

**Policy for the evaluation of faculty for the award of indefinite tenure
with guidelines for promotion to Professor**

College of Veterinary Medicine
Cornell University
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I. Introduction

This document describes the expectations for achievement during the probationary period for faculty under consideration for indefinite tenure in the College of Veterinary Medicine. Criteria are set out for three major areas of activity: teaching, research and service. **This policy is based on the Report of the ad hoc Committee for Promotion and Tenure Evaluation appointed by the Dean of the College of Veterinary Medicine in August 2007.**

For assistant professors, promotion in title is coincident with the award of tenure. Expectations for tenure are the same as those for promotion from assistant to associate professor. Sometimes faculty members are recruited as assistant professors after having completed some portion of a tenure track at another institution. In these instances, review for tenure may occur early in the probationary period, as agreed by the candidate, the department, the department chair, and the dean. Review for tenure at the department, college and university levels occurs according to a set schedule, described in Part III. University policy and procedures for promotion to Professor are described in Part IV.

The College of Veterinary Medicine complies with university policies and procedures regarding appointment, tenure, and promotion as described in the Cornell University Faculty Handbook (<http://theuniversityfaculty.cornell.edu/handbook/toc.html>). Guidelines for preparation of dossiers for tenure review are found in Appendix II. Information about the Faculty Advisory Committee on Tenure Appointments (FACTA) is found in Appendix III.

II. Review for indefinite tenure

The University defines the criteria for achieving tenure as follows:

“The basic criteria are clear: excellence in carrying out the responsibilities of the position, and unusual promise for continued achievement”

Cornell University Faculty Handbook

The responsibilities of a faculty member include teaching, research and service. In the College of Veterinary Medicine, service may be clinical service or academic service. Expectations for each type of responsibility are described in the following sections.

A. TEACHING

Teaching is a *sine qua non* of the University and central to the College's mission. Faculty in the College of Veterinary Medicine teach in the professional veterinary and/or undergraduate curriculum; graduate education and/or education of residents are also part of the teaching efforts of many faculty. Each faculty member in a tenure-track position at the College of Veterinary Medicine will have in his or her letter of appointment a statement defining the percentage of teaching effort that is expected; this percentage effort is taken into account when evaluating teaching performance. All tenure-track faculty are expected to be actively engaged in teaching in their area(s) of expertise. As part of the promotion process the candidate is asked to provide a teaching statement for inclusion in the dossier. This important statement should include: accomplishments to date; an overview of what he or she hopes to achieve through teaching; and a broad outline of plans that show promise for future achievement.

Teaching effort can be subject to various pressures that push a faculty member to alter the effort in teaching that is stipulated in the letter of appointment. Any change in teaching commitment that contradicts the proportion outlined in the letter of appointment must be documented in writing by the department chairperson at the time of the change or in the annual performance evaluation by the department chairperson. This documentation must be included in the dossier so that at the time of review, the faculty member is judged on the basis of the true commitment to teaching over the course of the probationary period.

Evaluation of teaching

The dossier should provide evidence that the candidate demonstrates characteristics of successful and effective teachers, including knowledge of the subject, good organizational skills, enthusiasm for teaching, respect for students, and delivery of materials relevant to the curriculum. Excellence in teaching can be recognized by evaluating:

Teaching statement

As described above, this statement documents the quality and relevance of teaching activities including accomplishments, self-evaluation, steps taken to improve teaching, and plans.

Teaching materials

Materials developed by the candidate for different courses and teaching modalities reflect the quality of effort.

Teaching evaluations

Quantitative evaluations by former and present students, including graduate students and residents when appropriate serve as indicators of teaching quality.

Qualitative input is provided in letters of evaluation from:

- Former and present students, including graduate students, interns and residents where appropriate
- Peers, both internal and external to Cornell. Peer evaluation may include reports of visits to classes taught by the candidate and evaluation of teaching materials. (4/24/08: Note that a standard mechanism for peer review evaluation is under discussion and would be presented for approval by the tenured faculty).
- Supervisors or course leaders for team taught courses.

Recognition for teaching excellence is evident in the receipt of awards.

Activities that support the overall educational program

Faculty members support education in a broad context. Support activities should be described and documented, for example:

- Development of new courses and course materials
- Effective teaching in and improvement of long-standing courses
- Development and use of effective methods of evaluation of students
- Development and use of effective methods of evaluation of courses
- Participation in the planning, development and implementation of modifications in the academic program necessary to meet changing college, student and societal needs

Mentoring

Mentoring and advising of students as individuals and groups is an important facet of the educational process. Successful mentoring and advising is reflected in the academic and professional success of past mentees and advisees (students, graduate students, and residents) or the success of student groups (clubs, organizations).

The teaching portion of the dossier should contain materials prepared as described in Appendix I.

B. RESEARCH

Research is an essential component of tenure-track faculty effort at Cornell University and a requirement for tenure. Each faculty member in a tenure-track position at the College of Veterinary Medicine will have in his or her letter of appointment a statement defining the percentage of research

effort that is expected; this percentage effort is taken into account when evaluating research performance. All tenure-track faculty are expected to be actively engaged in a research program in their area(s) of expertise. As part of the promotion process the candidate is asked to provide a research statement for inclusion in the dossier. This important statement should include: accomplishments to date; an overview of what he or she hopes to achieve through the research program; and a broad outline of plans that show promise for future achievement.

