**GUIDELINES FOR PREPARATION OF APPLICATIONS/DOSSIERS**

**FOR REAPPOINTMENTS, TENURE, AND PROMOTION**

**2013-2014**

**OFFICE OF THE PROVOST**

**(June 2013)**

Introduction

The substantive contents of your Application / Dossier will be evaluated in the context of your own department’s collegial review document (DCRD). These guidelines are intended to provide specific information regarding the structure, format, and presentation of your documentation. They also provide instructions to department heads, deans and committee members regarding their role in the review process. These guidelines are to be used in conjunction with the tenure, promotion and reappointment procedures found in section 4.0 of the Faculty Handbook and, most importantly, with the DCRD. They are not intended to replace section 4.0 of the Faculty Handbook or the DCRD in any way. Instead, they serve to link the three processes (reappointment, tenure, and promotion) so that material preparation for reappointment becomes a cumulative process toward preparing the dossier for tenure and / or promotion. Candidates who prepare materials well for reappointment and update them annually will have little additional work when they prepare materials for tenure and / or promotion.

Note 1: To request permission to use previous department criteria please see section 4.04 D 8 of the Faculty Handbook. This request needs to be processed well in advance of the beginning of the TPR review process.

Note 2: Please see Section 4.07A3c in the Faculty Handbook for information concerning early tenure and early promotion.

Note 3: Please see APR 4 (at the website of the Office of the Provost) for the process of approval to extend the probationary period for tenure.

I. Preparation of Applications

A. General Guidelines for Applications (for candidates in 1st, 3rd, and 5th year of probation)

1. A candidate in the 1st, 3rd, or 5th year of his/her probationary period toward tenure is required to prepare an Application according to these guidelines.

2. The Application is composed of three components---a) the AA-12 form, b) each of the accumulated Annual Faculty Evaluation (AFE) statements from the Department Head (or Dean if candidate is a department head) and c) a copy of the Department Collegial Review Document. *(This applies to candidates who are not in their first, full year at Western).*

3. Candidates who are in **their first year at WCU** will only submit the AA-12 with a separate statement from the Department Head (regardless of whether they are in their 1st, 3rd, or 5th year toward tenure). The Department Head will use SAI data and other approved evaluative mechanisms in preparing this statement. This statement will be added to the application and provided to the candidate at least two weeks prior to submission to the departmental collegial review committee. The candidate may add a rebuttal to the DH statement prior to submission of the application to the departmental collegial review committee.

4. Candidates with prior service credit (from fixed-term or adjunct appointment at WCU) will include prior AFE statements. As appropriate, the Department Head should articulate how AFE standards in fixed term or adjunct reviews differed materially from tenure-track standards.

5. The department head shall ensure that the Application is prepared on schedule and according to these guidelines.

6. Following review by the departmental collegial review committee and completion of the AA-12, the departmental administrative assistant will prepare two copies of the candidate’s Application. The original and one copy shall be submitted to the college dean, and one copy shall be retained in the department. The Dean will indicate his/her decision, retain one copy and submit the original to the Provost’s Office. At the conclusion of the consideration cycle, the original signature file of the Candidate’s Application will be retained in the Office of the Provost and a copy of the updated AA-12 will be returned to the appropriate department head and dean for filing.

II. Preparation of Dossiers

1. General Guidelines for Dossiers (for candidates in 2nd and 4th year of probation, tenure, promotion, or administrative initiated review)
2. A candidate for reappointment, tenure, or promotion is required to prepare a dossier according to these guidelines and to submit the dossier according to the schedule provided by the Office of the Provost. The dossier should provide evidence of performance but should avoid excessive length or redundancy. The most effective dossiers are those in which candidates provide summaries and samples of their work. For example, committees find tables summarizing student assessment of instruction over time more helpful than large volumes of individual student responses. In addition, they appreciate being able to review selected samples of scholarly work rather than comprehensive collections. **To enhance readability, candidates should prepare the Application (see Part C) with 12-pt. font, one-inch margins, single spaced, and single sided.**
3. The dossier is composed of three distinct elements: (1) an Administrative Component comprising the AA-12(s) and the Department Collegial Review Document (DCRD); (2) the Candidate’s Narrative/Record; and (3) a set of appendices. Elements (1) and (2) are placed together in a manila folder, and **element (3) is presented in a two-inch three-ring binder.** (see attached checklist)
   1. When promotion and tenure occur in the same year, candidates shall prepare only one dossier; however, an additional AA-12 form needs to be completed for the second action. Should special circumstances require two sets of materials (e.g., joint appointment across two departments), the department head will notify the candidate.
   2. A candidate who reapplies for promotion must explain, at the beginning of the Candidate’s Statement (see part C.1 below), all material in the application which is new since the previous consideration.
4. The department head shall ensure that the candidate prepares the Dossier on schedule and according to these guidelines. When the department head is unfamiliar with an entry claimed by a candidate, s/he is expected to verify it. The department head will notify the candidate of any discrepancies and seek correction. If the department head and candidate are unable to resolve differences, each will write a memo explaining his/her position. The memos of discrepancy will be placed in the Administrative Component following the AA-12(s).
5. Once the dossier is submitted to the department head, the candidate has the right to amend it only with the department head’s consent or as provided by the university’s tenure, promotion, and reappointment guidelines. However, once the dossier is made available to the departmental collegial review committee, the candidate no longer has access to it. Should the status of any item listed in the dossier change substantially (e.g., a scholarly work originally listed as submitted is accepted), the information may be added to the dossier by the department head up until the first day of review of the College Collegial Review Committee. The Department Head or Dean may present or request presentation of additional material on the candidate’s behalf at collegial review events after this deadline.

