Dossier Instructions and Checklists for Internal Promotion to Tenured Professor from a Tenure-Track Position and External Appointment to Tenured Professor

Dossier Instructions: Please read carefully before submission of the dossier.

a. CAP

The Committee on Appointments and Promotions (CAP) reviews dossiers and makes recommendations to the Dean before the Dean decides whether to forward a dossier to the President for further review. CAP is scheduled to meet most Wednesdays during the academic year (the Office for Faculty Affairs will verify dates and times), and the dossiers are, ordinarily, delivered to each CAP member two Fridays before the next meeting.

Note: A dossier is not submitted to CAP until the *ad hoc* coordinator has received a substantial number of the confidential letters written to the Edgerley Family Dean of the FAS by each tenured member of the department. Letters should be sent digitally to the *ad hoc* coordinator, ryoung@fas.harvard.edu.

b. Submission of Materials to the Associate Dean

The department should send the following items to the associate dean for the division/SEAS by March 1. If materials are received after this date, the case might not be scheduled for an *ad hoc* review until the following fall. This includes external appointments to tenured professor.

i. 1 digital PDF of the dossier
ii. Separate from the dossier, 1 digital PDF of student teaching evaluations
iii. Separate from the dossier, 1 digital PDF of publications and (in book fields) all significant reviews. (Articles, reviews, etc. should be included in this PDF. If available, digital copies of books should also be included.) In art-making fields, 1 digital PDF (if available) of creative works and all significant reviews.
iv. Separate from the dossier, 1 digital PDF of advisee/mentee feedback responses, with names redacted *(internal candidates only)*
v. Separate from the dossier, 1 digital PDF of any candidate-committee communications, if there were any *(internal candidates only)*
vi. 1 electronic Excel document (see Sample Table of Suggested Ad Hoc Committee Members) containing *ad hoc* committee membership recommendations

All electronic materials must be sent securely. Please follow HUIT's recommended practices for secure document transfer, which can vary by user platform. When preparing the dossier, please follow the naming conventions described below in Section d., "How to Prepare an Electronic Dossier," to facilitate storing and sharing of files.

Once the associate dean confirms that the dossier and materials are complete, the department then forwards to the *ad hoc* coordinator the materials listed in Section c., "Submission of Materials to the *Ad Hoc* Coordinator." CAP will be scheduled no sooner than two weeks after the final dossier is complete.

c. Submission of Materials to the Ad Hoc Coordinator

The associate dean for faculty affairs will submit 1 digital PDF of the dossier to the *ad hoc* coordinator (ryoung@fas.harvard.edu).

d. How to Prepare an Electronic Dossier

i. The electronic dossier should be a single PDF document. Assemble the dossier with the seven sections (i.e., Case Statement; Authorization Letter (and Review Start Letter, if applicable); *Curriculum vitae*, Statements; Teaching Materials; Expert Evaluations; Publication Information; Citation Information) arranged in the order shown in the sample in Sections 4.A.2 and 4.B.2 ("Sample PDF Dossier Organization") of this Handbook.

ii. Naming conventions:
   a. The file name of the electronic tenure dossier, the electronic student teaching evaluations, and the electronic publications should contain alpha-numeric characters only (no dashes, commas, slashes, etc.).
   b. Please name each of the files as follows: [Last Name] [First Name] [Department Name] [dossier component] [numerical Month, Date, and Year of dossier submission: XX YY ZZ]. E.g., Smith John Psychology tenure dossier 1 4 15, Smith John Psychology teaching evaluations 1 4 15, Smith John Psychology publications 1 4 15.
   c. If a dossier is revised and resubmitted, please repeat the original title, followed by "rev" and [Month of resubmission] [Date of resubmission] [Year of resubmission]. E.g., Smith John Psychology tenure dossier 1 4 15 rev 1 15 15, etc.

iii. Please securely send the completed dossier. Please follow HUIT's recommended practices for secure document transfer, which can vary by user platform.