Research can be subject to various pressures that push a faculty member to alter research effort as stipulated in the letter of appointment. Any change in research commitment that contradicts the proportion outlined in the letter of appointment must be documented in writing by the department chairperson at the time of the change or in the annual performance evaluation by the department chairperson. This documentation must be included in the dossier so that at the time of review, the faculty member is judged on the basis of the true commitment to research over the course of the probationary period.

Evaluation of research

Evidence for excellence in basic, applied, or clinical research includes:

The research statement

The statement should document the quality and significance of the research and will include accomplishments, self-evaluation, steps taken to improve research, and plans.

Publications

There should be clear evidence of productivity by the publication of scientific articles documenting the faculty member's research activities. The faculty member should be the primary or corresponding/senior author of a substantial subset of such publications and might serve as co-author in collaborative work as well. While the number of publications in peer-reviewed journals appropriate to the research discipline is important, the quality of the publications, as judged by peer evaluation and metrics such as frequency of citation, is of primary importance.

Non-refereed publications including textbooks and book chapters can be part of the mix of publications and are often a sign of recognition of expertise in clinical service, but they are no substitute for peer-reviewed scholarship.

Funding

Tenure-track faculty must obtain funding support for their research program beyond the college's contribution to startup funding. Expectations in funding support are relative to the percentage of research effort for individual tenure-track faculty members.

Faculty with substantial clinical efforts are expected to support their research program with funding obtained from competitive grants, contracts and/or gifts.

Faculty with predominantly research appointments should have obtained competitive, peer-reviewed funding from a federal or state agency such as but not limited to: NIH, NSF, or USDA. There is often evidence of program expansion through the acquisition of competitive peer-reviewed support from governmental sources, private foundations, or industry-supported programs.

Independence

Independence is identified through research achievement that comes from the faculty member's own creative and unique efforts. Independence does not mean 'alone' but it is meant to reflect the creative input of the faculty member into the research effort. Consequently, collaborative research will be recognized as being important when the candidate's intellectual contribution has been shown to be critical to the success of the project.

Impact

It is important that a faculty member's research efforts are recognized beyond Cornell. In general, the research contributions of a successful faculty member would be viewed by his or her peers in the field as creative, original, and of substantial impact. Evidence supporting the impact of research could include:

- Evaluation of the research record and its value to the scientific community by recognized experts in the field (external to Cornell).
- Assessment of the reputation of the faculty member in the scientific community as judged by national and international standards
- Invitations to speak at national and international scientific meetings, other universities or institutions
- Review activities for grants and papers
- Membership on editorial review boards
- Membership on scientific advisory panels
- Organization of scientific meetings
- Awards and recognition for research
- Patents/Inventions

Mentorship

Mentorship is generally considered to be a part of the teaching responsibilities. However, successful research mentorship of interns, residents, graduate students, undergraduate students, and postdoctoral fellows is viewed as integral to a research program. In these cases, the success of former trainees should be evaluated.

The research portion of the dossier should contain materials prepared as described in Appendix I.

C. SERVICE

1. Clinical service

Many tenure-track faculty at the Cornell University College of Veterinary Medicine have academic appointments that include clinical service such as: provision of patient care; laboratory testing; diagnostic services; or related activities. Clinical service typically includes teaching of veterinary students, interns and residents and/or graduate students in the clinical environment. Clinical service can provide an opportunity for faculty to collect data or materials for research. The proportion of effort that a faculty member would be expected to devote to clinical service is provided in the letter of appointment. Tenure-track appointments can have proportions of clinical effort of up to 50%; such appointments are generally characterized by at least 35% of effort devoted to research and 15% to non-clinical teaching and other activities such as academic service. Faculty with clinical responsibilities can also be appointed with a lower proportionate responsibility for clinical service and a higher distribution of effort devoted to research. Research activity that leads to eminence is expected from tenure-track faculty at Cornell, therefore, tenure-track appointments should have no more than 50% of effort devoted to clinical service. The expectations of scholarship differ depending on the nature of the appointment; faculty are evaluated in comparison to individuals with similar appointments.

Clinical service can be subject to various pressures that push a faculty member alter the effort in service stipulated in the letter of appointment. Any change in clinical service commitment that contradicts the proportion outlined in the letter of appointment must be documented in writing by the department chairperson at the time of the change or in the annual performance evaluation by the department chairperson. This documentation must be included in the dossier so that at the time of review, the faculty member is judged on the basis of the true commitment to service over the course of the probationary period.

Evaluation of clinical service

Clinical faculty must possess outstanding clinical skills and be willing and able to apply them effectively.

Evidence for eminence in clinical service includes:

The service statement

The statement should document the quality and relevance of the service and will include accomplishments, self-evaluation, steps taken to improve service, and plans.

