

Baruch College P&B Committee Guidelines for Faculty Evaluation

Approved by the College P&B Committee on May 7, 2024

I. Preamble

These guidelines are intended to inform the members of the faculty and administration of responsibilities and authority in the academic personnel evaluation process and to clarify some of the practices and procedures that guide these actions. These guidelines supplement but do not replace the appropriate policies and provisions of the [Bylaws of the City University of New York Board of Trustees](#) related to personnel (in particular, the [Statement of the Board of Higher Education on Academic Personnel Practice in the City University of New York](#)), the , or Baruch College Governance Charter and related [documents](#).

Faculty evaluation is essential in maintaining the highest standards of teaching, research, and service, and assuring that the Baruch College mission of learning, innovative knowledge creation, and intellectual discovery for local and global impact is met consistently. Annual evaluation for reappointment and subsequent evaluation for promotion and or tenure is a means by which the College realizes its values of excellence, innovation, impact, collaboration, and inclusion.

Thus, these guidelines serve not only as a framework for acknowledging individual achievement and contributions, but also as a means to uphold the integrity and reputation of the institution. Tenure, in particular, affords academic freedom, encouraging a robust exchange of ideas and fostering innovative research. By upholding these standards, the College commits to a culture of excellence and continuous improvement, attracting and retaining distinguished faculty dedicated to the institution's academic mission.

The College seeks to appoint, tenure, and promote individuals who will be intellectually independent and capable of fulfilling leadership roles in their fields and in the College.

1. The College Personnel and Budget Committee

The College Personnel and Budget Committee (“College P&B”) consists of the President as the non-voting chair; the Senior Vice President for Academic Affairs; the Vice President for Student Development/Dean of Students; the full Deans of the several Schools; the Chairs of each of the School Personnel and Budget Committees; the Chair of the Personnel and Budget Committee for the Department of the Library and Department of Student Development and Counseling (“Independent Units”), who shall be of faculty rank and not a department chair; at least nine additional members of faculty rank who shall not be department Chairs and one matriculated student in good academic standing appointed by the Council of Student Governments.

The charge to the committee per the 2008 College Governance Charter is to advise the President with respect to recommendations for: (1) Instructional staff appointments and reappointments; (2) Conferring of instructional staff tenure and certificates of continuous

employment; (3) Promotions in instructional-staff rank; (4) The granting of fellowship and other leaves for the instructional staff; (5) Instructional personnel policies and procedures; and (6) Proposals and policies having instructional budgetary implications. The deliberations of the College P&B are confidential and held in executive session. They may be conducted via teleconference or in person and voting may be conducted electronically as permitted by statute.

Thus, the committee has the responsibility to provide a fair assessment of faculty achievement in teaching, research, and service based on the evidence in the faculty evaluation file and in the context of the disciplinary criteria determined by the academic departments, academic schools, and independent units. Please see the attendant [<department and school guidelines for these disciplinary-specific criteria>](#).

2. Scope

The College P&B Committee and this document addresses the appointment, reappointment, promotion, tenure, and continuing employment status (if applicable) of the following titles:
Assistant Professor, Associate Professor, and Professor
Lecturer and Lecturer (Doctoral Schedule)
Instructor
College Laboratory Technician
Visiting Titles
Distinguished Titles
Emeritus Titles (for [other than Emeritus Professor](#) ; see [CUNY policy](#))

II. Three areas of consideration

There are three primary areas of consideration in evaluating faculty: Scholarly and creative activity, teaching, and service. Depending on the type of appointment, the evaluation will consider all three or a subset of these three. Some reviews (e.g. for library faculty and College Laboratory Technicians) may also consider factors related to their specific positions. For reviews that consider all three areas, an exceptional record in one area cannot compensate for a poor record in another; the candidate must meet disciplinary and College standards in all three areas.

