***Procedures for Faculty Promotions***

***Department of Biomedical Sciences***
***Department of Environmental Health Sciences***
***School of Public Health, University at Albany***

The University has established the following hard deadlines for submission of cases to the Council on Promotions and Continuing Appointment, which will be strictly adhered to. If dossiers do not arrive at the University by these dates, candidates will not be considered for tenure or promotion.

February 1: All tenure cases
March 1: All promotion cases

In order to meet the University deadlines, candidates must adhere to the following **department/school** deadlines:

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| March 1 | Notify Department of intent to apply for promotion |
| April 1 | Submit complete package to Department Office |
| October 1 | Completion of Department Personnel Committee review |
| November 1 | Completion of Department Faculty Review |
| January 15 | Completion of School of Public Health Personnel Committee review |

Candidates seeking promotion are responsible for providing all of the following material, in the required format, to the department office by April 1:

1) Letter to the department chair requesting promotion.

2) Current CV that **MUST** adhere to the format of the sample CV included as Appendix A. The candidate is responsible for providing a properly formatted CV with all of the required information. The promotion will not be processed by the department unless the CV includes all of the required information and is properly formatted. Specifically, the CV must include the following:

    a) Courses taught, listed individually by year and including the number of lectures given, role as director or lecturer of the course, and number of students enrolled in the course.
    b) List of trainees advised, mentored or supervised. Identify whether the trainee is a postdoctoral trainee, graduate student or undergraduate student. If a graduate student, specify whether they are Ph.D., MS, MPH, etc.
    c) Committees served on, indicating year served, and role as chair or member.
    d) Complete history of funding. This must include current and pending grants, completed grants, and grants submitted but not funded.
    e) Provide a key to identify first or corresponding author publications in the CV.
    f) CV must be signed and dated.

3) A statement of major research themes and future plans, teaching philosophy, and service in detail. This is an opportunity for the candidate to promote accomplishments. It is not atypical in successful applications before the University Council for each of these sections to be 2-3 pages long.

   The statement on teaching should be a detailed discussion of not only your formal teaching but also more informal instruction that occurs in the laboratory and through research meetings and journal clubs. This section should include a statement of your role in and philosophy about teaching in a research environment.

   The statement on service should include information concerning service to the department, School of Public Health, University, and community. Community service includes work with schools or other organizations that use your professional expertise. This statement should also include service to the Wadsworth Center since this is a contribution to the intellectual and research environment for students.

   The research statement should discuss current research agenda and trajectory for the future.

   *Note: Refer to Appendix B for information on writing your personal statement.*

4) Provide one (1) copy of every publication. This material should be provided electronically on a CD.

5) Primary teaching material - course syllabi, lecture notes, reading lists, handouts, exam questions, etc. This material should be provided electronically on a CD.

6) Candidates must **NOT** provide a list of references. University at Albany Administrative Procedures for Preparation of Recommendations for Promotions and Continuing Appointment (2002) states the following:

   > Number of Consultants – There is no minimum number of letters that must be solicited for teaching or service. In the case of reviews of the candidate's research and scholarship, to provide a full and fair basis for judgement, each file must contain at least four letters from qualified objective reviewers. Reviews cannot be from persons who have a close personal relationship to the candidate (i.e., recent colleagues, research collaborators, current or former students, mentors, thesis or postdoctoral advisors, co-authors, and the like must be avoided). Additional letters may be included, but the association with the candidate must be explicitly identified, and these letters are not to be counted in meeting the minimum requirement of four, independent external reviews.
   >
   > Selection of Consultants – Candidates cannot be shown a list of potential consultants. Prior to the selection of consultants, the candidate may identify potential referees who for personal reasons ought not be consulted; otherwise the <u>candidate must not be involved in selecting external reviewers</u>. Citation indices should not be used as the sole source of names of prospective consultants. If a candidate's area of research is so specialized that it is not possible to obtain a complete set of reviews from persons without prior ties to the

candidate, then at least a majority should be from the general discipline and without prior ties to the candidate. Prior effort should also be made by telephone or e-mail to confirm that a proposed consultant does not have a prior association with the candidate that would compromise his/her ability to give an objective review. The department (or school) must certify the independence of each reviewer – i.e., the basis for judgement that s/he is detached from the candidate and in a position to deliver an objective review.