Following review by the departmental collegial review committee and completion of the AA-12, the departmental administrative assistant will prepare two copies of (a) the Administrative Component and (b) the Candidate’s Narrative (not the appendices). The original and one copy of the folder shall be submitted to the college dean along with the appendices, and one copy of the folder shall be retained in the department. The Dean will retain one copy of the folder and submit the original to the Provost Office.

1. At the conclusion of the consideration cycle, the original signature file of the Administrative Component and Candidate’s Narrative will be retained in the Office of the Provost and a copy of the updated AA-12 will be returned to the appropriate department head and dean for filing.

B. The Administrative Component

1. The Administrative Component consists of the following elements: AA-12 Transmittal Form(s)—one per action and any memos of discrepancy---and the Department Collegial Review Document (DCRD) The DCRD needs to be page numbered. Page numbering restarts with page 1 (page x of y) for the Candidate’s Narrative/Record---see C below. **Be sure to use the most updated AA-12 form found on the website of the Office of the Provost.**
2. AA-12 Transmittal Form for current academic year. This is always the first element of the dossier. (See Section E for detailed instructions to complete the form.) **Note: When candidates apply for both promotion and tenure simultaneously, the department head must prepare two AA-12 forms, one for each personnel action.**
3. All completed A**A-12 Transmittal Forms from previous five years of academic appointment.**

C. The Candidate’s Narrative/Record

**NOTE: The information presented in items 2-7 should be objective. Evaluative statements should be placed in items 1 and8 (and 4 if needed). The full title of each section shall be included when preparing the application.**

1. Candidate’s Statement (5 pages maximum). This item is the candidate’s opportunity to make his or her case for the requested action. The statement should present citations of evidence from the candidate’s curriculum vitae, resume, or other sources that are specifically related to the person's quality and effectiveness of teaching, scholarship, service/engagement, and the candidate’s promise for sustained performance. As part of this narrative, the candidate must discuss how instruction has changed or developed in relation to his / her discipline. If appropriate, in lieu of traditional academic qualifications, summarize previous positions or past and/or current experiences that should be considered. Examples would include relevant positions in business or industry, professional certifications or licenses, noteworthy achievements in the performing arts, or other such nontraditional qualifications.
2. Progress Toward a Higher Degree. Candidates should complete this section if they hold less than the highest degree appropriate to their discipline. If this item is not applicable to the candidate, indicate N/A for item 2 and proceed to item3--[Do not change the numbering system of the items].
3. Teaching. Include the cumulative record at Western Carolina University for a maximum of five years. The full titles of items a. through c. below shall be included when preparing this section. Library Faculty should use this section to provide information about their responsibilities in the Quality and Effectiveness of Teaching section of the Library Criteria.
   1. Teaching loads: include a table or list of all courses and their enrollment taught by semester.
   2. Teaching assessment (1 page maximum): provide a summary of peer evaluations, student assessment of instruction, and other indices that have been used to measure effectiveness. An example template for a summary of SAI is provided toward the end of the guidelines (page 9).

Statement from SAI Policy and Procedure manual: All open-ended responses are viewable only by the specific faculty member and department head. Open-ended responses may be included in reappointment, tenure, promotion, and annual evaluation documents. The inclusion of open-ended responses is at the discretion of individual faculty. The open-ended questions were selected to provide **formative** information, i.e. be constructive in helping faculty to continue to improve teaching. Faculty may choose to use them as part of the **summative** evaluation, however, that is not the primary purpose.