1. **Scholarly and Creative Activity.** Our expectations regarding the independent scholarly and/or creative activity (for disciplines such as the Fine Arts or Creative Writing) record of the faculty are high. In general, quality is more important than quantity, although there must be sufficient quantity to provide evidence of a significant level of scholarly/creative productivity. Several factors influence the assessment of the quality of a scholarly and creative activity record.
 - i. The kinds of scholarship and creative activity for faculty across the range of disciplines at the College will vary and are enumerated by the guidelines created by the departments and schools and approved by the

College P&B Committee. Please see the specific <[department guidelines](#)> for expected outlets and quantities, which vary by discipline.

- ii. The requirement that the significance of the scholarship and creative activity be validated through peer review as appropriate to the discipline and publicly communicated will sustain a uniformly high standard.
- iii. In consideration for tenure and promotion, scholarship and creative activity are not merely to be enumerated and evaluated by internal committees but are also to be carefully, fairly, and rigorously evaluated by professional peers. The impact or significance of scholarship and creative activity is most often determined by the evaluations provided by external reviewers.
- iv. The scholarly and creative activity record should provide clear evidence of independent thinking and research/performance.
- v. Some faculty join the college with prior experience at other institutions. The individual's entire body of work is considered by the College P&B Committee at the time of the tenure and/or promotion decision (although not all materials need be included in the review dossier, see following), with the work completed after joining Baruch College given more weight than previous work. The exception to this is the instance when an extraordinary faculty member is recruited with tenure transferring from a peer or aspirational peer institution.
- vi. Given that the decisions regarding tenure and promotion are very much about future expectations, the committee considers the overall pattern of productivity during the pre-tenure period including not only publications or exhibitions of work or performances before tenure, but also the pipeline of works in progress to assess the likelihood of continued productivity after tenure.

2. **Teaching.** Our expectations for teaching quality are high. Tenure will not be granted at Baruch without evidence of effective teaching. Teaching is evaluated holistically based on multiple evidences submitted by the candidate.
 - i. A good teaching record will include evidence of teaching *effectiveness*. Section VI in this document lists the various forms of evidence that will be reviewed.
 - ii. As with scholarship and creative activity, there is a fundamental interest in the *trajectory* of teaching quality. Most faculty show marked improvement during their first several years as they gain experience and synthesize feedback.
3. **Service.** Academic communities thrive when all members contribute to the common good. The faculty plays an important role in the formulation and implementation of University policy, and in the administration of the College. Faculty members are evaluated on the degree and quality of their participation in College and University governance. Similarly, faculty contributions to student

welfare, through service on committees or as an advisor to students or student organizations, should be recognized. Thus, it is expected that candidates for reappointment, tenure, and promotion will have been involved in the life of the University-- within their department and outside it (e.g., at the school, College, or University level) -- as well as in their disciplinary associations. Service may include serving on committees of the faculty, engaging with students beyond the classroom, and substantive participation in disciplinary or interdisciplinary organizations' activities. There is an expectation that promotion from associate to full professor would include positions of service or disciplinary *leadership* either internally, externally, or both. Service leadership comes in many forms.

III. Process overview. All faculty personnel actions require multiple levels of review, beginning with the department and extending to the school, the College P&B Committee, the President, and the CUNY Board of Trustees. Evaluation for tenure and promotion of professorial title faculty also includes review by external evaluators.

1. Levels of review

i. **Department Chair.** A critical part of the evaluation of faculty is the annual report from the department chair ("faculty development coordinator" at the Marxe School of Public and International Affairs) completed annually for other than for tenured full professors. That report should thoroughly treat each of the areas of evaluation described above in an evaluative manner. In particular, the chair is in a unique position to be able to provide assessments of the quality, quantity, and trajectory of the faculty member's scholarship/creative activity, teaching effectiveness, and service. Consistent with the faculty member's title and rank, and citing departmental standards, the chair's annual report should discuss the prestige and suitability of the journals/presses and review the evidence of teaching effectiveness. The chair should provide an explanation for non-satisfactory peer teaching observations or lower-than-department-average student evaluations and, if appropriate, the steps being taken to improve teaching. Annual reports should include developmental advice where applicable and subsequent reviews should reference whether or not changes made by the faculty have led to improvements. In the Library Department (William and Anita Newman Library), the Dean and Chief Librarian serves as department chair.

ii. **Department Committee**

1. The department shall convene a specific committee determined by type of personnel action. The vote at the department level must be positive for the case to move to the school level. The discussion of the department committee and the vote taken there are confidential except insofar as they are disclosed to and discussed at subsequent levels of review. Positive recommendations require a majority vote of all eligible members

of each committee. Faculty members on leave, with the exception of retirement leave, are counted as eligible¹. An eligible committee member's abstention or absence does not change the number of affirmative votes required and so has the practical consequence of counting as a negative vote.