Publications

Publication of clinical findings in peer-reviewed journals (case studies, test evaluations, treatment trials etc.). textbooks

Performance in the clinical environment

Quantitative and qualitative evaluations of clinical skills are useful indicators of service achievement and include:

- Evaluation of clinical skills by colleagues and peers (inside and outside of Cornell) as reported in letters
- Evaluation of clinical performance by supervisors, peers, trainees and staff as reported to the chair as part of annual or biannual performance evaluations
- Evaluations of service by clients and/or referring veterinarian (if relevant)

Impact

It is important that a faculty member's clinical service efforts are recognized beyond Cornell. In general, the clinical contributions of a successful faculty member would be viewed by his or her peers in the field as creative, original, and of substantial impact. Evidence supporting the impact of clinical service could include:

- Development and evaluation of methods that further the field of expertise
- Implementation of a new service or procedure
- Invitations to speak at national and international scientific meetings, other universities or institutions
- Contributions to textbooks
- Contribution to outreach activities
- Awards or other recognition of clinical service

Mentorship

Effective mentorship of interns, residents, and clinical faculty is viewed as integral to academic clinical service. Evaluation of the success of clinical trainees under the guidance of the faculty candidate should be evaluated.

The clinical service portion of the dossier should contain materials prepared as described in Appendix I.

2. Academic service

Faculty are expected to assume their share of responsibilities for service that benefits the department and the College. Overall intra- and extramural academic service activities should not exceed 10% of effort for probationary-track faculty.

Evaluation of academic service

The academic service statement

The quality and relevance of the academic service is described, including the impact of activities, reports, or programs developed as a result of committee service.

Participation in academic service includes:

- Serving on University, College and/or Departmental committees
- Serving on graduate student committees
- Organizing journal clubs, work-in-progress, or seminar series
- Participating in the design of veterinary foundation courses, new graduate or undergraduate programs
- Extramural activities such as serving on grant and journal review boards
- Contributing to the organization of scientific conferences
- Service to professional organizations

The academic service portion of the dossier should contain materials prepared as described in Appendix I.

III. Timelines and process for tenure review

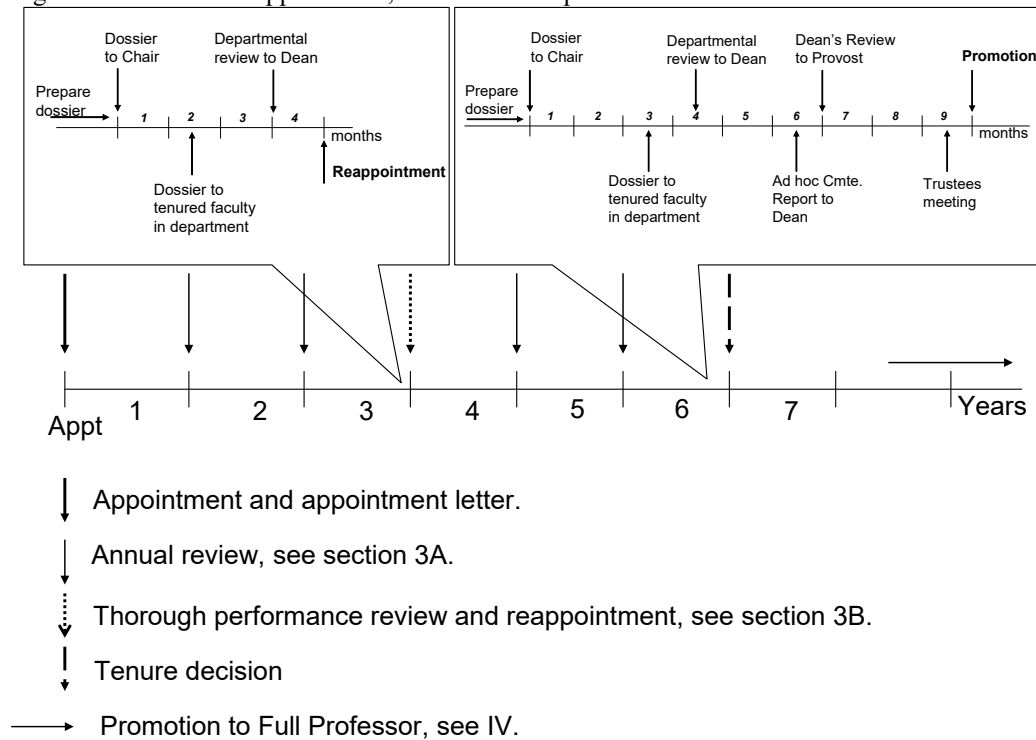
The Cornell faculty website at <http://theuniversityfaculty.cornell.edu/> provides information regarding University policy, academic policy, faculty governance, and other issues. The faculty handbook is available in PDF at that site. The College of Veterinary Medicine follows the processes for tenure and promotion review as described in the Faculty Handbook under section 2.0 ACADEMIC APPOINTMENTS, REAPPOINTMENT, TENURE AND PROMOTION. Provided here are the timelines and a few clarifications for those processes as applied in the College of Veterinary Medicine. Reference should be made to the Faculty Handbook for matters pertaining to process and for descriptions of process following appointment at ranks other than Assistant Professor.