e. How to Prepare a PDF of Student Evaluations of Teaching

i. Instructions differ for internal and external candidates. For both, however, please create a single PDF containing all student evaluations of teaching. Insert a bookmark for each course so that readers can move directly to individual courses. Clearly identify each course and its bookmark with the following information: course title, course number, semester and year. For more assembly instructions, please contact the divisional/SEAS associate dean with any questions.
   a. For internal candidates:
      i. For evaluations prior to Fall 2019, please follow the instructions from Harvard FAS Course Evaluations (https://q.fas.harvard.edu/reports-prior-2019-20).
      ii. For evaluations from Fall 2019 onward, please go to https://q.fas.harvard.edu/results-2019-20-and-later.
         1. Click on "Click Here to View Your Results Now" and log in.
         2. Select user group "Harvard_Faculty_Staff."
         3. Select the "Course Heads-Instructors report" for the specific year/term.
         4. Type the course number abbreviation (e.g. COMPSCI 50) in the "Search report title" field and click to search.
         5. Download for each course:
            a. Select "View the {term} Individual Report -- Comments included report" and click on the course from the listing. Click the (PDF) icon next to the corresponding instructor to download the report.
   b. For external candidates: Please create a single PDF containing all student evaluations of teaching.

ii. Please securely send the completed dossier. Please follow HUIT's recommended practices for secure document transfer, which can vary by user platform.

Note: The candidate should not solicit student (or postdoc) letters, and any unsolicited student (or postdoc) letters will not be included in the dossier.

Departments should retain documents according to practices recommended by Harvard Archives at https://grs.harvard.edu/ (please log in).

Dossier Checklist for All Appointments to Tenured Professor

1 **Case statement** (including department vote by name, with an "as of" date for the vote tally). See Case Statement Template and Checklist. ☐

2 **Letter to the candidate** marking the start of the review process (for internal candidates only) ☐

3 **CV and statements** ☐

- Candidate's curriculum vitae, including a bibliography*
- Research statement
- For internal candidates:
  - ☐ As applicable, a list of current and pending funding
  - ☐ Teaching/advising/mentoring statement
  - ☐ Service/citizenship statement
  - ☐ Statement on publications overlap and joint authorship
- For external candidates:
  - ☐ Teaching/advising statement describing the candidate's philosophy, practices, and approach to creating a learning environment in which students are encouraged to ask questions and share their ideas
  - ☐ Service statement describing efforts to strengthen academic communities, e.g., department, institution, and/or professional societies

4 **Teaching materials** ☐

- Teaching awards
- Representative course syllabi
- Student evaluations of teaching are prepared in a separate PDF; see "Additional Materials" below
- For internal candidates:
  - ☐ Summary teaching chart, indicating any semesters on leave and which, if any, courses were taught remotely, whether partially or in full, due to the COVID-19 pandemic
  - ☐ A list of past and present undergraduate, graduate, and (as relevant) postdoctoral advisees and mentees (including those who have moved to another research group); informal advisees and mentees may also be included.
- For external candidates:
  - ☐ A list of undergraduate and graduate theses supervised (and postdoctoral advisees, as relevant), if not already included in the *CV*
  - ☐ Summary teaching chart, ideally listing ten years of courses and indicating any semesters on leave and which, if any, courses were taught remotely, whether partially or in full, due to the COVID-19 pandemic

**Note: Internal candidates who opted in Spring 2020, Spring 2021, and/or Spring 2022 for an extension of their associate review clock due to the COVID-19 pandemic and/or parental leave and/or have thereafter extended their clock due to medical leave and/or parental leave, may include the following language in their c.v.s, if they wish: "Harvard's Faculty of Arts and Sciences grants appointment extensions and teaching relief to tenure-track faculty, in keeping with policies related to the COVID-19 pandemic, medical leave, and parental leave. Accordingly, Harvard delayed my associate review by [INSERT NUMBER OF YEARS OR, IF LESS THAN ONE YEAR, NUMBER OF MONTHS] [INCLUDE IF APPROPRIATE: and gave*

me [INSERT NUMBER] course[s] of teaching relief].”