2. Proxy or mail voting is not permitted. This, along with item 1 above, underscores the importance of attendance at all meetings.
3. Votes are by secret ballot.
4. Tie votes mean that the action fails to pass.
5. A candidate who is a member of a P&B Committee may not participate in or vote on his/her own candidacy. This reduces the number of eligible votes by one.
6. The Marxe School of Public and International Affairs does not have any Department Committees, only a School P&B Committee.

iii. **Dean's role.** The school dean participates as an ex-officio non-voting member of the School P&B Committee and as a voting member of the College P&B Committee. The Dean of the Library and Chief Librarian is a voting member of the Independent Units P&B Committee and so does not serve on the College P&B Committee.

1. Third year review. The school dean or the dean of the library is responsible for providing a comprehensive evaluation of assistant professors during the spring semester of the third year of appointment. This review should provide a clear indication as to whether the faculty member is making appropriate progress toward tenure and promotion across all three areas of evaluation: teaching, scholarship and creative activity, and service.
2. Notifications. After the President has considered the personnel recommendation of the College P&B Committee and made a decision, the School Dean notifies the candidate of that decision. If there is not a positive recommendation by committees at any level, the review does not go forward. In such cases the Dean notifies the candidate that the candidacy will not proceed.

iv. **School P&B Committee.** The election of the School Personnel and Budget Committee is determined by the bylaws of each of the three schools and the rules governing independent units. The vote at the school level must be positive in order for the case to move to the College level, using the same voting rules as for departments. The discussion of the school committee is confidential except insofar as it may be discussed at subsequent levels of review.

¹ Per [CUNY guidance memo](#) a P&B member who is on leave of absence or on sabbatical retains his/her voting rights in the department, unless the P&B member has otherwise agreed in advance of being granted the leave or sabbatical. As with all other faculty, he/she must be physically present to vote.

- v. College P&B Committee. The College P&B Committee is chaired by the College Provost as the president's designee. The Committee will provide an independent evaluation of the faculty dossier, informed by the voting record of the department and school committees. The vote of the College P&B Committee is advisory to the president. Voting uses the same voting rules as for other levels of review. The discussion of the College P&B Committee is confidential; however, developmental advice that arises during discussion for annual reappointment may be conveyed back to the faculty candidate or the chair as appropriate by the dean.
- vi. President. The president is an ex-officio non-voting member of the College P&B and so is party to all discussions of the College P&B. The President will make their own independent assessment of the faculty candidate informed by all lower levels of review and in consultation with the provost.

2. External Evaluations.

- i. This section provides an overview of external evaluation processes. Detailed processes can be found at this [link](#).
- ii. Purpose. External peer reviews will be solicited to assist the College in its review process for granting tenure and promotion and for appointing new faculty at the rank of Professor. External reviews increase our ability to obtain an objective, fair assessment of a candidate's scholarly or creative contribution to his/her field, thereby adding credibility to the review process. External reviews are to be used as important documentation in the context of the Baruch personnel process; these reviews are not intended to establish the relative weight which is given to scholarship and creative activity in the review process or to substitute for the Baruch collegial peer review process.
- iii. Selection. The goal is to receive five external peer reviews for every personnel action. The selection process begins with the candidate, department chair and appropriate department committee each recommending four potential reviewers and completing an information sheet about each recommended reviewer. External reviewers must be external to the CUNY system, must have major status as scholars and advanced standing in the appropriate field, and must not have had a relationship with the candidate that would prevent an objective evaluation based on the merits of the works (e.g., recent co-authors, co-investigators, and co-editors, graduate advisor, classmates, familial relations, close personal friends, or other close connections). After the right to strike names for cause has been fulfilled, the Department Chair sends the recommended names to the Dean on the appropriate form. (The Dean will select four of the names if the candidate is the department

