



**GUIDELINES AND CHECKLIST FOR DEPARTMENT CHAIRS IN RECOMMENDING:
REAPPOINTMENT TO ASSISTANT PROFESSOR**

The purpose of these guidelines is to help the candidate prepare the strongest possible dossier for reappointment. These should fit the majority of, but perhaps not all, situations. If you feel your accomplishments and activities need a slightly different approach, you are welcome to make changes in consultation with your department chair and approval of your Senior Associate Dean.

A. TIMETABLE

Reappointment as assistant professor requires a critical review of performance and promise. The tenure-home department should begin the process approximately 6 months before the reappointment dossier is submitted to the CALS SAD Office. The reappointment dossier is due to the CALS SAD Office 3 months prior to the reappointment date. Thus, the dossier preparation should begin 9 months prior to the reappointment date.

Notification must be sent to dual/joint or funding department(s)/college(s)/unit(s) to allow for participation and/or financial planning. In the case of a joint appointment, it is essential that the secondary department's tenured faculty be given access to the dossier and privy to tenure-home department's discussions regarding the candidate's reappointment. The secondary department must have the opportunity to deliberate using the *same information as the tenure-home department*. Although the secondary department does not vote on reappointment, their views must be taken into account by the tenure-home department. Secondary departments must prepare/provide their inputs prior to voting by the tenure-home department to ensure their feedback is taken into account.

Considerations in the reappointment decision include:

- i. Evidence of excellence in performance in carrying out the responsibilities of the position.
- ii. Contributions to the department or division and college.
- iii. Evidence of growth since initial appointment.
- iv. The potential of the candidate for leadership.

If a negative decision on reappointment is reached at the Department level, it is essential that the Chair discuss the situation with the Senior Associate Dean before any official notification is sent either to the Dean or to the candidate. A formal appeals process at the department level is available to the candidate. Please see <http://theuniversityfaculty.cornell.edu/handbook/toc.html> for further policy. The candidate must be informed of this formal process by the Chair.

In case of a negative decision, the candidate should be informed in writing of the starting date of the terminal two semesters of employment.

B. DOCUMENTATION REQUIRED (Note – ALL solicitations for letters must be done by the department and not the candidate.)

Submit ONE electronic set of documentation via Cornell Drop Box to Janet Edwards (je232) in the Senior Associate Deans office 3 months prior to reappointment date.

Department Name: _____

Faculty Member: _____

☐ Check if Dual/Joint Appointment
Name of secondary dept/college: _____

☐ Check if funded from sources outside your department
Name of funding dept(s)/college(s)/unit(s): _____

☐ Sent notification to secondary/funding dept/college/unit that process has been initiated.

Names and dates of those notified: _____

1. CHAIR'S LETTER (PDF Bookmark: Chair's Letter)

Letter from Department Chair to the Dean with the recommendation regarding reappointment, stating the nature and results of the review of the candidate's performance and promise in teaching, research, and extension (as appropriate).

The letter should indicate strengths and weaknesses and suggestions for improvement, focus and so forth. Although the secondary department does not vote on reappointment, their views must be taken into account the by tenure-home department. Secondary departments must prepare/provide their inputs prior to voting by the tenure-home department. Prior to the faculty vote, the reappointment should be considered at a meeting of the tenured faculty to include a representative of secondary department. Indicate the date of the meeting and the vote of the tenured faculty. Opportunity for review and discussion of the candidate's documentation must occur before the vote is taken. The Chair's letter need not be lengthy, but should summarize salient accomplishments of the candidate and issues concerning the faculty. Please give balanced consideration to teaching or extension as well as research.

Where there is a joint appointment or obligation to another program, an evaluation and recommendation letter should be included from the Chair or Director of that program. These additional letters also should be substantive evaluations addressing considerations A.i-iv, on p.1, in relation to contributions to the joint program. If the secondary department declines to participate, then a letter of explanation from that Chair or Director must be included.

If the tenure-home department uses a departmental review committee, its report should be included behind the Chair's letter (and secondary department letter) in this section.

- ☐ Chair's Letter
- ☐ Secondary Department's Letter
- ☐ Departmental Review Committee Letter

2. PROGRAM STATEMENT (PDF Bookmark: Department Program)

Please provide a one-page overview description of the department/division/school.

- ☐ Program Statement

3. POSITION DESCRIPTION (PDF Bookmark: Position Description)

Please include a copy of the original letter of appointment (**PDF Sub-Bookmark Name: Original Letter of Appointment**), a copy of the original position description (**PDF Sub-Bookmark Name: Original Position Description**), and any subsequent letters (**PDF Sub-Bookmark Name: Subsequent Letter**), which altered expectations of the position.