* 1. Other information (1 page maximum): include a list of objective information specified in the departmental CRD to illustrate their teaching commitment and effectiveness (e.g., graduate students supervised, service learning projects, engagement activities, directing student research).

1. Scholarship (3 page narrative maximum; **include as needed**). The CV (Appendix B) will serve as the total cumulative record of scholarship for most candidates, particularly those engaged in Boyer Scholarship of Discovery. Those candidates with Boyer Discovery scholarship may not need to include this narrative section in their dossier. See section D of this guide for additional information on the CV.

In this narrative section, candidates engaging in non-traditional research or other Boyer scholarship categories may:

* clarify Boyer scholarship as defined by the DCRD.
* define terminology and special language related to the discipline.
* document non-traditional research/applied research in a format that is easily interpreted, and shows the results of external peer review—must have external peer review for activities to count as scholarship.
* be clear about how scholarship, that does not support the academic area he/she was hired to enhance, meets departmental criteria.
* clarify the relative significance of journals, performances and exhibits, etc, acceptance rates or impact of scholarship where feasible. (Committees above the department don’t often know the relative importance; candidates are encouraged to include this information within their dossiers).

1. Service. Candidates should list the cumulative record of their service/engagement activities in this section, in chronological sequence from most recent to most dated within each category:
   1. Service to the university, subdivided into departmental, college, and institution.
   2. Service to external constituencies, which may include engagement activities, delivering workshops, professional consulting, teaching professional continuing education courses, service to professional disciplines, etc.
   3. Service to students. Briefly summarize advisee load, work with student organizations, thesis/dissertation committees, etc.
2. Professional Development Activities. In this section candidates should list a sampling of those professional development experiences that are most pertinent to one’s position. Experiences include additional certifications, training, workshops, institutes, and continuing education programs that enhance one’s role as a faculty member. Professional development does not include attainment of advanced degrees unless the candidate has completed a degree in addition to the required terminal degree. Include dates of preparation, nature of training and provider in chronological sequence from most recent to the most dated.
3. Other Pertinent Information. If other information is pertinent to the candidacy but does not fit into sections 1 through 7, that information may be entered in this section. (Most candidates should enter N/A here.

D. The Appendices

All candidates will prepare a set of appendices contained in a two-inch three-ring notebook. These appendices supplement the Administrative Component and Candidate’s Narrative/Record, and the three components together form the candidate’s dossier. The notebook should be subdivided and labeled as shown below:

APPENDICES

Face Page: Candidate’s Name and Personnel Action

Appendix A. Departmental collegial review document (DCRD).

Appendix B. Vita or resume. Include cumulative professional record of education, professional employment, teaching, scholarship and service activities (see Section II.C. above for specific information to include). The CV should present the candidate’s scholarship and creative works, as defined by the DCRD, in chronological sequence from most recent to the most dated. All items should be clearly designated as refereed, not refereed, or non-traditionally refereed. Candidates should annotate the CV, when relevant, to indicate the percentage of contribution to collaborative projects.

Appendix C. AFE Statements. Include all AFE statements, as described in your DCRD, with rebuttals if any, since beginning the tenure track process or the last tenure or promotion action. If the **candidate is in their first year at Western**, with no prior AFEs, a statement from the Department Head is to be included. The Department Head will use SAI data and other approved evaluative mechanisms in preparing this statement. This statement will be provided to the candidate at least two weeks prior to submission to the departmental collegial review committee. The candidate may add a rebuttal to the DH statement prior to submission of the application to the departmental collegial review committee.

Appendix D. Results of peer review of teaching effectiveness. Include a copy or description, if appropriate, of the department’s protocols for peer review of teaching materials and peer observation. Include results of peer review for all years on tenure track. For other review events (i.e. promotion to professor), include results **for at least three years.**

Appendix E. Student assessment of instruction. This appendix must include university SAI data as mandated by DCRDs, and must be presented using the standard, comparative CourseEval report format (this report shows frequency response data for all questions). Candidates may include other student course evaluation data, such as narrative and / or departmental course evaluations, as concisely as possible. Every effort should be made to avoid excessive bulk.

Appendix F. Samples of teaching materials (include a table of contents as needed for this appendix). Include representative materials as specified in the departmental CRD, including syllabi, tests, exams, projects, assignments, special activities, and so forth. Organize information clearly according to each course. Candidates should strive to avoid excessive bulk.

Appendix G. Samples of scholarship and creative activities (include a table of contents as needed for this appendix). Include representative materials as specified in the departmental CRD. This appendix may include articles, recital programs, letters of acceptance, book covers, reports, etc.

Appendix H. Documentation of service and engagement (include a table of contents as needed for this appendix). Include representative materials to substantiate significant off-campus and professional service, as relevant.