- chair. The Dean must approve the recommended panel and notify the Chair if they do not meet the requirements for reviewers.)
- iv. Solicitation. The Dean will contact the twelve potential reviewers using approved letters that will include a CV of the candidate with a notation of what works will be sent for review.
 - v. Materials sent.
 1. All relevant published research and creativity activity since hire, promotion, or the prior seven years, whichever is longer, are sent for reviews for tenure and promotion to Associate Professor; works since promotion to Associate Professor are sent for a review for full Professor. Works listed “in progress” must be in a form suitable for review.
 2. The candidate should include either their personal statement or a separate research statement specifically tailored for external review contextualizing the works to be sent.
 3. Reviewers are asked to respond to specific questions listed in the College's approved letter to external reviewers, or to alternate questions necessary because of the discipline; alternates must be approved by the Dean in consultation with the Department Chair.
 - vi. Receipt. The reviews are sent to the Dean’s Office via the faculty information system and hard copy. Once reviews have been obtained, none can be excluded from the review process; if the full process, implemented in good faith with the goal of obtaining at least five reviews, yields more or less than five reviews, that result will not in itself be the basis for challenging the validity of the reviews that are included. Letters must be received within one year of the review being conducted.

IV. Types of review

1. Appointment reviews

- i. Candidates for appointment are reviewed and approved by a faculty recruitment committee, department chair, dean, and provost prior to hire. Initial appointment is considered by the College P&B Committee on a consent agenda after the hiring process is complete.

2. Reappointment reviews

- i. General. Because the current Collective Bargaining Agreement (CBA) indicates that “initial full-time appointments to the Instructional Staff (except for those of substitutes and distinguished professors) shall be for one year or to the end of the academic year in which the appointment takes effect,” all full-time faculty must be reviewed for subsequent reappointment no later than the fall semester of the second year of appointment.
- ii. College-level Expectations. The College expects faculty to perform their duties in a manner that aligns with title and rank. In the review for

reappointment there is an expectation that scholarly/artistic productivity is consistent and that teaching improves over time if needed.

1. Faculty should consult the department and school guidelines for specific expectations related to scholarly and artistic output, teaching, and service.
- iii. Developmental guidance. Annual reappointment reviews are both evaluative and developmental. The College P&B Committee may provide feedback to faculty candidates related to teaching, scholarly/creative activity, or service contributions.
 1. Informal. The school dean, on the advice of the College P&B, may informally convey advice to the candidate directly or via the department chair. Such advice may include but is not limited to consultation with the [Center for Teaching and Learning](#), reassessment of time spent on service contributions, or suitability of publication outlets.
 2. Formal guidance. On occasion, the College P&B Committee may recommend that a formal guidance memo be issued to a faculty candidate by their school dean. Such written guidance must include specific concerns, the means to address them, and will become part of the personal file.

3. Tenure reviews

- i. The review for tenure generally occurs along with the review for promotion from Assistant to Associate Professor in the fall semester of the candidate's 7th year at the College. CUNY policy requires that the vote on tenure and the vote on promotion to associate professor be separate actions. The review for tenure (and for promotion to associate professor) includes, in addition to review at multiple levels of the institution, the review by external evaluators described previously. To receive tenure, the faculty member is expected to have amassed a record of effective teaching and a body of scholarship or creative activity that is deemed by both internal and external reviewers to be appropriate for the discipline and career stage. The successful candidate will also have a record of service contributions that evidence their commitment to being part of the Baruch College and disciplinary communities to which they belong.

4. Promotion from Assistant Professor to Associate Professor. To receive promotion to associate professor, the expectations are consistent with those for tenure.

