

**Virginia Tech Guidelines for Promotion and Tenure Dossiers for 2009-10**  
**(Revised 5/04/09)**

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

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 are not numbered.

Dossiers are prepared and submitted as electronic documents. Using version 8.0 or 9.0 or Adobe Acrobat Professional, a candidate submits his or her dossier to the department as a pdf-file with the major headings (I – IX and A – M) bookmarked. (It is not necessary to bookmark outline items 1 – 15.) Adobe Acrobat Professional 9.0 software for Mac or Windows is available from the following website:

<https://www.ita.vt.edu/Apps/WebObjects/SoftwareWeb.woa/wa/PageAction/page?id=7895>. Departments may purchase the software for any Virginia Tech-owned computer. The cost is \$55 for the license and \$5 for the DVD. Each Virginia Tech-owned computer should have its own software license. Instructions are on the website.

Section II of the promotion and tenure dossier is not prepared by the candidate. The department head, departmental promotion and tenure committee, dean, and college promotion and tenure committee will insert section II into the candidate's electronic dossier. The departmental and college administrative assistants are responsible for bookmarking those major headings (II. A – G).

A separate table of contents is not necessary. The electronic bookmarks act as a table of contents. If a section is not applicable to a candidate's dossier, please include the outline number in the body of the dossier, but indicate that the section is not applicable or "N/A." There is no need to bookmark a section that is not applicable.

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

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

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

## 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* from the perspective of the college and the dean.

### 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 school director

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.
- Reflection on comments from outside reviewers, particularly if an explanation or refutation is warranted.
- The head or director's recommendation on the case.

D. Statement by the department or school 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 or institute, the center or institute 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 not at a major research university, 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). However, other major research universities may be very appropriate sources of external reviewers; committees are not confined to the official SCHEV-peer list.

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 also provides candidates an opportunity to address their active involvement in diversity and international activities.

### 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. Candidates who held a position at the same rank at another institution may include courses taught at that rank prior to their 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 important to show the professional quality of a candidate's achievements through such means as qualified peer evaluations, published reviews, external evaluations, grants, awards, or prizes.

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

- A. Awards, prizes, and recognitions
- 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 not sufficient. 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, as does advising of student organizations. Contributions to diversity are also included in this section.

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

Broad categories and examples of diversity contributions developed by the Commission on Equal Opportunity and Diversity are available at the following website:

[www.provost.vt.edu/documents/reporting\\_diversity.php](http://www.provost.vt.edu/documents/reporting_diversity.php).

Candidates whose responsibilities include significant diversity-related program leadership, research, teaching, or advocacy, should describe such activities and accomplishments in the appropriate categories above and only make a brief cross reference in this section to previously cited 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