

## Guide to Candidate Dossier Preparation for Promotion/Tenure

This document provides guidance to candidates for tenure and/or promotion as they prepare their dossiers for consideration. In addition, this document describes the approach to be used by department heads to obtain additional information about the applicant's contributions to his/her field of study via external reviews (see Division 4). The promotion/tenure dossier will contain the documents listed below neatly compiled within a three ring binder, with the candidate's name and department on the outside cover, and with dividers labeled as Division 1, Division 2, Division 3, Division 4 and Division 5 corresponding to the divisions and contents described below. Candidates are to refer to their Departmental Expectations documents in preparing the dossier. The dossier will be submitted to the candidate's immediate supervisor no later than October 5<sup>th</sup>. The Addendum addresses the situation in which the candidate is a department chair, head or institute director. Please refer to the COHE agreement for additional information about the procedures for tenure and promotion recommendations.

**Division 1.** The candidate's **Letter of Transmittal** indicating purpose of dossier, and clearly describing how the candidate has fulfilled BOR/COHE Agreement criteria (performance of teaching and advising, research and scholarly activities, service, time in rank, etc.) and warrants consideration for promotion/tenure. The candidate must also include a signed statement that he/she agrees that materials in Divisions 1-3 and examples of teaching, relevant research, scholarly or creative capabilities will be made available to external evaluators as part of the evaluation process.

### Division 2. Current curriculum vitae

**Division 3. Summary Information** with clearly labeled tabs 1-8 corresponding to the sections indicated below:

**Section 1. Background information:**

Name:  
 Department:  
 Date:  
 Academic rank and date granted:

**Section 2. Purpose (check all that apply):**

- a. Promotion  
     From Assistant Professor to Associate Professor \_\_\_\_\_  
     From Associate Professor to Full Professor \_\_\_\_\_
- b. Tenure \_\_\_\_\_
- c. Other (Please explain.)

**Section 3. Educational and Professional Background:**

Degrees in reverse chronological order:  
 Additional academic or professional education:  
 Professional experience (e.g., previous non-academic experience, sabbatical or consulting work, etc.):  
 Professional licenses and certifications:

**Arrange for Section 4 through 8 below in reverse chronological order.**

**Section 4. Effort Percentages:** List annual effort percentages of teaching and advising, research, scholarship and creative activity, and service during the relevant period of this application

pursuant to Section 11.1(4) of the BOR/COHE agreement. Percentages from relevant Appendix F forms must be listed in a table indicating academic year. For example:

| <u>Year</u> | <u>Teaching and advising</u> | <u>Research, scholarship, creative activity</u> | <u>Service</u> |
|-------------|------------------------------|---|----------------|
| 2007        | 60%                          | 30%   | 10%            |
| 2006        | 50%                          | 40%   | 10%            |

**Section 5. Teaching and Advising:** See Appendix G of the BOR-COHE Agreement and the SDSM&T Statement of Institutional Priorities for Faculty Performance adopted January 2006 for examples of relevant contributions to teaching and advising.

- a. **Provide a narrative** that provides a detailed description of contributions to teaching. Include information about delivery methods (e.g., synchronous or asynchronous distance delivery, hybrid, team-teaching, lab courses, courses with built-in labs, courses with projects, service learning projects, etc.) as well as course design, pedagogical methods and continuous improvement efforts. Include a summary table of courses and relevant evaluations pertaining to teaching (from students, peers, chair, Small Group Instructional Diagnosis, etc.). For example:

**Table 5.1 Courses taught**

| <b>Year/<br/>Course/<br/>Semester</b> | <b>Course Title/Credit Hours</b>                                  | <b># Students</b> | <b>Raw (Adj.)<br/>IDEA<br/>scores for<br/>“Excellent<br/>Teacher”<br/>(5 pt scale)</b> | <b>Raw (Adj.)<br/>IDEA<br/>scores for<br/>“Excellent<br/>Course”<br/>(5 pt scale)</b> |
|---------------------------------------|---|-------------------|--|---|
| <b>2010</b>                           |   |                   |  |   |
| CEE xxx                               | Introduction to X Design: (new preparation, new course for SDSMT) | 8                 | 3.5 (3.0)  | 4.0 (3.9)   |
| EM xxx                                | Statics   | 30                | 4.0 (4.2)  | 4.5 (4.4)   |
| <b>2009</b>                           |   |                   |  |   |
| CEE xxx                               | Introduction to X Design: (new preparation, new course for SDSMT) | 8                 | 3.5 (3.0)  | 4.0 (3.9)   |
| EM xxx                                | Statics   | 30                | 4.0 (3.6)  | 4.5 (4.2)   |

- b. Submit copies of IDEA or other institutionally-sanctioned student opinion survey (and others, if you choose) for all courses taught at SDSM&T relevant to this promotion and/or tenure timeframe. The inclusion of individual student comments is optional.
- c. Provide a table describing any other teaching activities.