- i. Concurrent with tenure. The review for promotion from assistant professor to associate professor is generally held concurrently with the review for tenure, but it is voted on at all levels as a separate action as required by policy.
- ii. Promotion prior to tenure. Because promotion is separate from tenure, promotion may be awarded before tenure (e.g., as a retention measure), though the standards are exactly the same as they are when the two

actions are considered concurrently. Since this is less usual, interested faculty would need to consult their department chair and dean.

- 5. Lecturer to Lecturer CCE status.** To achieve a successful review for the Certificate of Continuous Employment (CCE), a Lecturer shall demonstrate a significant record of teaching effectiveness. While external review is not required, up to four letters, external or internal, can support the application. Lecturers applying for CCE status are expected to contribute to the College community through service at the department, school, or college level as expected of a full-time faculty member.
- 6. Associate Professor to Full Professor.** To achieve promotion from associate professor to professor, the faculty member is expected to have a continued record of effective teaching and an expanded body of scholarship or creative activity that is deemed by both internal and external reviewers to be appropriate for the discipline and career stage. The successful candidate will also have a record of service contributions that evidence their commitment to being part of the Baruch College and disciplinary communities to which they belong. For this stage of promotion there should be evidence of leadership in service activities; evidence of national or international reputation; evidence of significant grants where appropriate to the discipline; and scholarship with impact on the discipline and/or society.
- 7. Instructor to Assistant Professor; Lecturer to Lecturer (Doctoral Schedule).** These are title changes due to attaining additional qualifications, specifically a doctorate. Such reviews are undertaken solely on the basis of the additional credential.
- 8. Visiting titles**
 - i. Visiting titles result from a search process and will be treated as other initial appointments.
- 9. Distinguished titles**
 - i. “Distinguished Professor” is a university title governed by CUNY policy. See [policy here](#).
- 10. Emeritus title (for other than Emeritus Professor)**
 - i. At all CUNY colleges, including The Graduate Center, the title of Professor Emeritus is automatically conferred on full professors who honorably retire after more than 10 years of service.
 - ii. For faculty in other titles, in order to apply for Emeritus/Emerita status, the faculty member must complete the Request for Emeritus/Emerita Status Form and forward it to the Departmental Executive Committee for consideration. The Departmental Executive Committee will record its recommendation by checking the appropriate box on the Form, which will then be forwarded to the Office of Academic Administration for inclusion on the agenda of the next College Personnel and Budget Committee meeting. The College Personnel and Budget Committee will record its recommendation by checking the appropriate box on the Form. The request will then be forwarded to the College President for consideration and a final decision.

- iii. A positive decision by the College President will result in a letter of conferral of Emeritus/Emerita status from the Office of the President. A negative decision will result in a letter transmitting this information to the faculty member. There are no appeals of a denial of the request for Emeritus/Emerita status. The faculty member must receive official written notification in order to utilize the title “Emeritus/Emerita.”

11. CLT to CLT with Tenure; CLT to Senior CLT; Senior CLT to Chief CLT. College Laboratory Technicians or Senior College Laboratory Technicians are eligible for tenure after five years of continuous service. The [CUNY Code of Practice Regarding Instructional Staff Titles](#), section 7.2 states: CLT to CLT with Tenure- A College Laboratory Technician shall perform laboratory functions and other technical duties of a highly skilled nature which are reasonably related to such functions but which are nevertheless non-teaching. Where appropriate, the technician shall exercise some supervision. The candidate shall have the personal characteristics needed to work effectively with students and staff. The candidate shall have effectively and efficiently performed the functions defined in the departmental job description that applies to his or her position.