The file should contain a detailed statement that describes how the consultants were selected and why they were selected. Please identify consultant who have written an evaluation letter for a previous personnel action on behalf of the candidate. For evaluation of the candidate's research, each consultant's standing in the field should be documented in an accompanying vita or extended biography. It is also strongly urged that academic consultants hold appropriate academic rank, be currently active in research, be selected from among the leaders in the candidate's area of specialization, be associated with academic programs of high quality, and be familiar with the performance standards and norms for promotion in U.S. academic institutions. In certain areas, it may be appropriate to include letters from some consultants who are professional practitioners (e.g. government officials) in a position to evaluate the quality and impact of a candidate's contributions in other setting. These consultants should be carefully selected with a view towards their special knowledge of the context and information needs of non-academic institutions (pp 10-11).

Once the package is submitted to the department, an ad hoc review committee will be appointed, whose responsibilities are as follows:

1) Develop list of 6-8 outside referees. The committee should contact the referees **in advance** to verify willingness to write a letter of evaluation. The list of names should be forwarded to the department office, where the letters will be sent out under the signature of the department chair (Appendix C). The committee must provide the department with a description of the process used to select the referees.

2) Solicit, in writing, (solicitation letter will be included in promotion file - see Appendix D for sample letter) a minimum of two letters of peer evaluation for teaching.

3) Solicit, in writing, a minimum of two letters of peer evaluation for service (department, school, university, community, international, etc.). See Appendix E for sample letter.

   *Note: Reference letters can be submitted electronically, but must be signed and on institutional letterhead.*

4) Provide a list of the top scholarly journals in the candidate's field of research.

The department office compiles the dossier and provides the following information:

- ► Student evaluations – summary and raw data
- ► Citation index

- Summary of faculty composition

Once the package is complete, it is then forwarded to the department personnel committee for consideration before going to the general faculty for a vote. The department chair provides a letter of recommendation before forwarding the package to the School of Public Health Personnel Committee. The SPH Personnel Committee provides a recommendation and forwards the package to the Dean. The Dean provides a recommendation and forwards the package to the University Council on Promotions and Continuing Appointments for final review.

## APPENDIX A

## SAMPLE CURRICULUM VITAE

# APPENDIX B

## Writing Personal Statements[1]

Personal statements prepared for promotion and tenure reviews provide an important opportunity for faculty members to reflect on the contributions they make to their students, the literature of their field, and their profession. Personal statements are also an important assessment tool that can be used by faculty promotion and tenure review committees and administrators in evaluating faculty performance.

Variations in personal statements for teaching, research, [2] and service will exist as a result of differences in faculty assignments. The content included in one faculty member's personal statement might not apply to another faculty member's statement and would be omitted. Examples of content that might be omitted include curriculum development, using teaching to enhance research, or using service to enhance research. The content organization of each statement should follow the order presented below.

*Potential Content for Teaching Statements*

- Fostering Student Achievement
  - How your philosophy of, methods of, or assumptions about teaching is congruent with the typical needs of your students.
  - How you foster student achievement by balancing high standards for performance with appropriate levels of support.
- Course Content
  - How your course content has contributed to the attainment of knowledge and skills needed by your students.
  - How you ensure that your course content, including instructional resources that you have developed, is congruent with current knowledge and professional practice.
- Course Development[3]
  - How your development of courses has contributed to the attainment of knowledge and skills needed by your students.

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[1] Prepared by James P. Sampson, Jr., David F. Foulk, and Marcy P. Driscoll, College of Education, Florida State University.

