

**SANTA CLARA UNIVERSITY  
OFFICE OF THE PROVOST**

**PROMOTION AND TENURE  
GUIDELINES AND REQUIREMENTS FOR CANDIDATES  
February 11, 2019**

Candidates for tenure or promotion are asked to provide information used in evaluating their applications. The information should be objective and factual, with clarifying explanation if needed, and with enough documentation to be independently verifiable. If you are unsure whether or not the information is pertinent, please consult with the chair or dean. The information you provide, along with other materials, becomes the basis for recommendations by individuals and committees to the President, who has responsibility for granting tenure and promotion.

The rank and tenure decision-making process itself is described in more detail in sections 2.11.1 through 2.11.2 and 3.4 of the *Faculty Handbook*. To ensure the integrity of the process, all documents and recommendations are confidential. Candidates provide materials in electronic form.

## **I. APPLICATION DEADLINES**

### **1. Monday, April 15: External Referees Provided by Candidate and Candidate-Provided Non-Referees**

*By Monday, April 15, provide the following documents to your dean and department chair or program director by filling out the electronic form *External Referees Provided by Candidate and Candidate-Provided Non-Referees*, located at <https://www.scu.edu/provost/policies-and-procedures/evaluation-and-promotion/>:*

- **REFEREES:** Provide the names of at least two external referees who can evaluate the quality of your scholarship or creative work. The dean will obtain letters of evaluation from two of the persons you nominate. Include the complete title, rank, department, and mailing address of each referee as well as the telephone number, and email address, if available. In addition, provide a short description of your reasoning for choosing each referee and describe your relationship, if any, with the referees you nominate (e.g., major figure in the field, associate editor of a journal in which you publish regularly). As a best practice, dissertation advisors, postdoctoral advisors, and co-authors are not typically chosen as referees due to the potential for conflict of interest<sup>1</sup>. Although it is not required, you may choose to contact the referees you nominate to alert them that they may be receiving materials during the summer and that their letters will be due in September. Deans will provide referees with instructions and with information about Santa Clara University pertinent to their evaluation.
- **NON-REFEREES:** Provide the names, titles, and institutions of any persons who, for valid cause, you do not want the department/program or rank and tenure committees to contact as external referees, with a brief statement of the reasons they should not be contacted. If a majority of either the tenured faculty in the department/program or a rank and tenure

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<sup>1</sup>Section 3.4.4.9 of the Faculty Handbook states that “significant scholarly collaboration, such as co-authorship of publications or supervision of a candidate’s graduate work, also presents a potential conflict of interest.”

committee believes that it is necessary to contact one of these persons as a referee, the Provost shall make the final decision as to whether “valid cause” exists.

## **2. Wednesday, May 15: Works to be Evaluated and Professional CV**

*By Wednesday, May 15 provide the following materials to your dean and to your department chair or program director:*

- **WORKS TO BE EVALUATED:** An electronic copy to your dean and chair or director of each publication or creative work to be evaluated by the external referees. (If material is not available in electronic form, please consult with your dean.) An appropriate number of items would be three to five that you regard as the most representative of your work. Your department chair/program director or rank and tenure committees may make additional selections. Do not include any items that were used in a previous successful petition for tenure or promotion. Materials are not usually returned by the referees.
- **PROFESSIONAL *CURRICULUM VITAE*:** One electronic copy to your dean and chair or director of your professional or discipline-specific *curriculum vitae*. Please note that this is different from your annotated *curriculum vitae* due on September 9.

In general, six off-campus evaluations of the candidate’s scholarly or creative work will be obtained: two from external referees nominated by the candidate, two from external referees nominated by the candidate’s department/program, and two from external referees identified by the college or school Rank and Tenure Committee. The college or school committee may request two additional external referees if the candidate’s research or artistic work lies in more than one field. If you believe this applies to your case, please indicate so when supplying the information requested above.

If your appointment is in multiple disciplines, please provide each of your department chairs or program directors with these materials.

If you have questions, please check with your dean.

## **3. Monday, September 9: Completed Petition and Backup Documentation**

*By Monday, September 9, complete your petition by submitting the following to your dean and department chair or program director:*

- **PETITION COVER SHEET:** Please complete the Cover Sheet-Petition for Tenure and/or Promotion, located at <https://www.scu.edu/provost/policies-and-procedures/evaluation-and-promotion/>
- **ANNOTATED *CURRICULUM VITAE*:** Follow the format outlined in Part II below. While the *vitae* may include brief explanations for the purpose of clarification, it should avoid personal comment.

- **PERSONAL STATEMENT:** If you choose to submit a personal statement, it should follow the format outlined in Part III below.

*By Monday, September 9, provide to your dean and department chair or program director one set of backup documentation:*

- **TEACHING MATERIALS:** The Provost's Office will provide the candidate and chair with a list of all courses (sections) taught at Santa Clara University, by quarter, since initial appointment, granting of tenure, or promotion to current rank. For each relevant course, provide one electronic copy of student evaluations of teaching, peer observations (if available), course syllabi, significant assignments and exams, and any other information related to the quality of teaching. A single set of teaching materials may be included for courses taught in multiple sections if they are substantially similar across sections. If any of these is unavailable, please explain.
- **SCHOLARLY WORK:** Provide one copy, in electronic form, of all published work or appropriate evidence of accomplishment in the arts since initial appointment, granting of tenure, or promotion to present rank. For each work that has been accepted for publication but not yet published, provide an electronic copy of the work and the editor's acceptance letter. Completed unpublished work may also be included. Evidence of accomplishment in the arts may include outside reviews of productions, performances, exhibitions, and the like. For further guidance on appropriate material to include, please consult with your department chair and dean. If any relevant evidence is unavailable, please explain.