- i. CLT to Senior CLT- A Senior College Laboratory Technician shall, through technical or administrative skills, assume, under faculty or executive direction, clearly defined supervisory functions or perform complex technical functions in laboratories or technical areas. College Laboratory Technicians (CLTs) seeking promotion to Senior or Chief CLT must submit a written notification of intent to apply for promotion to the Department Chair. The candidate shall have the personal characteristics needed to work effectively with students and staff. The candidate shall have effectively and efficiently performed the functions defined in the departmental job description that applies to his or her position.
- ii. Senior CLT to Chief CLT- Senior college laboratory technicians must serve at least four years in rank in order to be considered for promotion. Senior college laboratory technicians with a master’s degree in an area appropriate to the position can use the degree as a substitute for one year of experience thus becoming eligible for promotion after three years in rank. In addition to time in rank, the senior college laboratory technician must demonstrate *“unique expertise clearly above that expected of senior technicians in a department or division.”* (See Code of Practice, Section IV, 9.2). College Laboratory Technicians (CLTs) seeking promotion to Senior or Chief CLT must submit a written notification of intent to apply for promotion to the Department Chair.
- iii. Process. CLTs going up for tenure and promotion prepare a Personal Statement and upload it to their Interfolio case. CLTs seeking tenure or promotion, in consultation with their Department Chair, may solicit individuals who can write letters of support, which the Department Chair can upload to their Interfolio case.

V. Review outcomes

1. **Reviews with positive recommendations.** The review of candidates who are successful at the department level moves to the school committee, and if there is a positive recommendation at that level the record goes to the college-wide committee and then for action by the President as the final step at the College before the recommendation is submitted to the CUNY Board of Trustees. Minutes of committee proceedings should conform where practicable to Roberts Rules of Order, Revised. The votes, but not the discussions, are recorded in the minutes. It is considered professional misconduct for a member of a P&B Committee to discuss, outside of the P&B meeting, the votes or anything about any discussion at a P&B meeting. After the President has considered the personnel recommendation of the College P&B Committee and made a decision, the School Dean notifies the candidate of that decision.
2. **Reviews with unfavorable recommendations.** If there is not a positive recommendation by committees at any level, the review does not go forward. In such cases the Dean² notifies the candidate that the candidacy will not proceed. The President notifies candidates when positive recommendations of the College P&B are not accepted by the President. If there is not a positive recommendation at the department level, the candidate has the option of appealing that decision. Such an appeal is heard by the School P&B. For negative decisions at other levels there are two elected appeals committees: the School Academic Review Committee and the College Academic Review Committee. Both are advisory to the next higher level of decision making in matters relating to instructional staff appointments, reappointments, certificates of continuous employment, tenure, leaves, promotion, and the policies, recommendations and procedures pertaining thereto. The functions of these committees are to review referrals and appeals transmitted to them by the President. For each personnel action only one appeal shall be permitted at any level of personnel review, with appeals permitted at a maximum of two levels. All appeals are to be addressed to the President. The Provost's Office coordinates the administration of all appeals. The School Academic Review Committee hears appeals from decisions of the School Personnel and Budget Committees and from decisions of the Personnel and Budget Committee of the Independent Units, and forwards its positive recommendations to the College Personnel and Budget Committee for action. Where appeals are sustained, the chair of the forwarding committee will present the personnel action case to the College P&B. The College P&B Committee will consider such personnel actions in their entirety. The College Academic Review Committee hears appeals from decisions of the College Personnel and Budget Committee, and forwards its recommendations to the President.

² If the unsuccessful candidate is a faculty member in the Independent Units, notification will be provided by the Provost.