Note that faculty appointed at the James A. Baker Institute undergo dual review: first at the Institute and then in the department in which the candidate holds an academic appointment. One dossier is prepared for review by tenured faculty in both units and responsibility for initiation and execution of the review process is shared between the Director of the Baker Institute and the relevant Department Chair. The review is initiated and executed according to the standard schedules described below. This requires that the department/institute level reviews be conducted very efficiently.

A. Timeline for Review for Tenure at the College of Veterinary Medicine

The typical timeline for review for tenure is depicted in Figure 1. Highlighted in this timeline are the annual reviews of faculty performance. Toward the end of the 1st, 2nd, 4th and 5th year of the appointment, the faculty member will review his or her progress with the department chairperson. A letter documenting the substance of the review will be provided to the faculty member and a copy will be sent to the Dean or the appropriate Associate Dean.

Figure 1. Timeline for appointment, evaluation and promotion.



Note that in the absence of an approved extension of the tenure clock, tenure review must be completed by the end of the sixth year.

B. Review and reappointment at the College of Veterinary Medicine -Year 3

In the third year of a probationary-track appointment, the department conducts a performance review. For this review the candidate will provide a statement outlining accomplishments in teaching, research and service (similar to that described in Part 2) and a curriculum vitae; candidates can include copies of the letters documenting the annual review if they wish to do so. Faculty should compile these documents from the start of their assistant professor appointment at Cornell; they should also keep their curriculum vitae up to date. The tenured faculty in the department will meet to discuss the reappointment followed by a vote by letter or electronic mail; the result of the vote will be provided to departmental faculty members and to the candidate. The Chair will forward the vote and his or her recommendation to the Dean.

The following procedures are taken directly from the Faculty Handbook: “If the outcome is positive, it is normal for a renewal for a second three-year term to be recommended for approval by the Dean. If the outcome of the review is negative, the faculty member must be given a terminal appointment that allows him or her to serve two full academic terms after written notice of nonrenewal. If the faculty member clearly is not meeting expectations, the notice not to renew the appointment may be given earlier than the third year. In that case, the next year of the initial appointment serves as the required two terms of notice.” The procedures for appealing a decision not to reappoint a nontenured faculty member who holds an initial probationary-tenure-status appointment may be located on the University Faculty website (<http://web.comell.edu/UniversityFaculty/docs/main.html>).

C. Timetable for dossier preparation and review for tenure

Permission to initiate a review for tenure must be obtained from the dean via email (start this process 12-14 months before anticipated tenure effective date; add 3 months for a joint appointment). Subsequently, the timetable for tenure review is set within the College of Veterinary Medicine, as shown below. At any time during the process, the candidate may request information regarding the progress of their dossier in the review process.

Table 1. Checklist and Timetable for Promotion from Assistant Professor to Associate Professor with Indefinite Tenure at the College of Veterinary Medicine 2007-2008 (exact dates may vary)

For promotion effective ¹				State in promotion process	Date Completed
Feb. 1	April 1	July 1	Nov. 1		
5/1	6/1	8/15	2/1	Candidate dossier received by Chair from Candidate	
7/15	8/15	11/1	4/15	Completed dossier sent to tenured faculty in department for evaluation	
8/15	9/15	12/1	5/15	Chair review completed; departmental dossier and recommendation sent to Dean	
10/15	11/15	2/15	7/15	Report of the <i>ad hoc</i> committee received by Dean	
10/24	11/28	3/5	8/15	Review completed by Dean and forwarded to Provost	
January	March	May	October	Meeting of the Board of Trustees and notification of the candidate by the University President	

¹Effective dates of tenure are February 1, April 1, July 1 and November 1

Note 1: If the target date for any stage in the process is not met, the candidate, Dean and Director of CVM Human Resources will receive written notification from the Chair explaining the reasons for the delay and setting a new target date (or alternatively, if the process has progressed to the Dean's level, the Dean will make the notification of delay and set new target dates).

Note 2: If a negative decision occurs at any stage, University policy specifies procedures for notification and the rights of the faculty member. For details, see the University Faculty Handbook, Appendices 3-6.

Note 3: The candidate will be informed as the dossier moves through each stage of the process and a candidate's request for such information will be granted by the Chair.

D. Responsibilities for the tenure review process

The responsibilities for the tenure review process for the different parties are outlined below.

Candidate's responsibility at the College of Veterinary Medicine

The candidate is responsible for maintaining a portfolio of teaching, research and service activities throughout the probationary period. As described in the Faculty Handbook, reflected in Part 2 of this document, and detailed in Appendix II, the candidate is responsible for providing a curriculum vitae and list of publications, together with copies of the most relevant publications, a statement of accomplishments and future goals, and evidence of achievements in research, teaching, and professional service. The candidate will provide the names and contact information for several outside experts qualified to provide letters of evaluation. In addition the candidate will provide a list of individuals at Cornell, post-doctoral fellows, interns, residents, veterinary students, undergraduate students and graduate

students who could be contacted for letters of evaluation.