If you have published articles or books in a language other than English, include an abstract summarizing the contents of each such publication for the review process. If the publication is a book, you may decide to provide an abstract of each chapter of the book. Alternatively, you may decide that an abstract summarizing the purpose of the work and its principal conclusions would be sufficient. Abstracts may not be necessary for creative works, such as a poem, composed in a language other than English. Any uncertain case should be referred to your dean for a decision.

#### 4. Transmission of Materials After September 9

Section 3.4.5 of the Faculty Handbook guides the transmission of materials as follows: "Materials entering the process after it has begun shall be transmitted directly to the candidate's dean or, if the evaluations have proceeded beyond the dean, to the Provost for further transmittal to whatever person or committee is currently evaluating the candidate to whom they pertain. Such late materials need not be reviewed by the authors of completed evaluations unless, in the opinion of the University committee or the Provost, they ought to be." Candidates may add late materials such as an updated manuscript status, a new honor or award, new information about a creative work, or information regarding the status of a grant proposal.

## II. ANNOTATED CURRICULUM VITAE

Please indicate with an asterisk (\*) in the *curriculum vitae* which accomplishments -- publications, artistic works, papers, professional services, and so forth -- have occurred since initial appointment, granting of tenure, or promotion to present rank (whichever is most recent) at Santa Clara.

Precede all headings with the numeral or letter it carries in the outline below. If no information is to be listed under a particular heading, list the heading followed by the word "none."

### 1. Education

- a) Institutions of Higher Education. List in chronological order all institutions of higher education you have attended, together with major and minor subjects, degrees received and the dates of those degrees, and the dates of attendance at institutions from which you have not obtained degrees.
- b) Titles of Theses and Dissertations. List the titles of all doctor's, master's, and other theses and dissertations you have written, with names of thesis directors.
- c) Academic Honors. List fellowships, awards, elections to honorary societies, and other academic honors, together with dates and clarifying comments if any are needed.

### 2. Teaching and Related Experience

- a) Teaching Experience. List in chronological order all institutions at which you have taught, the academic ranks or other titles you have held, and the dates of your appointments. If any experience is part-time, please indicate.
- b) Other Academic Experience. List department chair positions, directorships of programs, and other administrative or quasi-administrative experience you have had. Do not list here memberships on academic committees or in professional organizations.
- c) Relevant Non-Academic Professional Experience. List any experience in publishing, editing, scientific or technological work, business, or the arts that amounts to professional qualification or qualification for tenure or promotion in academic rank.

### 3. Scholarly and Artistic Work

- a) Scholarly Publications. List in order of appearance all published books, articles, monographs, or creative works of a scholarly nature, as defined in the *Faculty Handbook* (Section 3.4.2). Include works that have been accepted for publication but not yet published. Please cross-reference all publications that have appeared in substantially the same form in more than one venue. Give full bibliographical data and, if titles do not

clearly indicate the nature of the work or if some qualification is called for, annotate the entries. For example, distinguish articles from reviews, and indicate which publications are peer reviewed. If you are a joint author, indicate the extent of your responsibility in the authorship or any special relationship you might hold with other authors (e.g., that the primary author was a thesis or project director with whom you collaborated as a student or an assistant).

- b) Artistic Performances and the Like. List any concerts, exhibitions, performances, recordings, and the like. Give the sponsor, occasions, dates, locations and appropriate clarifying information -- "juried," "invitational," "solo exhibit," or the like. Note any awards.
- c) Works in Progress. List books, papers, or other manuscripts, completed but not yet accepted for publication, and artistic works not yet performed, exhibited, or accepted for publication. Give full information and all appropriate clarifications, as for Publications and Artistic Performances above.
- d) Presentations and the Like. List any papers, lectures, and the like presented to professional bodies or in your professional capacity. Give titles, clarifying comments as needed, and occasions. Please note any that have also been listed above as publications, artistic performances, or works in progress.
- e) Grants. List any external (non-university) grants awarded in support of your scholarship, with title of project, date and duration of funding, dollar amount, and funding agency. If you are a co-investigator on the grant, indicate the extent of your responsibility in the research project and any special relationship you hold with other investigators.
- f) Non-Scholarly Publications. List any professionally relevant work of a non-scholarly nature, such as articles in newspapers, magazines, newsletters, or on-line venues.

#### **4. Service to the University, the Profession, and the Community**

- a) Service to University. List committees and other service activities under the headings of Department, College or School, and University. Give dates and indicate any chairmanships you have held.
- b) Service to Profession. List dates and offices held in professional organizations.
- c) Community Service. Clearly describe, with dates, any community or public service that would serve as a qualification for tenure or promotion in academic rank.

### **III. PERSONAL STATEMENT**

The personal statement is separate from the annotated curriculum vitae. Although such a statement is not required, you may choose to explain any aspect of your career that may not have been adequately addressed in the rest of your application. The Personal Statement should not repeat or summarize materials already included in the petition, and ordinarily should not exceed 8 pages, or 2000 words.