

Vice Chancellor's Advisory Committee (VCAC) Guidelines for Dossier Preparation

Preamble: This guide has two parts to help you assemble a dossier that conforms to the expectations the VCAC has for an easy-to-read, readily evaluated dossier. An improperly prepared dossier can cause delays, and makes the process more difficult for all involved.

The first part of this guide gives instructions on how to organize and tab all dossiers. The second part addresses the terminology and organization of letters in the dossier. Both are essential in dossier preparation and apply not only to candidates in their dossier preparation, but to primary units and schools/colleges/library. Complying with these recommended guidelines increases the VCAC's confidence that the candidates, primary units, and schools/colleges/library have done due diligence in understanding and applying campus and system-wide policies and procedures for faculty evaluation.

The dossier checklists on the next pages outline the required order that items must be placed in the dossier. The ordering applies to reappointment/comprehensive review, promotion, and tenure dossiers (***Dossier Checklist: Reappointment, Tenure, and Promotion***) as well as hire with tenure dossiers (***Dossier Checklist: Hire with Tenure***). Dossiers not conforming to the checklist order will be returned for remediation before being considered by the VCAC. We recognize that certain dossiers may not have all the items that are indicated below, but the placement in the dossier must follow the guidelines given.

In addition to the required ordering, every dossier must be clearly tabbed and every section within a tab that has multiple items must have the multiple items clearly separated. An example of this is the section of external letters, where every letter needs to be separated by some means like a sheet of heavy, colored paper. The VCAC spends a great deal of time on every dossier and needs to be able to find things easily.

PDFs of the system and Denver campus policy documents on reappointment, tenure, and promotion can be found at:

<https://www.cu.edu/ope/aps/1022>

http://www.ucdenver.edu/faculty_staff/employees/policies/Policies%20Library/1XXX%20Academic%20and%20Faculty%20Affairs/1004%20-%20Reappointment%20Tenure%20and%20Promotion%20Review.pdf

Dossier Checklist: Reappointment, Tenure, and Promotion

Candidate's Name: _____

Action: Reappointment Comprehensive Review Tenure Promotion

School/College: _____

A candidate's dossier must be presented in **no more than three, three-ring binders, no larger than three inches**. If a candidate submits multiple binders, the case for reappointment, tenure, and promotion must be made in Binder #1; this is all that should be in Binder #1. Supporting materials are to be presented in the remaining binder(s). Items on this checklist are listed in their required order. Each item is to be clearly tabbed.

Completed dossier checklist

Signature form

Primary unit criteria (*include statement re: acceptance of current primary unit criteria if candidate was hired with previous criteria in place*)

Initial offer letter

Previous RTP and personnel actions, if any

Candidate's current curriculum vitae

*(The VCAC often finds that CVs are not clearly presented. **Strategies for Success** has a suggested template. Clear indications of pagination in published works, clear delineations of refereed work, and clarity about what has been published, what is in press, and what is in progress are essential features of a properly presented CV. In addition, placing dates for all activities including published works on the left margin in **bold** makes reading a dossier much easier as does conforming to a **12-point font size**. Faculty in the creative arts have more leeway, but clarity is an absolute requirement.)*

Candidate's summary statement (*two-to-three-page summary overview*)

Candidate's teaching (librarianship) statement (*no more than three pages*)

FCQ one-page summary table (*see **Strategies for Success Appendix D***)

Candidate's research/creative work statement (*no more than three pages*)

Candidate's leadership/service statement (*no more than three pages*)

Other materials supporting teaching (librarianship), research/creative work, and leadership/service should be placed in logical places in Binders #2 and #3. (*There has developed a tendency to place too much material in binders. The VCAC believes that clear, concise materials need to populate dossiers, and that too much material actually can be harmful to critical reading of a case.*)

Supporting teaching (librarianship) materials (*to be placed in supplementary binders*)

FCQs in separate binder number _____ (*schools and colleges have discretion in terms of very large courses, but need to submit unbiased, representative samples of FCQs*)

Other supporting teaching (librarianship) materials in separate binder number _____