Department's responsibility at the College of Veterinary Medicine

Permission to initiate a review for tenure must be obtained from the dean. The next step in the process is a review of the candidate by the faculty of the department. For this purpose, and with the assistance of the candidate, the dossier is assembled as described in Appendix III. It is the responsibility of the Department Chair to solicit letters from colleagues in the university and from outside experts in addition to those suggested by the candidate to provide an evaluation of the quality of the candidate's creative work and its impact on the scholarship of the field. As described in detail in Part 2 of this document, the aim of the review is to assess the achievements of the individual during his or her probationary period, as well as the promise shown for growth and further achievement. The detailed procedures by which the department conducts its assessment vary, but they must include the basic elements mentioned above as well as:

- 1) making the documentation gathered during the review available to the tenured faculty members of the department,
- 2) holding a meeting of the tenured faculty members for the announced purpose of discussing and voting on the promotion in question, and
- 3) taking the vote by letter from the tenured faculty; the results of the vote will be made available to the voting faculty.

As described in the Faculty Handbook, there is no general prescription for interpreting the vote. In any case, the department chairperson is not bound by the vote though he or she must report it to the dean. The chairperson represents the department in making and explaining to the dean the department's recommendation for or against the promotion. If, after a tenure review is carried out, the department's tentative tenure decision is negative, it is communicated to the candidate before being given to the dean, and the candidate has an opportunity to request a reconsideration by the department. The relevant procedures are described in the Faculty Handbook.

Dean's responsibility

As per the Faculty Handbook, after the department's initial review and any reconsideration are completed, the decision is reviewed at the college level by the dean. If the department's recommendation is positive, the dean must appoint an *ad hoc* committee of faculty members from outside the candidates' department to study the evidence and advise him or her in reaching a decision. Even if the department's recommendation is negative, the candidate can still request that the dean appoint the *ad hoc* committee. Upon completion of the process at the College level the Dean makes his or her decision and transmits that decision by letter to the Provost.

Positive Recommendation by the Dean

If the dean's recommendation is positive, the dossier is forwarded to the Provost's office for review by FACTA, as described in Appendix II. Again, according to the Faculty Handbook, if the provost does not have any concern or reservation about the decision proposed by FACTA, she or he informs the college dean, and the decision becomes final. Positive tenure recommendations are ultimately presented by the president to the Board of Trustees for consideration. The final decision regarding tenure is made by the Trustees. The decisions of the provost and of the Trustees are not subject to appeal.

Negative Recommendation by the Dean

Procedures followed in the event of a negative recommendation by the Dean are described in the Faculty Handbook.

E. Tenure review when the initial appointment is at Associate Professor or Professor

The Faculty Handbook states “The initial appointment to the Cornell faculty of a highly qualified person who is already credited with significant achievements may be at the rank of associate or even full professor, but without indefinite tenure. Such appointments are for a limited term of not more than five years, typically in a probationary tenure status.” Although the Handbook goes on to state that “the award of tenure is deferred until the faculty member and the university become well- acquainted and a review leading to the long-term tenure decision is possible” it is not necessary to delay review for tenure until the fifth year, but rather the process can be accelerated considerably so that highly accomplished candidates can be reviewed for tenure at the time of hiring or within a few months of hiring. Thus, within the College of Veterinary Medicine there is considerable latitude in the timing of tenure review for individuals appointed at advanced ranks, particularly if they have been awarded tenure previously at a peer institution. The process for review is the same as described for all probationary track faculty with regard to dossier assembly, departmental review and ad hoc committee review; however the timeline can be compressed and the requirement for review by FACTA is at the discretion of the Provost.

IV. Promotion to Professor

Procedures followed in the College of Veterinary Medicine for initiating review for promotion to Professor are described in the Faculty Handbook.

The University’s criteria for promotion from associate professor with tenure to professor are excellence and potential in teaching, professional service, research, or extension, with a judgment on whether the individual has fulfilled the promise on which tenure was originally granted. Associate professors with tenure are normally considered for review for promotion to professor in the sixth year of such an appointment. In all colleges, a department review is required, and a detailed rationale for the promotion must be submitted to the dean or director along with the vote of the full professors among the faculty. At that time, the chairperson of the department convenes a meeting of the full professors to decide whether a formal review for promotion should be initiated. If the full professors decide not to initiate a review, the chairperson will discuss their decision with the candidate. The candidate may request a formal review at that time, and his or her request will be granted automatically. If the candidate agrees to a postponement, the chairperson will, at the beginning of the following year, consult the full professors and the candidate again, and initiate a formal review unless the candidate requests that the review be postponed. If the candidate has not been reviewed at least once after serving as an associate professor for seven years, the chairperson will consult the candidate at least triennially and will initiate a formal review unless the candidate does not want one. If a department chairperson is an associate professor and is subject to a review, it is the responsibility of the dean to conduct the discussions or to assign the responsibility to a senior member of the department. If a candidate has received a formal review that has not culminated in a recommendation of promotion, the candidate may, after two or more years have elapsed, request a second review, and this request will be granted. (If the first review was unsuccessfully appealed, the two years are measured from the time of the appeal committee's decision.) There is no upper limit to the time a faculty member may serve in the rank of associate professor.