VI. Materials to be included/evaluated in dossier.

- 1. Format.** The materials included in the dossier for personnel action must be submitted in duplicate: the personal binder in hard copy submitted to and stored in the academic department and the electronic duplicate to be submitted to the faculty workload information system (FWIS) in use at the time of review.
 - i. Electronic file name format. All electronic files must be submitted to the FWIS using the file format lastname_firstname_SemYr_Title. All files of the same type should be submitted in a single PDF file under the appropriate title.
 1. All annual evaluations should be submitted as single PDF file in reverse chronology (newest first) with the file name:
Doe_Jane_F24_AnnualReviews
 2. All peer observations should be submitted as single PDF file in reverse chronology (newest first) with the file name:
Doe_Jane_F24_PeerObs
 3. All student evaluations should have qualitative comments redacted and be submitted as single PDF file in reverse chronology (newest first) with the file name: Doe_Jane_F24_SET
 4. Similar conventions should be used for other materials included in the dossier (e.g., Doe_Jane_F24_CV or Doe_Jane_F24_Syllabi)
 5. Articles, book chapters, and manuscripts can be submitted as PDFs and/or as a link to an externally hosted PDF, such as your Dropbox account. If external links are used, be sure that all links are up-to-date, live, and publicly accessible (not gated).
- 2. CV.** The CV or “Curriculum Vitae” is a comprehensive listing of all professional activities since the terminal degree. In order for information to appear in your official Please see the appended “[CV Format](#)” document for the uniform CV format for Baruch College. The FWIS will automatically generate a CV in the required format derived from information you have entered into the FWIS. However, it is crucial that candidates check whether the CV generated by the FWIS is accurate, and if not, check whether the information was entered correctly.
- 3. Personal Statement.** A personal statement from the candidate must accompany all annual reappointment and promotion and tenure reviews.
 - i. Purpose: The personal statement provides an opportunity for the faculty candidate to articulate their intellectual trajectory and place their work in context for an academic audience broader than their specific discipline. The statement should include all three areas of review – scholarship, teaching and service, - providing guidance for both internal and external reviewers.
 1. Where needed, explain co-authorship, quality, and quantity of work.
 2. If there have been low teaching evaluations, explain and contextualize.

- ii. Timing & updates. There may be updates to the record between the time a dossier might be sent for external review (in the spring prior to the tenure and promotion review) and the submission of the dossier for internal review in the fall. Changes to the personal statement should be noted in the text of any updated personal statement.
- iii. Format. The personal statement should be 4-6 pages in length (exclusive of references, single space 12-point font). If additional context is needed, the candidate can submit a longer statement in the supplementary materials area of the dossier.

4. Scholarship and Creative Activity

- i. Research statement, only if a separate research statement was produced for the external reviewers.
- ii. Provide PDFs of manuscripts as appropriate and/or links to published or exhibited work completed during period of review. If external links are used, be sure that all links are up-to-date, live, and publicly accessible (not gated). Consistent with the materials submitted for external review, candidates should include all relevant published research and creativity activity since hire, promotion, or the prior seven years, whichever is longer.

5. Teaching. Items i and ii are required; faculty are encouraged to include at least one other additional evidence of effective teaching, per school level guidelines.

- i. Peer observations (required)
- ii. Numerical student evaluations of teaching in a single PDF file (required)
- iii. Syllabi, especially for courses of the candidate's own development
- iv. Assignment or student learning assessment (e.g. exam) designs
- v. Student placements or other student outcomes
- vi. Curricular development
- vii. Evidence of mentoring
- viii. External or internal recognition of teaching effectiveness, quality, or innovation
- ix. Other evidence of teaching quality, such as student testimonials outside the normal student evaluation process.

6. Service.

- i. In general, a listing of service contributions on the CV is sufficient. Optional materials evidencing service may include service awards, letters of appreciation, or other documentation of service activities.

7. Annual evaluations and chair reports for tenure and promotion. Note that chairs are required to conduct annual reviews of all faculty except full professors.

8. Dean's third-year review where applicable

9. Letters

- i. External letters, where applicable (e.g., tenure review)
- ii. Internal letters, where applicable

10. Administration File. The Administration File is a file available only to persons responsible for the review and recommendation of the employee.

Note: **While the Administration File is often referred to as the “confidential file,” everything associated with the evaluation of personnel, whether in writing or as part of the deliberations of the committee, must be considered strictly confidential, and nothing in the record, nor any of the discussions of the committee, nor the votes and actions of the committee, may be revealed in any way outside of the committee except by persons authorized to contact the reviewee related to the review.**

The Administration File includes:

- i. External reviews of the reviewee’s work, which are required for all promotion and tenure decisions.
- ii. The vita and recommendations concerning the reviewee submitted as part of the original application for employment.
- iii. Confidential letters of recommendation concerning the employee’s suitability for continued employment, promotion, or tenure, including internal letters submitted regarding a candidacy for promotion to full professor.
- iv. Department executive, promotion, and tenure committee minutes which refer to the reviewee.