[2] While faculty assignments are often described in terms of teaching, research, and service, the term "research" does not reflect the work of all faculty members in a graduate research university. In the personal statement, the term "Research" can be replaced by "Original Creative Work" which includes contributions such as novels and novellas, short stories, poems, scripts, screenplays, musical compositions, choreography, performances, production and design for performances, visual art, fashion design, edited works (books, magazines, musical compositions, performances, and historical documents), Internet Web site development, computer software development, and inventions.

[3] **Course development** refers to creating a new course or making substantive revisions, such as developing a distance learning component or Web-based learning resources.

- Curriculum Development[4]
    - How your development of specializations, majors, distance learning programs, certificate programs, or degree programs have contributed to the attainment of the knowledge and skills needed by your students.
- Mentoring and Academic Advisement of Students
    - How your work in mentoring and academic advising contributes to your students professional identity and the development of skills in research and practice.
- Using Research and Service to Enhance Teaching
    - How you have used your research to improve your instruction (courses, directed individual study, and supervised research).
    - How you have involved students in your research.
    - How you used your professional association work to keep your courses up-to-date with current knowledge and practice.
- Additional Evidence on Teaching
    - Add any additional evidence as appropriate.

*Potential Content for Statements on Research/Original Creative Work*

- Quality of your Research/Original Creative Work
    - How your strategy for conducting research or your approach to original creative work contributes to the quality of your efforts.
- Programmatic Nature of your Research/Original Creative Work [5]
    - How your individual research projects contributed to your program of research, or how individual projects contributed to the focus of your original creative work.
- Sustainability of your Research/Original Creative Work
    - How your research shows promise for ongoing publication and external research funding.
- Productivity in Research/Original Creative Work
    - How the strategic decisions you made on publishing and presenting your work furthered your program of research/focus of original creative efforts.

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[4] **Curriculum development** includes designing new courses, distance learning programs, certificate programs, majors, and degree programs. Curriculum development does not include the normal ongoing development of an existing course.

[5] Having one or two clear and consistent programs of research, or foci of original creative work, makes it more likely that faculty members will achieve their goals and make substantive contributions to their field. Programmatic research involves a systematic investigation of related elements of a research topic. The synergy inherent to programmatic research helps faculty members gain insights and specialized expertise that would not be possible if their research was conducted on a variety of unrelated topics. Programmatic research builds on the prior research of faculty members, as well as students and other researchers. Programmatic research also provides greater visibility for a faculty member as other researchers note the consistent contributions of the faculty member in publications and conference presentations. Similar advantages exist for having a thematic focus for original creative work. However, a program of research or focus of original creative work should not be restrictive. Serendipity resulting from new funding options, technology, or other developments may provide new opportunities that should not be ignored.

- Using Teaching and Service to Enhance Research/Original Creative Work
    - How your class discussions have been used to explore potential questions for your own research/original creative work.
    - How your service to professional associations has provided opportunities to further your program of research/focus of original creative work.
- Additional Evidence on Research/Original Creative Work
    - Add any additional evidence as appropriate.

*Potential Content for Service Statements*

- Nature of your Service to the Program, Department, School, College, and University
    - How your service contributions relate to ongoing or emerging needs of the institution.
    - For senior faculty, what efforts you have made to mentor tenure-earning faculty.
- Nature of your Service to the Profession
    - How your service contributions relate to ongoing or emerging needs of the profession.
- Nature of your Service to Society
    - How your work contributed to meeting needs identified in your community, state, nation, and other countries.
- Using Teaching and Research to Enhance Service
    - How your teaching has contributed to the provision of continuing professional development offerings.
    - How your research expertise has contributed to the work of your professional organization.
    - How your research expertise has contributed to being an editorial board member for a refereed journal or a Federal grant review committee.
    - How your research expertise has contributed to the work of your program, department, school, college, and university.
- Additional Evidence on Service
    - Add any additional evidence as appropriate.