According to university policy, department procedures applicable to the promotion to professor are the same as those outlined above for the award of tenure, except that it is the vote of the full professors (tenured, if the candidate is tenured) in the department which is taken and recorded. Although the Faculty Handbook indicates that documentation need not be as extensive as it is for promotion to tenure, practice within the College of Veterinary Medicine is that the documentation and process are essentially the same as that for tenure review. Although the establishment of an *ad hoc* committee is at the dean's discretion, in the College of Veterinary Medicine, the dean routinely seeks the advice of an *ad hoc* committee.

Further details on process for promotion to Professor are described in the Faculty Handbook. The timeline for dossier review is shown in Table 2.

Table 2. Checklist and Timetable for Promotion from Associate Professor to Full Professor at the College of Veterinary Medicine 2007-2008 (exact dates may vary)

For promotion effective:				Stage in promotion process	Date Completed
Jan. 1	April 1	July 1	Nov. 1		
4/15	7/1	10/1	2/15	Candidate dossier received by Chair from Candidate	
7/1	9/15	1/1	5/1	Completed dossier sent to full professors in department for evaluation	
8/1	10/15	2/1	6/1	Chair review completed; departmental dossier and recommendation sent to Dean	
10/1	1/1	4/1	8/1	Report of the <i>ad hoc</i> committee received by Dean	
11/1	1/31	5/1	8/30	Review completed by Dean and forwarded to Provost	

Note 1: If the target date for any stage in the process is not met, the candidate, Dean and Director of CVM Human Resources will receive written notification from the chair explaining the reasons for the delay and setting a new target date (or alternatively, if the process has progressed to the Dean's level, the Dean will make the notification of delay and set new target dates).

Note 2: If a negative decision occurs at any stage, University policy specifies procedures for notification and the rights of the faculty member. For details, see the University Faculty Handbook, Appendices 3-6.

Note 3. The candidate will be informed as the dossier moves through each stage of the process and a candidate's request for such information will be granted by the Chair.

Appendix I.

Guidelines for creation of tenure and promotion dossiers, College of Veterinary Medicine

The promotion dossier prepared for a faculty member to be considered for tenure or promotion to professor is a comprehensive product that should present all aspects of the faculty member's work at Cornell in addition to providing a perspective on their career.

Materials to be included

Dossiers should be submitted to the Office of the Associate Dean for Academic Affairs as a pdf file via the Cornell drop box. Bookmarks should clearly identify major headings in the order indicated below. Additional material should follow these suggested items and should have clearly identified bookmarks.

Materials may be slightly different between tenure, promotion to professor, or candidates that were appointed directly to an associate or full professor level/new to the University seeking tenure immediately. In the latter cases, some materials may have to be obtained from the previous employment.

For the dossier to present the faculty member's work in a thorough manner, we suggest the following items be included:

Items that FACTA finds useful

- Assessment of candidate's contributions to co-authored publications, explaining the conventions of the field in listing authors
- Comments on candidate's efforts to improve instruction
- Data on how candidate's teaching evaluations compare to those of other faculty teaching the same or similar courses
- Biosketches for external referees

Description of Materials to be Included

Recommendation from the Dean (This will be inserted in the dossier by the Office of the Associate Dean for Academic Affairs before transmitting to the Provost.)

Report of the *ad hoc* committee (This will be inserted in the dossier by the Office of the Associate Dean for Academic Affairs before transmitting to the Provost.)

Recommendation from the Chair

- Present case for promotion
- Departmental vote (including abstentions)
- Report of any departmental review committee
- Address any issues of concern (such as shift of responsibilities from initial appointment, effort distribution change, etc.)
- Strengths

Appointment, Reappointment, and Evaluation letters

It is important to remove salary amounts and startup cost figures from these letters to preserve the privacy for each faculty member

- Initial Job description
- Appointment and reappointment letters
- Any documents that change the terms of the appointment
- Annual evaluation documents

Curriculum Vitae

- A complete CV, including a list of publications, funded research (current, past with dates, role on project, and dollar amounts), university, professional, and service activities, teaching commitments; awards and honors; insert headers that indicate work performed prior to appointment at Cornell

Candidate's statement (s) – Research, Teaching and Service

- Statements from the candidate about his/her research, teaching, advising, service and (if applicable) extension. Separate accomplishments from plans. For research, list publications for each project.
- In each section delineate activities/accomplishments at previous institutions from those at Cornell.

Research Statement

- Describe research accomplishments; emphasize which are considered most significant.
- Describe plans.

Teaching Statement

- List of courses taught including description of course, number of students enrolled, contact hours, [e.g., exemplifying teaching effort]
- Describe teaching activities and accomplishments; emphasize unique contributions
- Describe plans

Service Statement

- Describe service accomplishments; emphasize which are considered most significant and why.
- Describe plans.

Faculty vote

- Summary page
- Letters of vote from department faculty (on College letterhead)

Letters from non-department Cornell Faculty

- List of referees requested for letters of evaluation with those selected by candidate indicated
 - A brief indication of evaluators credentials/qualifications and their relationship (if any) to the candidate should be included in the letter from the referee.
- Sample of letter of request (See an example letter of request in Appendix III)
- Letters (Up to 8 referees may be requested; there should be 3 to 6 letters in this section of the dossier.)