- ☐ Position Description
 - ☐ Copy of original letter of appointment
 - ☐ Copy of original position description
 - ☐ Any subsequent letters altering expectations of position

4. ANNUAL REVIEWS (PDF Bookmark: Annual Reviews)

Include copies of the letter sent to the candidate following each annual review. Include candidate comments submitted in response to reviews, if any. If missing annual reviews, Chair must address reasons in Chair's Letter (Section 1).

- ☐ Annual Reviews

5. CV (PDF Bookmark: CV)

The candidate should provide a complete and comprehensive CV. The CV should include the standard categories of education, experience, honors and awards, professional service, department/college/ and university service, outreach/extension activities, research funding, publications and/or artistic work, and presentations.

- ☐ CV

6. **ADVISING (PDF Bookmark: Advising)**

a. Goals and Accomplishments. The candidate should provide a description of goals and approaches used to enhance his/her effectiveness in advising. **(PDF Sub-Bookmark Name: Goals and Accomplishments)**

☐ Goals and Accomplishments

b. List of Advisees. The candidate should provide a list of all current and past undergraduate and graduate student advisees with their degrees and actual or expected degree dates. **(PDF Sub-Bookmark Name: List of Advisees)**

☐ List of all Advisees segregated into 2 categories (with degrees and degree dates):
☐ Undergraduate
☐ Graduate

c. **Evaluations from Advisees.** The department should provide 3-5 letters from representative undergraduate students and graduate students selected by and solicited by the department. A copy of the request letter should be included as well as a list of advisees contacted. Students are sometimes reluctant to write a letter due to fear of reprisals. The Department may choose to redact student names from letters in this case, but must keep letters with signatures on file for verification upon request from the SAD Office in the case of an appeal. **(PDF Sub-Bookmark Name: Evaluations from Advisees)**

☐ List of advisees contacted
☐ Copy of solicitation letter
☐ 3-5 evaluation letters from students

7. **TEACHING (PDF Bookmark: Teaching)**

a. Goals and Accomplishments. The candidate should provide a statement describing course and educational objectives for the next three to five years, and a statement of teaching accomplishments which support excellence in performance. It is appropriate to provide a thoughtful self-analysis regarding the candidate's personal view of his/her performance, successes, concerns, and expectations of his/her teaching effort, including a statement of the candidate's efforts to improve instruction. This may include current teaching and improvements over time from such areas as instructional delivery, course content, instructional design and evaluating student learning and providing effective feedback. **(PDF Sub-Bookmark Name: Goals and Accomplishments)**

☐ Goals and Accomplishments

b. Courses Taught. The candidate should provide a listing of courses taught each year and enrollments in each. A course outline should also be submitted for each course taught. For team-taught courses, include a statement of specific involvement by the candidate. **(PDF Sub-Bookmark Name: Courses Taught)**

- ☐ List of courses taught each year and their enrollment
- ☐ Course outline for each course taught
- ☐ Team-taught involvement statement

c. Student Evaluation. The candidate should *summarize in a table* student evaluations. Include an interpretation by the candidate of student evaluations, including any changes made or planned as a result.

d. Student Letters. If possible, letters (3-5) from students who have completed the candidate's course(s) should be solicited by the department chair, based on names of students at Cornell. Candidates may suggest to the department chair some names *for the department chair* to solicit. No more than 50% of letters in the dossier may come from students suggested by the candidate. Other letters must come from students selected (and solicited) by the department chair. This section must contain a copy of the request letter, a list of students contacted, the method of student selection, and the rate of response.

Students are sometimes reluctant to write a letter due to fear of reprisals. The Department may choose to redact student names from letters in this case, but must keep letters with signatures on file for verification upon request from the SAD Office in the case of an appeal. This situation should be addressed in a paragraph inserted in this section after the summarization table. **(PDF Sub-Bookmark Name: Student Evaluation)**

- ☐ Student Evaluation (summarized in a table, not actual evaluations), including statement of changes made or planned
- ☐ List of students contacted with brief statement as to how they were selected and the rate of response.
- ☐ Copy of request letter
- ☐ 3-5 Student Letters

e. Faculty Course Evaluation. A statement of faculty evaluation of course content is essential. The Chair should ask appropriate faculty to provide an evaluation of the content of courses taught by the candidate. **(PDF Sub-Bookmark Name: Faculty Course Evaluation)**

These letters should be sent directly to the Chair. Class handouts and other teaching materials do not need to be included with the materials submitted to the Dean, but should be available to the faculty evaluators. The Center for Teaching Excellence website should be consulted for additional guidance (<https://www.cte.cornell.edu/resources/documenting-teaching/index.html>).