**Optional**

Appendix I. Other: Any documentation the candidate wishes to provide to demonstrate effectiveness in any evaluation area.

**Note:** Review committees will not review more than the authorized materials unless a letter from the Dean warrants an exception.

E. Detailed Instructions for completing AA-12: Note that a copy of the AA-12 may be shared with the candidate to serve as the written feedback at each review level. It is the responsibility of the Department Head to share the written feedback from the Department Collegial Review Committee and the Department Head. It is the responsibility of the Dean to share the written feedback of the College Collegial Review Committee and the Dean. A letter is sent from the Provost indicating the recommendation and decision from the University Collegial Review Committee and the Provost. For tenure and promotion a letter is also sent from the Chancellor indicating his decision/recommendation to the Board of Trustees. A letter is then sent from the Chancellor indicating the Board of Trustees decision.

Place an "X" in the appropriate block at the top of the page to indicate the type of personnel action, i.e. reappointment, promotion, or tenure.

1. Candidate's Name and Department. Enter the candidate's full name, department and date.
2. Proposed Rank. This line is completed only for candidates for promotion. Enter the proposed rank of the candidate. Indicate “N/A” if the candidate is not applying for a promotion in rank.
3. Present Rank Enter the present academic rank of the candidate at WCU. Also indicate the year this rank became effective. All changes in rank become effective at the beginning off all semester the year after a candidate has been considered and received a favorable recommendation.
4. Previous WCU Rank(s).Enter each academic rank previously held at WCU by the candidate and the year each rank first became effective.
5. Academic Record. Enter each degree earned by the candidate. Indicate the name of each institution the candidate has attended; the degree earned, if applicable; the year the degree was earned as shown on the official transcript; and/or the years the candidate attended each institution. In the space for "Years Attended," show the actual years (example: 2000-2004), not the number of years.
6. Department Head’s Signature. Department head signs this block to attest to the following: “I have thoroughly reviewed the candidate’s materials and attest that the information submitted is accurate to the best of my knowledge.”

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| Items 1 through 6 should be completed prior to releasing dossier to departmental collegial review committee (CRC). |

1. Departmental Committee Recommendation and Votes. The secretary (selected by the DCRC) of the Department Collegial Review Committee (DCRC) records the date of the meeting, members in attendance, members absent, committee chair and committee votes on recommendation for the candidate. The total of the votes reported must equal the total number of members on the committee. An "absent" should be recorded for each member of the committee who was not present at the meeting at which the vote was taken. Where departmental guidelines allow proxy votes for faculty who miss the meeting, their votes shall be recorded as “yes” or “no.” An "abstain" should be recorded for each member of the committee eligible to vote who was present but who did not vote "yes" or "no." The presence of the non-voting committee chair shall be indicated in the "abstain" block by the letter "C" followed by the number of voting members of the committee who abstained. The vote shall be certified by the DCRC secretary’s signature.
2. Department Head Recommendation. Following consideration of the candidate by the departmental committee, the department head enters his or her recommendation for or against the reappointment, promotion, or tenure of the candidate, signs and dates the form. An "X" in the "Yes" block is a recommendation for reappointment, promotion, or tenure; and "X" in the "No" block is a recommendation against the action. In the space provided for comments, the department head states his or her recommendation. It is especially important that the department head deal specifically with any differences between his or her recommendation and the cumulative record of annual faculty evaluations and committee votes. If the department head's recommendation is a conditional one, the department head will state the condition precisely.
3. College Committee Recommendation and Votes. The secretary (selected by the CCRC) of the College Collegial Review Committee (CCRC) records the date of the meeting, members in attendance, members absent, committee chair and committee vote on the candidate. The total of the votes reported must equal the total number of members on the committee. An "absent" should be recorded for each member of the committee who was not present at the meeting at which the vote was taken. Where college bylaws allow proxy votes for faculty who miss the meeting, their votes shall be recorded as “yes” or “no.” An "abstain" should be recorded for each member of the committee eligible to vote who was present but who did not vote "yes" or "no." The presence of the non-voting committee chair (dean) shall be indicated in the "abstain" block by the letter "C" followed by the number of voting members of the committee who abstained. The vote shall be certified by the committee secretary’s signature.
4. Dean Recommendation. Following consideration of the candidate by the college committee, the dean enters his or her recommendation for or against the reappointment, promotion, or tenure of the candidate, signs and dates the form. An "X" in the "Yes" block is a recommendation for reappointment, promotion, or tenure; and "X" in the "No" block is a recommendation against the action. In the space provided for comments, the dean states his or her recommendation. It is especially important that the dean deal specifically with any differences between his or her recommendation and the cumulative record of annual faculty evaluations and committee votes.
5. University Committee Recommendation and Votes. The recommendation and vote of the University Collegial Review Committee (UCRC) are recorded and signed by the Office of the Provost Administrative Assistant.
6. Provost Decision/Recommendation. The decision/recommendation of the Provost is recorded. The Provost will sign and date the form.
7. Chancellor’s Decision/Recommendation. The Chancellor’s decision/ recommendation concerning tenure and promotion is recorded by the Office of the Provost and signed by the Provost Office administrative assistant assigned to support the Tenure and Promotion process.
8. Board of Trustees Decision. The Board of Trustees decision on tenure and promotion is recorded by the Office of the Provost and signed by the Provost Office administrative assistant assigned to support the Tenure and Promotion process.