Letters and biosketches from Scholarly Researchers

- List of referees requested for letters of evaluation with those selected by candidate and those selected by the chair indicated;
 - A brief indication of evaluators credentials/qualifications and their relationship (if any) to the candidate should be included in the letter from the referee.
- Avoid requesting referee letters from NIH reviewers; they are not familiar with all components of an academic appointment.
- Sample of letter of request (See an example letter of request in Appendix III)
- Letters and biosketch/2 page NIH bio for each referee letter (Up to 14 referees may be requested; there should be 8 to 12 letters in this section of the dossier.)

Trainees letters

- **Current**
 - List of evaluations requested
 - Sample of letter of request
 - Letters

- **Past**
 - List of evaluations requested
 - Sample of letter of request
 - Letters

Referring Veterinarians Letters (if applicable to position)

- Sample letter of request
- Letters

Teaching Materials

- Teaching materials [e.g. syllabi, project assignments, homework sets, field studies, lab experiments]

Teaching Evaluations

- Summary sheet of student evaluations and peer teaching evaluations. List the courses for which evaluations are included and indicate what type of evaluation (student vs peer) is included. Summarize the data, describing how the scoring of the candidate compares with that of other faculty in the department. Indicate the courses for which evaluations are not available and indicate (briefly) why they are not included.
- Student evaluation data
- Peer teaching evaluation letters

Publications

- List of publications the candidate feels are the most significant with a brief explanation. This is often a few of the newer publications or more prestigious publications, as many as 5. For faculty with clinical service, it is appropriate to delineate publications or other products that come from service vs. research

Additional Material

- Additional material may be added to the dossier after the department faculty have reviewed the dossier ONLY when the original information that is being updated was included in the dossier. Examples include but are not limited to a grant that received funding or a paper that was accepted. The department chair should explain any additional material in their letter.

Appendix II.

Information about Faculty Advisory Committee on Tenure Appointments (FACTA)

Description of FACTA

The Faculty Advisory Committee on Tenure Appointments (FACTA) advises the provost on all proposed promotions to and appointments with tenure as well as proposed denials of tenure by a dean after a positive recommendation from the department.

Composition of the Committee

The committee will be composed of fifteen tenured faculty members, one elected by the professorial faculty in each college and five nominated by the University Faculty Nominations and Elections Committee and appointed by the Faculty Senate. The five faculty nominated will be selected in such a way as to achieve appropriate balance among the various schools, colleges, tenure-granting centers, disciplines, and job functions (including extension) to make the committee of fifteen representative of the diversity of the faculty of the University with due regard to race, gender and ethnicity. Members will serve for two years. Terms will be staggered so as to replace half of the members each year. In addition, the appointments within a given year shall also be staggered among the review cycles to minimize the transitional impact upon the committee[1]. Vacancies caused by the resignation of a college representative will be filled by a vote of the college faculty or by an elected college committee, or by the Nominations and Elections Committee for a non-college representative. No member of the committee will serve for more than 3 consecutive years. The Dean of the Faculty will be a non-voting, administrative chair of the committee. The chair will strictly refrain from taking part in the committee's decision making. The role of the chair will be limited to facilitating timely decision making and ensuring that the committee adheres to its charge and mandated procedures.

Procedures

The committee will determine whether the documentation and the evidence in the tenure file are sufficient to show that the candidate has demonstrated excellence in carrying out the responsibilities of the position, and unusual promise for continued achievement. More detailed information on tenure criteria can be found in Section 2.3 of the Faculty Handbook.

In particular, the committee will consider the evaluations made by the candidate's peers and students, as well as those of outside reviewers and the ad hoc committee. The committee will also take into consideration the academic standing of the candidate's outside reviewers, as well as any special considerations that might pertain in the case of those candidates with appointments in professional schools, performing arts or extension programs. In coming to its conclusions, the committee will limit itself to assessing the strength of the candidate as summarized by prior substantive reviews. The committee will not solicit additional reviews; its judgment will be based on the information in the candidate's file. University financial and other non-academic considerations will play no role in the committee's deliberations. The committee should ensure that tenure appointments are consistent with Cornell's high standards, but that no faculty member is turned down for tenure wrongfully, capriciously, or without reference to the responsibilities of the position or the mission of the college.

If, in the course of reviewing an individual case, the committee becomes concerned that the tenure requirements and criteria of a department, or a school or college, are inconsistent with Cornell's high standards or otherwise not in the best interests of the university, it shall report this separately to the Provost. FACTA will not use these concerns in reaching a tenure recommendation for the individual involved.

Guidelines for tenure dossiers submitted to FACTA

Introduction

FACTA is a university-wide faculty committee that evaluates the quality and consistency of the evidence used to justify a recommendation for promotion. FACTA sends its judgments on each case to the Provost, who is responsible for the final recommendation to the Board of Trustees. To do its work responsibly, FACTA must receive the appropriate information in a timely way.

