at least two letters or reports from departmental or college peer reviewers regarding the candidate's teaching and advising effectiveness.

K. Alumni evaluations of instruction

Inclusion of alumni evaluations of instruction is optional. If included, describe how the letters/evaluations were solicited.

L. Demonstrated efforts to improve one's teaching effectiveness

M. Recognition and awards for teaching or advising effectiveness

V. Research and Creative Activities

While both the quality and quantity of a candidate's achievements should be examined, quality should be the primary consideration. Quality should be defined largely in terms of the work's importance in the progress or

redefinition of a field or discipline, the establishment of relationships among disciplines, the improvement of practitioner performance, or in terms of the creativity of the thought and methods behind it. Original achievements in conceptual frameworks, conclusions, and methods should be regarded more highly than work making minor variations in or repeating familiar themes in the literature or the candidate's previous work. Determination of excellence is difficult and requires informed professional judgment.

Quantity is often easier to measure than quality, since comparisons can be made more readily. However, because scholars and artists sometimes—and for good reasons—disseminate essentially the same information or exhibit the same work, it is important to note the relationships among various publications, exhibitions, and performances where redundancy or duplication appears to occur.

Some disciplines more readily lend themselves to greater numbers of scholarly works. Thus, it is essential that quality be the primary, although not the only, criterion to evaluate a candidate's achievements.

Candidates should list only those publications, projects, or performances which have appeared or been accepted for publication or presentation. They should not include work currently submitted and being reviewed or work in progress.

For each publication, project, or performance, please indicate the lead author or performer's name(s) in bold text, for example:

**Jones, M. A.** and Smith, J. E., 2001. The role of As60A, a TGF- $\beta$  homolog, in *Anopheles stephensi* innate immunity and defense against *Plasmodium* infection. Infection, Genetics, and Evolution 1:131-141.

Papers, publications, or performances in collaboration with current or former students should include an asterisk at each student's name.

The dossier should provide a persuasive assessment of a candidate's research and creative achievement. Achievement and ability should be clearly demonstrated. It is important, for example, to identify refereed publications or juried exhibitions and the professional status of a press, journal, performance or exhibition. It is essential to clearly indicate the nature of all scholarly works (e.g., refereed journal publications, juried exhibitions, etc.) It is important to show the professional quality of a candidate's achievements through such means as qualified peer evaluations, published reviews, external evaluations, grants, awards, prizes, etc.

The promotion and tenure dossier should provide the following information about research and creative activity:

- A. Awards, prizes, and recognition
- B. List of contributions

Contributions should be identified by type and presented in a standard appropriate bibliographic form. Cite page numbers. Indicate lead author, per the example given above.

1. Books or monographs
2. Book chapters
3. Textbooks authored
4. Papers in refereed journals (both print and electronic)

Provide a qualitative assessment regarding the journal in which the candidate has published. This should be a statement about the level of prestige and relevance of the journal in the specific field or area, and may include the impact factor of the journal, acceptance rates, or similar information. For example:

- *American Journal of Agricultural Economics*, a leading journal in the field of agricultural economics. Published five times a year by the American Agricultural Economics Association. The acceptance rate is 26 percent.
- *The Physical Review*: the highest regarded journal in condensed matter and solid-state physics. Publisher: *American Physical Society* (APS). Impact factor 2.352.
- Sponsored by the National Council on Family Relations, the *Sourcebook of Family Theory and Research* is the seminal reference work on theory and methods for family scholars and students. The *Sourcebook* represents a "Who's Who" of family researchers with contributions from the best, innovative, and upcoming researchers in family studies.

5. Papers in refereed conference proceedings
6. Performances, exhibitions, compositions
7. Numbered extension publications
8. Reviews
9. Books edited
10. Textbooks edited

11. Other papers and reports
12. Prefaces, introductions, catalogue statements, etc.
13. Papers presented at professional meetings
14. Translations
15. Abstracts

C. Sponsored research and other grant awards

Explicitly cite the principal investigator(s)—all names that appear on the grant proposal, year, and duration of the award, percentage of candidate's participation, source (agency) of the award, and the amount. Indicate the percentage of candidate's participation. Do not include unfunded grant applications. Do not include proposals that have been submitted, but rejected (not funded). The department head's letter may address the issue of grant proposals submitted but not funded if this is deemed an important reflection of effort, for example.

D. Invited keynote presentations or lectures

E. Editorships, curatorships, etc.

1. Journals or other learned publications
2. Editorial boards
3. Exhibitions, performances, displays, etc.

F. Evidence of economic contribution to the Commonwealth of Virginia

1. Start up businesses
2. Evidence of commercialization of discoveries

G. Intellectual properties

Provide insight regarding the significance of the intellectual property and its contribution to the university mission.

1. Software
2. Patents

### 3. Disclosures (pre-patent)

## VI. International and Professional Service and additional Outreach and Extension Activities

Faculty members should seek ways in which they connect their scholarship to enhance international and global understanding as well as advance their professional disciplines. The quality and effectiveness of international activities and professional service should be documented.

Additional outreach and extension contributions **and creative activities** not reported under teaching and research may be reported in this section. Simply enumerating activities, identifying committees and task forces, listing reports and studies is insufficient. It is important to show the professional quality of a candidate's achievements through such means as qualified peer review, **stakeholder** evaluations, reviews of published materials, conference and workshop assessments, and letters from committee chairs.