- ☐ Faculty course evaluation/s

8. EXTENSION (PDF Bookmark: Extension)

a. **Goals and Accomplishments.** The candidate should provide a description of the goals and accomplishments of extension programming, and a description of the approach used to meet the goals of the extension program. Note the intended outcome and impact of specific types of activities, including in-service education. Provide details of activities in summary or tabular form, and include a list of extension publications and examples of scholarship in the resume. Highlight unique and creative aspects of the extension program. Include administrative and leadership responsibilities and roles that the candidate has assumed. **(PDF Sub-Bookmark Name: Goals and Accomplishments)**

☐ Goals and Accomplishments

b. **Stakeholder Evaluation.** The candidate should provide evidence that the extension program addresses audience needs in a timely manner, is relevant and of high quality, is based on a foundation of research, and has made an impact on participants (stakeholders). Include summaries of stakeholder evaluations of significant extension efforts, when appropriate (including extension off-campus staff, faculty, extension associates and related stakeholders). Describe changes made or planned as a result of the evaluations. Include 3-5 stakeholder letters in the extension program independent of other external letters, serving an equivalent role as letters from students to evaluate teaching or letters from advisees. Chairs may wish to include such letters if a formal extension component is not present, but in that case should note that the faculty member does not have an extension component and acknowledge that their faculty will be evaluated on their official appointments. **(PDF Sub-Bookmark Name: Stakeholder Evaluation)**

- ☐ Stakeholder evaluation
- ☐ Copy of stakeholder solicitation letter
- ☐ 3-5 stakeholder letters

c. **Faculty Evaluation.** A statement of faculty evaluation of the individual's extension program content is essential. The Chair should ask appropriate faculty to provide an evaluation of the content and delivery of the candidate's extension program. These letters should be sent to the Chair. **(PDF Sub-Bookmark Name: Faculty Evaluation)**

☐ Faculty evaluation

9. RESEARCH (PDF Bookmark: Research)

a. **Goals and Accomplishments.** The candidate should provide a statement describing goals and objectives for his/her research program and a statement of substantive research accomplishments, activities or discoveries. What have been the principal achievements to date? The overall intent is to make a compelling case for the ability of the candidate to provide leadership for his/her discipline in discovering new knowledge through creative analysis and synthesis. Publications and grants are listed in the CV and should not be repeated here, except to illustrate how certain products relate to the candidate's research themes. **(PDF Sub-Bookmark Name: Goals and Accomplishments)**

☐ Goals and Accomplishments

b. Faculty Evaluation. The Chair should solicit a statement from a department faculty member evaluating the direction and accomplishment of the research program, including assessment of the research program's relationship to the department's mission. **(PDF Sub-Bookmark Name: Faculty Evaluation)**

☐ Faculty evaluation

10. EXTERNAL FUNDING (PDF Bookmark: External Funding)

The candidate should provide a summary of external funding sought and obtained to support research, extension, and teaching functions. This should include two separate lists. One list should include all grants applied for but not received (**PDF Sub-Bookmark Name: Grants Applied for but not received**). The second list should include all successful proposals and annual dollar support received (**PDF Sub-Bookmark Name: Grants Received**). On successful grants with multiple principal investigators, the role of the candidate in proposal preparation and conduct of project should be described, as well as the percentage of the grant that is allotted to the candidate.

☐ Grants applied for but not received

☐ Grants received

11. REAPPOINTMENT LETTER (PDF Bookmark: Reappointment Letter)

Include a draft of the reappointment letter to be sent to the candidate. The draft will become the basis for the official notice of reappointment and should include the following:

- a. Approval of reappointment.
- b. Period of reappointment.
- c. Evaluation by department faculty of performance to date, summarizing strengths and any areas needing improvement.
- d. Response by the Chair to the candidate's goals over the next 3-5 years.
- e. Any change in the position description.
- f. The expected time of the review for promotion to Associate Professor with tenure.
- g. Include a statement referring to the website containing the "Guidelines for Promotion to Associate Professor with Tenure and Tenure Only for Newly Hired Associate Professor and Professor" and encourage the candidate to review these guidelines
- h. Do not forget to include CALS HR, and if applicable the Chair/Director of any joint program on the CC.

☐ Draft reappointment letter

Approval/Denial of reappointment will be conveyed by the Senior Associate Dean to the Department Chair. Subsequently, a final reappointment letter should be sent to the candidate and a copy sent to the Senior Associate Dean's Office. In case of a negative decision, the candidate should be informed in writing of the starting date of the terminal two semesters of employment.

We have reviewed the dossier and to the best of our understanding, met all the requirements in the guidelines. We understand that missing or incorrect items could result in possible delay of the promotional process.

Signature of Chair

Date

Signature of Preparer

Date