## APPENDIX C

## SAMPLE EXTERNAL REFERENCE REQUEST

DATE

Dear Dr. :

Thank you for agreeing to provide a letter of evaluation for Dr. XX. Dr. XX is being considered for promotion from Assistant Professor to Associate Professor in the Department of Biomedical Sciences, School of Public Health, University at Albany. Dr. XX's appointment at the University is in addition to his position as a Research Scientist in the New York State Department of Health. Although Dr. XX's primary appointment is in the Department of Health, his part-time appointment at the University at Albany is subject to review like that of any faculty member. The opinion of scholars of high standing in other institutions is an important part of the review process at all levels – Department, School, and University. You have been recommended as an outside reviewer who can provide us with a considered assessment of Dr. XX's achievements and stature in the national and international scientific community.

Please comment on Dr. XX's scholarly achievements using the norms for promotion from Assistant Professor to Associate Professor. Please evaluate the quality and quantity of Dr. XX's scholarly work, the quality of the journals in which he has published, the significance and impact his work has had in the field, and his professional reputation. Does his scholarship compare to that of members of your own department who have received similar promotions? Be sure to state explicitly in your evaluation whether Dr. XX would, in your opinion, be qualified for promotion to the rank of Associate Professor at your institution. A copy of Dr. XX's curriculum vitae, statement on research, teaching, and service, and a selection of publications is enclosed to assist your review. Please note that your letter will be held confidential unless otherwise indicated.

I would also ask that you comment on your relationship to and past interactions with Dr. XX. The review process requires that recommendations come from referees who are unbiased and at "arms length" from the candidate.

Finally, I am also asking that you include a copy of your curriculum vitae. Although this may seem peculiar, the University requires this biographical information from all outside reviewers. Your curriculum vitae will be used by the University-level review committee to appreciate your position and accomplishments.

I would appreciate receiving your evaluation at your earliest convenience, but not later than September 2, 2010. If you have any questions, please do not hesitate to contact me at 518-473-6078.

Sincerely,

Department Chair

Encl.

## APPENDIX D

## SAMPLE PEER TEACHING EVALUTION REQUEST

DATE

Dear Dr.

Dr. XX is being considered for promotion from Assistant Professor to Associate Professor in the Department of Biomedical Sciences, School of Public Health, University at Albany.

In addition to scholarship, candidates for promotion are evaluated on the quality and quantity of their teaching contributions. Dr. XX has participated in BMS 601: Introduction to Biomedical Sciences. As course director, I would greatly appreciate your evaluation of Dr. XX's contributions to this course.

Please respond at your earliest convenience, but not later October 14, 2009. Thank you very much for your assistance.

Sincerely,

## APPENDIX E

## SAMPLE SERVICE EVALUATION REQUEST

DATE

Dear Dr.

Dr. XX is being considered for promotion to rank of Associate Professor in the Department of Biomedical Sciences, School of Public Health, University at Albany.

In addition to scholarship, candidates for promotion are evaluated on the quality and quantity of their service contributions to the University, the profession and the community at large. Dr. XX chaired the Department of Biomedical Sciences Recruitment Committee from 2005-2008 and served on the committee as a member in 2009. As a member of the committee during his time as chair, and as chair of the BMS Recruitment committee in 2009, I would greatly appreciate your evaluation of Dr. XX's contributions.

Please respond at your earliest convenience, but not later than October 15, 2009. Thank you very much for your assistance.

Sincerely,

## APPENDIX F

## SAMPLE FORMER STUDENT EVALUATION REQUEST

DATE

Dear

Dr. XX is being considered for promotion from Assistant Professor to Associate Professor in the Department of Biomedical Sciences, School of Public Health, University at Albany. The faculty promotion review process requires input from teaching colleagues, current and/or former students and others. As a former graduate student, your assistance is requested in evaluating Dr. XX's effectiveness as a teacher and/or mentor at the graduate level.

Receipt of your written comments is requested as soon as possible, but not later than October 28, 2009. Your letter will be kept confidential according to University policy.

Thank you in advance for your assistance.

Sincerely,