Example template for a summary of SAI data (Section II.C.3.b., page 4).

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Summary of Student Assessment of Instruction | | | | | | |
|  |  |  |  |  |  |  |
|  | Spring 2012 | Fall 2011 | Spring 2011 | Fall 2010 | Spring 2010 | Fall 2009 |
| Course 100 |  |  | # | # |  | # |
| Course 150 |  | # |  |  |  |  |
| Course 200 |  | # |  | # |  | # |
| Course 300 | # | # | # | # | # | # |
| Course 350 |  |  |  | # | # |  |
| Course 400 |  |  |  |  | # |  |
| Course 500 |  | # |  |  |  |  |
| Course 600 |  |  |  |  | # |  |

**APPLICATION Checklist for Submitting Files to the Provost Office**

Candidate File Label: Last name, First name Reappointment year

Department, College

Application File Contents (the original signature file)

\_\_\_\_\_ AA-12 for reappointment action

\_\_\_\_\_ All AFE letters attached (or Department Head statement if candidate’s first year at WCU)

\_\_\_\_\_ copy of the Department Collegial Review Document

At the end of the review process the original signature file will remain in the Office of the Provost and a copy of the completed AA-12 will be returned to the Department Head and Dean.

(Dossier Checklist on following page)

**DOSSIER Checklist for Submitting Files and Notebooks to the Provost Office**

**Administrative Component and the Narrative/Record**

Candidate File Label: Last name, First name Reappointment/Tenure/Promotion (as applicable)

Department, College

File and Notebook Contents (the original signature file submitted to the Office of the Provost---copies remain in the department and dean offices.)

\_\_\_\_\_ AA-12 for each action (in file)

\_\_\_\_\_ AA-12s from previous five years of appointment (in file)

\_\_\_\_\_ Department Collegial Review Document (in file)

\_\_\_\_\_ Candidate’s Narrative/Record (in file)

\_\_\_\_\_ Appendices (in Notebook --see below for specifications)

At the end of the review process the original signature file will remain in the Office of the Provost and a copy of the completed AA-12 will be returned to the Department Head and Dean.

**Appendices Preparation (one 2 inch—3 ring notebook)**

\_\_\_\_\_ Name, Department, College, and Action(s) to be taken should be on the front of the notebook

for example: Dr. Jane Doe

Learning Department

College of Higher Education

2nd Year Reappointment

\_\_\_\_\_ Name, Department, College, and Action (s) to be taken should be on spine of the notebook.

**Notebook Contents (with dividers labeled)**

\_\_\_\_\_ Appendix A: Department Collegial Review Document

\_\_\_\_\_ Appendix B: Curriculum Vitae (CV)

\_\_\_\_\_ Appendix C: AFE statements

\_\_\_\_\_ Appendix D: Results of Peer Review of Teaching Effectiveness

\_\_\_\_\_ Appendix E: Student Assessment of Instruction

\_\_\_\_\_ Appendix F: Samples of Teaching Materials

\_\_\_\_\_ Appendix G: Samples of Scholarship and Creative Activities

\_\_\_\_\_ Appendix H: Documentation of Service and Engagement

\_\_\_\_\_ Appendix I: Other

1. Files and Notebooks\* should be forwarded to Office of the Provost on the specified due date.

2. After action is taken by the Board of Trustees the notebooks and files (with copies of completed AA-12s) will be returned to the respective Dean’s offices. Colleges should abide by the document retention guidelines provided by GA. Be aware that notebooks and files of pending appeals will not be returned until after the appeals process is completed.

3. The original AA-12s and candidate’s application will be maintained in the Office of the Provost.

\*For reappointment----all files are submitted to the Office of the Provost. Notebooks of only the candidates that have received negative recommendations at any level should be forwarded to the Office of the Provost.