*On February 5, 2008, the College P&B Committee voted to remove “departmental chair’s report” from the list of items to be included in the confidential Administration File, effective June 30, 2008.

11. Updates after the portfolio’s due date.

- i. Process for requesting an update.
 1. Who can request. A candidate, the candidate’s chair, a departmental P&B committee, a school P&B committee, or the College P&B Committee may request specific updates to a candidate’s portfolio after the due date.
 2. How to request.
 - a. Requests from the candidate. A candidate wishing to make an update after the deadline must submit such a request in writing to their dean (copying the chair). The request must specify the nature of and the justification for the requested change(s), citing the relevant criteria below, as appropriate. The dean will expeditiously decide to approve or reject the request (or portions thereof) and submit their decision in a written memo to the candidate. For rejected requests, the memo should include a concise explanation of the reason(s), citing either the criteria below or other relevant circumstances. For approved requests, the memo should explicitly confirm the specific updates that are permitted, specify a timeline, and copy the candidate’s

- chair and the relevant office in charge of unlocking the FWIS.
- b. Requests from a chair or departmental P&B. These requests follow the same steps as for a candidate request, with the exception that the request is submitted by the department chair.
 - c. Requests from a School P&B Committee or the College P&B Committee. If a School or College P&B Committee—in consultation with the relevant dean sitting on this committee—formally requests specific updates from a candidate, no further approval is required. The dean expeditiously communicates the specific request and timeline to the candidate, copying the candidate’s chair and the relevant office in charge of unlocking the FWIS.
3. Once the FWIS is unlocked, only the specific updates communicated by the dean are allowed to be made.
 4. All correspondence regarding updates should be added to the candidate’s administrative file.
- ii. Types of updates that can be added.
 1. Changes reflecting substantive new developments. For example:
 - a. Changes to the CV reflecting substantive changes in the status of scholarly/creative works, such as an acceptance for publication of a work that was already included in the dossier as “in-progress” or “under review.” Appropriate documentation must accompany such changes.
 - b. Changes to the CV reflecting formal notification that the candidate has won an award or grant. Appropriate documentation must accompany such changes.
 2. Corrections to substantive errors in the portfolio that do NOT reflect new developments. This may include corrections such as
 - a. Adding *missing required documents*, such as annual evaluations, peer teaching evaluations, etc.
 - b. Adding *missing documentation* for something that is already mentioned elsewhere in the portfolio (e.g., in a CV, personal statement, letter, annual review).
 - c. Correcting a *substantive proofreading error* that is belatedly discovered in the CV, particularly regarding the status of a scholarly or creative work or grant.
 3. External review letters that arrive late. External review letters that were solicited through the official process and yet arrive after the deadline must still be added to the administration file by the administrator in charge of this process.
 - iii. Types of updates that cannot be added.

1. Updates to non-required elements of the portfolio, such as testimonials from students or colleagues collected outside official processes (i.e., outside of external review, annual review, peer teaching observation, etc.).

VII. Timeline for P&B actions for untenured faculty.

1. Tenure-track Assistant Professors (7-year tenure clock)

- i. During year 0: action for initial Appointment action (after hire, before start; appointed for 2 years)
- ii. During year 1: no P&B actions
- iii. During year 2: action for reappointment to a third year
- iv. During year 3: action for reappointment to a fourth year; pre-tenure comprehensive review by dean (spring);
- v. During year 4: action for reappointment to a fifth year
- vi. During year 5: action for reappointment to a sixth year
- vii. During year 6: begin external review process (fall; works sent in spring); action for reappointment to a seventh year
- viii. During year 7: actions for reappointment with Tenure and Promotion to Associate

2. CCE-track Lecturers (5-year CCE clock)

- i. During year 0: action for initial Appointment action (after hire, before start; appointed for 2 years)
- ii. During year 1: no P&B actions
- iii. During year 2: action for reappointment to a third year
- iv. During year 3: action for reappointment to a fourth year
- v. During year 4: action for reappointment to a fifth year
- vi. During year 5: action for reappointment with CCE status

VIII. This document will be reviewed for potential revision as needed and at least once every five years.