**Table 5.2 Additional teaching, teaching improvement, or related activities**

| <b>Date</b>            | <b>Course/Activity (teaching workshops, other teaching-related activities, guest lectures, etc.)</b> | <b>Contributions</b>   |
|------------------------|--|--|
| <b>2010</b>            |  |  |
| 9/30/10                | GE 130, Intro to Engineering   | Guest lecture on mechanical engineering profession, 3 sessions   |
| 12/8/10                | CEE 316, Engineering and Construction Materials  | Guest lecture on sustainable materials   |
| Fall 2010, Spring 2011 | Senior design team advisor (Wilderness Lodge project)  | Met with students, answered emails, helped students find reference materials for design, attended presentations, and |

|             |  |                             |
|-------------|--|-----------------------------|
|             |  | read and evaluated reports. |
| <b>2009</b> |  |                             |
|             |  |                             |

- d. List significant contributions to **academic advisement**, such as undergraduate advising, non-thesis MS student advising, prospective student visits, coordinating and/or advising students in minors or certificates, MS/PhD committee memberships, etc. Provide a semester-by-semester listing of numbers of undergraduate advisees.

Note: MS or PhD thesis student research or project supervision may be presented in Section 6.

**Section 6. Research, Scholarship, or Creative Activity:** Describe significant contributions to research, scholarship or creative activity. (See Appendix G of the BOR-COHE Agreement and the SDSM&T Statement of Institutional Priorities for Faculty Performance adopted January 2006 for examples of relevant contributions in this area.)

Provide separate lists of peer-reviewed (i.e., refereed) journal articles, peer reviewed conference papers, non-peer reviewed publications, and other published materials such as books, reports, book chapters, technical reports, volumes edited, patents granted or filed, software developed, etc. Provide complete bibliographic information for each entry. Note: tables and examples are not all-inclusive; provide additional information about other relevant scholarly activities as appropriate.

**Table 6.1 Undergraduate research or project supervision or co-supervision; other scholarly activity with undergraduates**

| Student Name | Research project title | Dates |
|--------------|------------------------|-------|
|              |                        |       |
|              |                        |       |

**Table 6.2 MS thesis research supervision or co-supervision (note if advisor or co-advisor)**

| Student Name | Thesis Title | Dates |
|--------------|--------------|-------|
|              |              |       |
|              |              |       |

**Table 6.3 PhD dissertation research supervision or co-supervision (note if advisor or co-advisor)**

| Student Name | Dissertation Title | Dates |
|--------------|--------------------|-------|
|              |                    |       |
|              |                    |       |

**Table 6.4 Non-thesis MS student research or project supervision or co-supervision; other scholarly activity with graduate students**

| Student Name | Project Title | Dates       |
|--------------|---------------|-------------|
|              |               | 5/09 – 8/10 |

**Table 6.5 List of funded proposals**

| Agency | Title                      | Amount*                | Duration                      | PI(s)                  |
|--------|----------------------------|------------------------|-------------------------------|------------------------|
| USGS   | Investigation of ...       | \$44,739<br>(\$20,000) | Mar. 1 2011-<br>Feb. 28, 2012 | Smith, A.,<br>B. Smith |
| USGS   | Analysis of engineered ... | \$60,417<br>(\$10,000) | Mar. 1 2011-<br>Feb. 28, 2012 | B. Smith,<br>A. Smith  |

\*List faculty member's portion of the budget if not sole PI in parentheses. First author in list is the principal investigator; others are co-principal investigators unless otherwise noted. Note senior personnel status.

**Table 6.6 List of students supported by funded proposals or other resources provided by the candidate**

| Student Name | Proposal title and funding agency | Dates | Total amount of student support |
|--------------|-----------------------------------|-------|---------------------------------|
|              |                                   |       |                                 |
|              |                                   |       |                                 |

**List of pre-proposals or white papers (note if accepted or declined)**

**List of unfunded proposals**

**List of peer-reviewed journal papers (note if accepted, published or in press)**

1. Smith, J.R. and A. Smith (2010). Introduction to civil engineering, *J. of Civil Engineering*, 3(10):340-347.

**List of peer-reviewed conference papers (note if accepted, published or in press)**

1. Smith, J.R. and A. Smith (2010). Introduction to engineering, *Proceedings of the Engineering Meeting*, Any city, SD, April 1-2, 2010, pgs.

**List of books and book chapters**

- 1.

**List of non-peer reviewed papers (note if accepted, published or in press)**

1. Smith, J.R. and A. Smith (2010). Introduction to civil engineering, *Geostrata*, (accepted Jan. 2010).

**List of other published works (if accepted, published or in press)**

- 1.

**List of presentations**

1. "Pervious concrete," Smith, K. and A. Smith, American Association for Concrete Research Conference, Portland, Oregon. "Pervious concrete," Smith, K. and A. Smith, American

Association for Concrete Research Conference, Portland, Oregon.

### **List of all of other scholarly, research or creative activities**

**Section 7. Service:** Provide a narrative elaborating on especially significant service activities. (See Appendix G of the BOR-COHE Agreement and the SDSMT Statement of Institutional Priorities for Faculty Performance adopted January 2006 for examples of relevant contributions in these areas.)