Supporting research/creative work materials in separate binder number _____

- Supporting leadership/service materials in separate binder number _____**
- Primary Unit recommendation and vote** (*see Letter Writing Requirements for Dossiers**)
 - if vote is not unanimous, an explanation of negative votes is required and a minority report may be added** (*If there is no minority report, do not include an empty tabbed section*)
 - Primary Unit analysis of teaching (librarianship)** (*subcommittee report, if relevant*) (*Documentation requires peer reviews of teaching/librarianship, other multiple methods of evaluation, and critical, relevant teaching/librarianship analyses*)
 - Primary Unit analysis of research/creative work** (*subcommittee report, if relevant*)
 - Primary Unit analysis of leadership/service** (*subcommittee report, if relevant*)
- First level review/Dean's advisory/review committee recommendation and vote** (*see Letter Writing Requirements for Dossiers**) (*an independent analysis at this level is required*)
 - if vote is not unanimous, explanations and minority reports may be added** (*helpful, but not required*)
- Dean's recommendation** (*see Letter Writing Requirements for Dossiers**)
- Reconsideration recommendations** (*If the Dean's advisory/review committee or the Dean disagrees with the recommendation of the Primary Unit, the dossier is returned to the Primary Unit for reconsideration, after which the Primary Unit returns its reconsidered judgment to the Dean for further consideration.*)
 - Primary unit's reconsideration, if applicable**
 - Additional reconsideration and vote of the Dean's advisory/review committee and/or Dean, if applicable**
- External letters**
 - Two lists of suggested reviewers (candidate's and primary unit's), with indication of who responded**
 - Explanation of how reviewers were chosen**
 - Copy of the letter(s) sent to the external reviewers**
 - Number of reviewers meets requirements** **explanation if requirement not met**
 - Ratio meets requirements** **explanation if requirement not met**
 - Copies of External Reviewers' curriculum vitae** (*to be placed in a tabbed section separate from the external letters with clear separations between CVs*)

I have reviewed this candidate's dossier and affirm that it is comprised of _____ binders, is complete, and is consistent with University policy.

Dean's Signature _____ **Date** _____

*Note that **Letter Writing Requirements for Dossiers** carefully indicates the acceptable terms to evaluate performance at each level. Thus, reappointment/comprehensive review evaluation of teaching (librarianship), research/creative work, and leadership/service differ from promotion and tenure evaluations.

Dossier Checklist: Hire with Tenure (Denver Campus)

Candidate's Name: _____

Action: Tenure Promotion

School/College: _____

Current Rank/Title: _____

A candidate's dossier should be presented in a **single three-ring binder, no larger than three inches**. Items on this checklist are listed in their required order in the binder. Each item is to be clearly tabbed.

- Completed dossier checklist
- Signature form
- CU Denver Primary Unit criteria
- Candidate's current institution tenure/promotion criteria
- CU Denver official offer letter
- Current curriculum vitae
- Evidence of meritorious or excellent teaching (librarianship) (*e.g., peer reviews of teaching/librarianship, student evaluations, syllabi, curriculum development documentations, mentoring documentations, awards*)
- Evidence of meritorious or excellent research/creative work (*three publications or other supporting documentation are sufficient*)
- Evidence of meritorious or excellent leadership/service
- Primary unit recommendation and vote including analysis of teaching (librarianship), research/creative work, and leadership/service*
 - if vote is not unanimous, explanations and minority reports may be added
- First level review/Dean's advisory/review committee recommendation and vote*
 - if vote is not unanimous, explanations and minority reports may be added
- Dean's recommendation* including the three required points enumerated in *Campus Administrative Policy 1021: Hire with Tenure (July 1, 2019)*
- Letters of Recommendation (*as appropriate to the situation*)
 - Situation A: Copy of the official letter granting the candidate tenure at the current institution
 - Situation B: Copy of the official letter granting the candidate tenure at the current institution AND three external letters of evaluation for promotion to the rank of professor OR letters of recommendation for hire

[] Situation C: Copy of the official letter granting the candidate tenure at the current institution AND copy of the official letter granting the candidate the rank of professor at the current institution

[] Situation D: Copy of the official letter granting the candidate the current rank at the current institution AND three external letters of evaluation for the award of tenure

[] **External Letters, if required** (*if the letters of recommendation for hire are not used or if the candidate is not currently tenured at another institution*)

I have reviewed this candidate's dossier and affirm that it is complete and is consistent with University policy.

Dean's Signature _____ **Date** _____

* Note that **Letter Writing Requirements for Dossiers** carefully indicates the acceptable terms to evaluate performance in teaching (librarianship), research/creative work, and leadership/service.

Letter Writing Requirements for Dossiers

There are a number of **necessary requirements** in preparing letters in a case for the Vice Chancellor's Advisory Committee (VCAC). These typically depend on the type of case.

(A) Comprehensive Review:

(1) Avoid designations of excellent, meritorious, or not meritorious in Comprehensive Review evaluations. **Instead**, use **approaching excellent**, **approaching meritorious**, or **not meritorious** in reviews by the primary unit, the dean's advisory/review committee, and the dean.

(2) Record vote counts including the number of absences and recusals for teaching (librarianship), research/creative work, and leadership/service. Recusals from discussion and voting should apply if there is a conflict of interest or a bias regarding a candidate, meaning that a committee member is unable to render a fair and unbiased opinion.