The dossier should provide the following information:

- A. International programs accomplishments
  - 1. International recognition and awards
  - 2. International research collaborations
  - 3. Other international activities
- B. Professional service accomplishments
  - 1. Service as an officer of an academic or professional association
  - 2. Other service to one's profession or field (e.g., service on committees)
  - 3. Professional meetings, panels, workshops, etc., led or organized
- C. Additional outreach and extension activities and outcomes

This section is designed to capture outreach and extension-related program activity that is not reported in previous sections. Specific areas that may be appropriately reported here include:

- 1. **Peer evaluations of extension program(s)**
- 2. Professional achievements in program development, implementation, and evidence of impact

3. Outreach and extension publications, including trade journals, newsletters, websites, journals, multimedia items, etc.
4. Presentations in area of expertise to community and civic organizations, including schools and alumni groups, etc.
5. Service on external boards, commissions, and advisory committees
6. Expert witness/testimony
7. Consulting that is consistent with university/department priorities
8. Recognitions and awards for outreach and extension effectiveness

## VII. University Service

Faculty have significant roles in the governance, development, and vitality of the university and academic profession. Service to the university and academic professional organizations constitutes an important faculty responsibility. This section also requests documentation of contributions to achieving the university's diversity goals, and advising for student organizations.

- A. University meetings, panels, workshops, etc. led or organized
- B. Department, college, and university service, including administrative responsibilities
- C. Contributions to diversity

Candidates whose responsibilities include significant diversity-related program leadership, research, teaching, or advocacy, should describe such activities and accomplishments in the appropriate categories and only make a brief cross reference in this section to previously cited accomplishments. In this section, candidates may wish to convey the ways in which their efforts have helped achieve departmental, college, or university diversity goals. Such efforts may include, but are not limited to:

### 1. Self-education

Increasing awareness, such as participation in diversity awareness workshops on campus or off, attending harassment prevention training from EO Office, participation in CEUT reading group on multicultural/diversity topics, attending diversity-related programs to learn more about groups other than one's own, learning another

language to speak to current or prospective students, parents, or community members. Examples of diversity-related programs are the Diversity Summit, identity group celebrations, Campus Climate Checkup, MLK events, special speakers, annual AdvanceVT and Scholarship of Diversity conferences, events hosted by Cranwell Center or Disability Services, special programs in the candidate's discipline or association, etc.

2. Committee leadership and/or university or professional service

Identify role and any specific accomplishments. For example, chairing or serving on a college or departmental diversity committee, membership on the Commission on Equal Opportunity and Diversity; participation on an AdvanceVT work group; participating in planning campus diversity events such as the Campus Climate Checkup or Diversity Summit; helping to translate university web pages into Spanish or Chinese; serving on the Task Force on Race and the Institution; chairing or participating in a diversity-related task force for a professional association or serving on a national or regional committee related to diversity.

3. Mentoring, counseling, or advising students and student organizations

For example, serving as a research mentor to students in the MAOP, MEAMP, McNair, or VT-PREP programs; serving as faculty advisor to student organizations like MANRRS, Society of Women or Black Engineers, Women's Space, Muslim Student Association, etc.; lecturing/mentoring in MOSAIC residential learning community; participating in SAFEZONE; mentoring student workers or student leaders from underrepresented groups; counseling with students who are victims or perpetrators of bias-related incidents.

4. Incorporating diversity-related scholarship in courses, readings, programs, service learning activities, and one's own research/scholarship

For example, revising a course reading list to incorporate concepts, readings, and scholarship on issues of gender, race, and other perspectives relevant to the course material; rethinking or adapting workshops, lectures, or publications to incorporate multicultural or gender perspectives; creating classroom discussions about the Principles of Community; creating an extension program to address needs in the Hispanic community; developing a service learning experience to introduce students to issues of concern to residents of the Appalachian region; using/doing diversity research to help inform university programs and problem solving; inviting and hosting a

diversity-related speaker for the department; facilitating educational programs in the residential halls; assisting students in planning cultural events related to courses; securing research grants or industry funds to support diversity initiatives or research; facilitating a staff training activity on diversity, bias reduction, or celebration of diversity.

5. Special student, faculty, or staff recruitment initiatives

Include outcomes, if any. For example, identifying and personally recruiting candidates from underrepresented ethnic/racial groups (or women) to positions in the department; making contacts with faculty counterparts at regional historically black colleges and universities (HBCUs) to identify potential graduate student applicants; inviting and hosting women postdocs for a pre-recruitment visit to one's department; visiting another campus and asking to meet with doctoral students from underrepresented groups to talk about faculty career opportunities; making calls to prospective freshmen from underrepresented groups to encourage them to apply and accept the offer to VT; consciously inviting women and minorities to join student organizations, programs, or to participate in leadership opportunities from which they might benefit.

6. Outreach and pipeline initiatives

For example, teaching a segment in the VT-STARS/C-Tech2 summer program; meeting with high school students from a minority high school to talk about majoring in the candidate's field; giving a talk to a high school class for Women's Month or Black History Month; participating in Women in Math Career Day; meeting with Upward Bound students; participating in a VT-STEM initiative targeted toward underrepresented students.

7. Special efforts for individuals from underrepresented groups

For example, providing special support to international, women, or minority doctoral students; serving as a host family for international students; assisting students, employees, or families with special needs; acting as an informal advisor to students of color or women who are not one's formal advisees; special mentoring of colleagues from underrepresented groups.

8. Other diversity initiatives or accomplishments

D. Service to students—involvement in co-curricular activities, advising student organizations, etc.

VIII. Work Under Review or In Progress

A. Work submitted and under review

B. Work in progress

IX. Other Pertinent Activities