- a. List significant contributions of service to the university (committees, task forces, and other relevant campus service). Note leadership roles.
- b. List significant contributions of service to the discipline or profession. Note leadership roles.
- c. List significant contributions of service to the community-at-large. Note leadership roles.

**Section 8. Honors and Awards:** List relevant honors and awards received.

### **Division 4: External and SDSM&T reviews, and student recommendation letters**

The candidate may provide the department head/chair with lists that contains the names, addresses, telephone numbers, and e-mail addresses of proposed external reviewers, SDSM&T faculty, staff, and/or research center/lab directors, and current or former students. The candidate may also provide lists of names of potential reviewers who they would not want to be invited to provide a review. These lists will be included in the dossier as part of the candidate's application in Division 4. Note that the external and campus reviewers (but not students) will be asked to critically assess the accomplishments of the candidate, and the prospect for continued, high-level performance. "Review letters" are not, therefore, to be confused with "letters of recommendation" nor with "letters of reference."

The department head/chair will solicit letters from three people from each category (external, SDSM&T faculty/staff, and students) at his/her discretion no later than October 15th. In the interest of confidentiality to the reviewers, the department head/chair will not reveal to the candidate the names of the individuals selected. The department head/chair will collect the letters, which will be kept strictly confidential, to be viewed by the department head/chair, the P&T Committee, Provost, and President. The department head/chair will include these letters in the dossier as received by his/her office. All external **and SDSM&T** reviewer letters and **student** reference letters must be received by the department head by November 15th to be included in the candidate's dossier.

The selection of external reviewers shall be to obtain independent and impartial judgments of the accomplishments of the candidate and the prospect for continued, high-level performance. No more than one of the external reviewers selected shall have a formal connection (collaborator, former advisor or graduate student, employer/former employer, etc.) with the candidate.

All external and SDSM&T reviewers (except students) will be sent relevant documentation concerning the candidate. An electronic copy of Divisions 1-3 as described above (excluding copies of the student surveys, and excluding the list of potential reviewers and students) will be forwarded by the department head/chair to three external and three SDSM&T reviewers. In addition, the candidate may provide the department head/chair with three to five examples of his/her teaching, relevant research, scholarly or creative capabilities for review by the external reviewers and SDSM&T **reviewers**. These examples may include published papers, book chapters, software, patents, teaching materials, or other relevant examples. It is the candidate's

responsibility to provide either electronic copies of these materials, or six sets of paper copies of the materials, to be mailed to the external reviewers and SDSM&T reviewers. If original documents are submitted, the candidate is advised that, although the head/chair will request their return from the reviewers, the head/chair is not responsible for lost or unreturned materials.

All letters received by the department head by November 15<sup>th</sup> and included in the candidate’s dossier will be read and considered by the Tenure and Promotion committee. Late submissions will not be considered if they are received after the Tenure and Promotion committee begins its review of the candidates’ materials.

**Input by department faculty of rank**

As part of the P&T process, the faculty of rank in the candidate’s department shall be offered the opportunity to review the candidate’s dossier and provide input to the P&T committee. “Faculty of rank” is defined as faculty of equivalent or higher rank relative to the promotion being applied for, excluding the department head. The input shall be provided in the form of a single letter to the department head/chair, composed and signed by the eligible faculty members who reviewed the dossier. The department head/chair is responsible for soliciting this letter from the eligible faculty by whatever process is appropriate to that department, and for forwarding the letter to the Provost’s office by November 15<sup>th</sup>.

**Division 5: Appendices**

The following documents of this division will be placed in a clearly labeled three-ring binder or folders:

- A. (Required) Copies of all signed annual evaluation (Appendix F) forms from the time of the initial appointment or from the time of the last promotion at SDSM&T. These annual evaluations must be arranged in reverse chronological order. In addition, include all Professional Development Plans relevant to the timeframe of this tenure and/or promotion request.

The following summary table must be included at the beginning of this section:

| Year | Teaching/Advising |                    | Research, scholarship or creative activity |                      | Service  |                    |
|------|-------------------|--------------------|--|----------------------|----------|--------------------|
|      | % Effort          | Evaluation         | % Effort                                   | Evaluation           | % Effort | Evaluation         |
| 2010 | 30%               | Meets expectations | 60%  | Exceeds expectations | 10%      | Meets expectations |
|      |                   |                    |  |                      |          |                    |

- B. (Optional) Copies of representative journal publications, papers, proceedings, books, chapters in books, etc., with distinction made between refereed and non-refereed items, to supplement Section 6 of the Promotion and/or Tenure Submission Form.
- C. (Optional) Any pertinent information related to the areas of teaching and advising, scholarly activity, and service may be included.

**Addendum:** In the event the eligible candidate is a department head/chair, the Provost shall fulfill the functions specified in Division 4 for the Department head/chair. The candidate will notify the Provost of the intent to apply for promotion/tenure no later than October 5<sup>th</sup>. The candidate will submit his/her dossier directly to the Provost no later than November 5<sup>th</sup> for inclusion of all collected letters and for action by the P & T committee.