Examples:

- the primary unit voted 3-1-0-0 (yes-no-recusal-absent) for **approaching excellent** in teaching (librarianship) with three committee members voting for approaching excellent and one for approaching meritorious
- voted 2-1-0-0 for **approaching meritorious** in research/creative work with two committee members voting for approaching meritorious and one for not meritorious
- voted 1-2-0-0 for **not meritorious** in leadership/service with one committee member voting for approaching meritorious and two for not meritorious

Add a table like the one following to record evaluations:

Evaluation of Teaching (Librarianship), Research/Creative Work, and Leadership/Service (AE = approaching excellent, AM = approaching meritorious, NM = not meritorious)	Teaching (Librarianship)	Research/ Creative Work	Leadership/ Service
Department/Primary Unit	7 AE	5 AE, 2 AM	4 AE, 3 AM
Dean's Advisory/Review Committee	3 AM, 4NM	1 AE, 1 AM, 5NM	5 AE, 2 AM
Dean's Evaluation	AE	AM	AE

(3) Record the overall vote for reappointment

Example:

- the primary unit voted 3-1-0-0 (yes-no-recusal-absent) for reappointment

Add a table like the one following to record votes for reappointment:

Votes	Yes	No	Recusal	Absent
Department/Primary Unit	6	1	0	1
Dean's Advisory/Review Committee	1	6	1	0
Dean's Recommendation		X	NA	NA

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(B) Promotion and Tenure Review:

(1) Only use the designations **excellent**, **meritorious**, or **not meritorious** in Promotion and Tenure evaluations by the primary unit, the dean’s advisory/review committee, and the dean.

(2) Record vote counts including the number of recusals and absences for teaching (librarianship), research/creative work, and leadership/service. Recusals from discussion and voting should apply if there is a conflict of interest or a bias regarding a candidate, meaning that a committee member is unable to render a fair and unbiased opinion.

Examples:

- the primary unit voted 3-1-0-0 (yes-no-recusal-absent) for **excellent** in teaching (librarianship) with three committee members voting for excellent and one for meritorious
- voted 2-1-0-0 for **meritorious** in research/creative work with two committee members voting for meritorious and one not meritorious
- voted 1-2-0-0 for **not meritorious** in leadership/service with one committee member voting for meritorious and two for not meritorious

Add a table like the one following to record evaluations.

Evaluation of Teaching (Librarianship), Research/Creative Work, and Leadership/Service (E = excellent, M = meritorious, NM = not meritorious)	Teaching (Librarianship)	Research/ Creative Work	Leadership/ Service
Department/Primary Unit	7E	5E, 2M	4E, 3M
Dean’s Advisory/Review Committee	3M, 4M	1E, 1M, 5NM	5E, 2M
Dean’s Evaluation	E	M	E

(3) Record the overall vote for promotion and tenure

Example:

- the primary unit voted 3-1-0-0 (yes-no-recusal-absent) for tenure and promotion

Add a table like the one following to record votes:

Votes	Yes	No	Recusal	Absent
Department/Primary Unit	6	1	0	1
Dean’s Advisory/Review Committee	1	6	1	0
Dean’s Recommendation		X	NA	NA

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(C) Promotion to Full Professor Review:

(1) For the overall recommendation, only use the designations **the record taken as a whole is excellent** or **the record taken as a whole is not excellent** in Promotion to Full Professor evaluations by the primary unit, the dean’s advisory/review committee, and the dean.

(2) Record vote counts including the number of recusals and absences for teaching (librarianship), research/creative work, and leadership/service as part of an overall recommendation. Recusals from discussion and voting should apply if there is a conflict of interest or a bias regarding a candidate, meaning that a committee member is unable to render a fair and unbiased opinion.

Examples:

- the primary unit voted 3-1-0-0 (yes-no-recusal-absent) for **excellent** teaching (librarianship) with three committee members voting for excellent and one voting for meritorious
- voted 2-1-0-0 for **meritorious** research/creative work with two committee members voting for meritorious and one for excellent
- voted 1-2-0-0 for **not meritorious** in leadership/service with one committee member voting for meritorious and two voting for not meritorious

Add a table like the one below to record evaluations:

Evaluation of Teaching (Librarianship), Research/Creative Work, and Leadership/Service (E = excellent, M = meritorious, NM = not meritorious)	Teaching (Librarianship)	Research/ Creative Work	Leadership/ Service
Department/Primary Unit	7E	4E, 3M	7E
Dean’s Advisory/Review Committee	7E	4E, 3M	7E
Dean’s Evaluation	E	M	E

(3) Record the overall recommendation for promotion to Full Professor (**the record taken as a whole is excellent** or **the record taken as a whole is not excellent**).

Votes			
Department/Primary Unit	RECORD TAKEN	AS A WHOLE	IS EXCELLENT
Dean’s Advisory/Review Committee	RECORD TAKEN	AS A WHOLE	IS EXCELLENT
Dean’s Recommendation	RECORD TAKEN	AS A WHOLE	IS EXCELLENT

*Note the criteria for promotion to Full Professor, found in the system administrative policy statement on “Standards, Processes and Procedures for comprehensive review, tenure, and promotion of tenure-track faculty members,” which can be found at <https://www.cu.edu/ope/aps/1022>.

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(D) Other Situations:

In other evaluation situations, subscribe to the examples given above as closely as possible.