Timing of submission of materials

The due date issued by the Academic Personnel Policy Office to the Dean's Offices is the guaranteed date for timely consideration. Dossiers submitted after the due date risk not being considered in time for the next Board of Trustees meeting. Dossiers received later than 5 academic weeks before the Board of Trustees meeting cannot be considered by FACTA. (Three weeks of this 5-week period are reserved for Trustees' mailings, etc.)

Materials to be submitted

Checklist for dossier:

The materials listed below are expected for an internal candidate for promotion. Some of these materials may not be available or applicable for external candidates, but a CV, letters of evaluation in addition to references suggested by the candidate, as well as evaluations of teaching, should be provided as a minimum for external candidates.

Dean's Recommendation

- Report of the ad-hoc committee, including the names of its members
- Transmittal letter from the Dean, addressing disagreements or matters of serious concern in the file

Departmental Recommendation

- Letter from the chair presenting the case for promotion and addressing disagreements and matters of serious concern in the file
- Departmental vote (including abstentions)
- Report of any departmental review committee
- Letters from department colleagues that are part of the review process
- Comment on quality of journals, presses, and other venues where the candidate's work has appeared

Curriculum Vitae

- A complete CV, including a list of publications and/or artistic work, funded research, extension work, and university, professional, and service activities

Candidate Statements

- Statements from the candidate about his/her research, teaching, advising, service, and (if applicable) extension.

Appointment/Performance Review Letters

- Initial job description
- Appointment and reappointment letters
- Any subsequent change in the terms of appointment
- Any written responses by the candidate to the above

External evaluation letters

- All letters received from outside experts about scholarly, creative and extension work
- List of external evaluators solicited, indicating which were suggested by the candidate and which by the department
- A brief explanation of the evaluators' qualifications and their relationship (if any) to the candidate
- A copy of the letter requesting evaluations
- The role of external evaluators is to assess the candidate's accomplishments, stature in the field, and future promise. They should be given a charge that is as specific as possible and should be provided with as much material relating to the candidate's performance as is conveniently possible (excluding other confidential evaluations). Although the candidate may suggest external reviewers, the tenure dossier should include at least five letters from peers outside Cornell who have not been closely associated with the candidate and who have not been selected by the candidate. In selecting external evaluators, departments should select at least some well-established leaders in the larger discipline who are not working in the same sub-discipline as the candidate. The purpose of these evaluations is to understand the breadth of impact and promise of the candidate's work.

Teaching:

- List of courses taught, with enrollments
- Samples of teaching materials
- Summary of teaching evaluations, prepared by someone other than the candidate.
- Letters from students and advisees
- Copy of letter(s) requesting student evaluations
- Assessments by colleagues of teaching and course materials (e.g. syllabi, project assignments, homework sets, field studies, lab experiments)

Recommended (optional) Materials

In addition, FACTA has found the following information especially helpful:

- An assessment of the candidate's contributions to co-authored publications, explaining the conventions of the field in listing authors.
- Comments on candidate's efforts to improve instruction.
- Statement of how student evaluators were selected, the rate of response, and the usual rate of response in the department.
- Data on how candidate's teaching evaluations compare to those of other faculty teaching the same or similar courses.

Physical format of the dossier (Updated by College of Veterinary Medicine)

Dossiers should be submitted on a CD or flash drive to the designate representative of the Office of the Provost. Four electronic devices for a tenure dossier and one for a professor promotion.



Appendix III.

Sample referee letter request

Date

Inside Address

Salutation:

Dr. XXXX XXXXX, Assistant Professor of _____ at the College of Veterinary Medicine, Cornell University, is being considered for promotion to Associate Professor with indefinite tenure in the Department of _____. Since you have had the opportunity to work with Dr. XXXXX, I would be extremely grateful if you would participate in this important process.

I have enclosed a current copy of Dr. XXXXX's curriculum vitae, his candidate statement, and five of his publications for your review. Dr. XXXXX has been a member of the faculty at Cornell University since _____. He began his tenure-track appointment as Assistant Professor in _____ and was reappointed in _____. Dr. XXXX's appointment includes 50% effort distribution to clinical service and teaching in the Cornell University Hospital for Animals, 35% effort dedicated to research, 10% effort to didactic teaching, and 5% departmental and college service, as well as activities with his professional organizations.

The criteria for permanent tenure at Cornell University are "excellence in the primary responsibilities of the position and unusual promise for continued achievement." Such a determination is judged by rigorous national and international evaluation of scholars in the discipline. Your comments for evaluation for indefinite tenure and promotion to Associate Professor are greatly appreciated.

It would be most helpful if you could elaborate specifically on Dr. XXXX's skills and reputation as a clinician, scientist and educator as well as his research accomplishments based on your review of his CV, candidate statement, and your professional interactions with him. In your letter please describe your professional relationship with Dr. XXXXX so that your comments may be interpreted accurately by evaluators outside of the primary academic discipline.

Your letter will be accessible to the tenured faculty in the Department of _____ and to an *ad hoc* committee composed of a few senior faculty members from outside the department, but not to Dr. XXXXX.

Your response would be most useful if received by DATE. Please let me know by email or telephone if your response will be later than the due date (email and telephone contact info). Thank you very much for helping with this important matter.

Sincerely,