5 Expert Evaluations ☐

- Initial inquiry letter (including documentation of any initial inquiries conducted by telephone)
- For internal candidates:
  - ☐ Tenure review letter, for arm's length external letter writers
  - ☐ Solicitation letter(s), if any, for letter writers in the categories of 1) collaborator or mentor or 2) “internal external” letter writers from another Harvard department, center, or Harvard School
  - ☐ A list (see Sample Table) of people from whom the arm’s-length external letters (and any optional letters from collaborators or mentors, and/or “internal external” letter writers) were solicited, including the rationales for their inclusion, an indication of which letter writers also wrote letters for the associate review, which (if any) were also comparands in the comparand list that the department originally sent to letter writers, and indicating (with asterisks) those who replied and (without asterisks) those who did not reply
  - ☐ Copies of all responses received, including those from anyone who declined to give a formal response, with English translations of any written in a foreign language and typed copies of any handwritten letters
- For external candidates:
  - ☐ Blind letter
  - ☐ A list (see Sample Table) of people from whom the external letters were solicited, including the rationales for their inclusion and indicating (with asterisks) those who replied and (without asterisks) those who did not reply
  - ☐ Copies of all responses received, including those from anyone who declined to give a formal response, with English translations of any written in a foreign language and typed copies of any handwritten letters

6 Publication information ☐

- A list of candidate publications chosen by the department to be submitted to the ad hoc committee. E.g.,
  - Selected significant articles and most recent articles (or other works)
  - Significant unpublished manuscript(s)
  - Books
- In book fields, a list of all significant reviews of the candidate’s publications
- In art-making fields, a list of selected significant creative works and most recent works chosen by the department to be submitted to the ad hoc

7 Citation information, in table format (See Sample Citation Table), if appropriate to the field: ☐

- Total citation count for the candidate and comparands
- Citation count for each of the candidate’s publications

Additional Materials for the Dossier

Submit each as part of the dossier as a separate PDF, sent digitally to the associate dean for the division/SEAS

8 **Student evaluations of teaching** ☐

- ☐ For internal candidates: All student evaluations from the Q, with each course bookmarked and named by year, semester, course title, course number.
- ☐ For external candidates: All student evaluations, with each course bookmarked and named by year, semester, course title, course number.

9 **Publications and reviews** ☐

- The candidate publications chosen by the department to be submitted to the *ad hoc* committee. E.g.,
  - Selected significant articles and most recent articles (or other works)
  - Significant unpublished manuscript(s)
  - Books
  - *Articles, reviews, etc. should be included in this PDF. If available, digital copies of books should also be included.*
- In book fields, all significant reviews of the candidate's publications
- In art-making fields, copies, as appropriate, of selected significant creative works and most recent works chosen by the department to be submitted to the *ad hoc* committee, and all significant reviews.

10 **(Optional) Candidate/committee communications** (internal candidates only) ☐
Per Step 6 in the "Steps" table for promotion to tenure, any written communications from the department chair to the candidate, on behalf of the review committee, seeking clarification on the candidate's materials, and the candidate's written responses.

Additional Materials Not Included in the Dossier

Submit as a separate PDF, sent digitally to the associate dean for the division/SEAS

11 **(Internal promotions only) Advisee and mentee responses,** with names redacted ☐

Information on the ad hoc committee

Submit 1 Excel document digitally to the associate dean for the division/SEAS

12 ***Ad hoc* committee membership recommendations** in a list from the chair (see Sample Table of Suggested Ad Hoc Committee Members) that includes the following: ☐

- The names of *at least* 10 active, full professors outside the University who might be asked to serve on the *ad hoc* committee. Include members' title/rank, institution, year of Ph.D. if available, website, telephone, and e-mail address. Please note that the proposed members should not be:
  - External letter writers.
  - Anyone who may have a conflict of interest with the case (e.g., advisers, mentors, collaborators, coauthors, co-teachers).
  - "Internal external" letter writers (i.e., from another Harvard department, center, or Harvard School) ordinarily do not serve on the ad hoc committee.
- (Optional): Scholars that the chair believes should not be on the *ad hoc* committee, with a corresponding explanation.

- Three or four non-departmental, active, tenured professors from any of the Harvard Faculties who might also serve on the committee.
- Three to four departmental witnesses, including the search/review committee chair, the department chair, and other faculty members who, in some cases, may represent a dissenting opinion. Witnesses should not be former advisors of the candidate.