

**PROMOTION & TENURE DOSSIER WORKSHOP**  
**OFFICE OF FACULTY AFFAIRS**  
**TRAINING & DEVELOPMENT**  
**July 18, 2017 and July 26, 2017**

**Note:** UGA's *Guidelines for the Appointment, Promotion & Tenure of Academic Rank Faculty* were revised in Spring 2017. The printed version of the new *Guidelines* has a red cover and is available for distribution. Please send requests for this document to Tanya Burgess at [tmb@uga.edu](mailto:tmb@uga.edu). A pdf version of the new *Guidelines* is also posted on the [Office of Faculty Affairs' \(OFA\) Promotion and Tenure](#) page. Changes due to the revisions are highlighted in the following pages in yellow. An electronic copy of this handout, with active hyperlinks, is also posted on the OFA Promotion & Tenure page.

### Promotion and/or Tenure Electronic Dossier Checklist

(The following is an expanded, annotated view of the dossier checklist found in Appendix G of the [Guidelines for Appointment, Promotion and Tenure](#) (p. 52). When preparing a dossier, Appendix C in the [Guidelines](#) is also a very useful reference as it presents a descriptive outline of the dossier contents.)

Name \_\_\_\_\_ Current Rank \_\_\_\_\_

Department \_\_\_\_\_ School/College \_\_\_\_\_

Recommendation For: (check one)     Promotion & Tenure     Promotion Only     Tenure Only

Promotion to: (check one)     Assistant Professor     Associate Professor     Professor  
 Clinical Associate Professor     Clinical Professor

Contract Type: (check one)     Fiscal     Academic     Adjunct (not paid)

AREA COMMITTEE: (check one)     Fine/Applied Arts     Health/Clinical Sciences     Humanities     Life Sciences  
 Physical Sciences     Social/Behavioral Sciences     Professional/Applied Studies

**Items in Dossier** (ensure all items are included in the electronic dossier (pdf format) at each level of review)

- (1) **Letter of Transmittal** (include area committee assignment)
- **Short Letter**
  - **Presents Dossier for Institutional Review**
  - **List Candidate's Name, Home Department(s), P&T Category, and Area Committee Assignment**
  - **See [Sample Transmittal Letter](#)**
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- (2) **Table of Contents**
- **See [Sample TOC](#)**

3) Section I: [UGA Recommendation for Promotion Form](#) (with all signatures & votes)  
[UGA Recommendation for Tenure Form](#) (with all signatures & votes)

- Use [Quick Reference](#) to calculate years in rank, years at UGA; **note change in time requirement for promotion to Associate Professor**
- Use faculty rank titles; do not use administrative titles
- Use total years employed at UGA (any position; not just faculty) without a break in service.
- Use total years teaching university/college-level courses for academic credit (not just UGA)
- Recommend: Be sure to circle Yes or No
- Options for form(s) if Joint Appointment
- Originals of both forms sent in hard-copy to your Dean's Office, then Office of Faculty Affairs

(4) Section II:

p. 50 & 51: "If the PTU Head or Dean chooses to write a single cover letter for a candidate applying for promotion and tenure at the same time, the letter must address all content areas specified in Appendices E and F."

***PTU Head Cover Letter(s)***

- [Guidelines](#), see p. 27, 29, & 30, Appendix C-Section 2 (p. 46), & Appendices E-F (p. 50-51)
- Prep after PTU's evaluation (p.27); a synthesis of faculty judgement (p. 30)
- Candidate must be informed of results of the vote, including tally, within 3 working days of meeting (can be email) (p.29)
- Include summary of procedural steps followed by the PTU in reaching its vote, including relevant dates where appropriate; state that a quorum was present
- Any identification of external evaluators must be deleted before the letter is reviewed by the candidate (p. 30)
- If negative PTU vote, PTU Head, regardless of his/her vote, will summarize the deliberation for the PTU's negative vote as a separate document in the dossier (p. 30)

***Dean's Cover Letter(s)***

- [Guidelines](#) pp. 33-34, Appendix C-Section 2 (p. 46) , & Appendice E-F (p. 50-51)
- Prepared after the school/college review committee votes and prepares written rationale.

**School/College Review Committee Written Rationale and Vote**

- [Guidelines](#) pp. 32-33
- When reporting the vote, state that a quorum was present

**Candidate's Letter(s) of Response** (if included)

- Can correct any factual error in the dossier as it moves forward
- PTU Head's Cover Letter – 5 working days to respond (p. 30)
- School/College Review Vote & Rationale – 7 working days to respond (p. 33)
- Dean's Cover Letter – 5 working days to respond (p. 33)

**Supplemental documents...[Guidelines](#), p. 30**

"No revision/alteration of existing documents in the dossier are allowed after the PTU vote has been taken. Any factual errors must be corrected via cover letter or candidate's response as the dossier moves forward to the next level of review. The candidate may add evidence of award of a grant, acceptance of a publication, or other significant achievement to the dossier at any time during the review process. This documentation should be accompanied by a letter of request to add to the dossier and **will be included in the cover letter section.**"

**(5) Section III: Unit Criteria**

- [Guidelines](#) p. 9
- Make sure unit criteria in the dossier are the same ones posted on [Provost's website](#).
- Any changes to the criteria must be accepted by Faculty, Dean & Provost

**(6) Section IV: Vita & Candidate's Statement of "Major Accomplishments"**

- Sections IV and V together should not exceed 25 pages. (p. 46)
- "font size must be at least 11 point, all margins must be at least one inch, line spacing must not exceed six lines of text per vertical inch, and page size must be letter (8.5 inches X 11 inches)." (p. 46)
- **Vita; [Guidelines](#) p. 47** A summary of the candidate's professional activities and achievements. Identify with an asterisk to the left of entries those media, exhibitions and performances that are of national or international standing.
- **Recommended vita format is now presented in Appendix H (p. 53)**  
"If joint endeavors are listed on the CV, faculty should briefly describe how authorship order is assigned in their discipline. Scholarly outputs appropriate to the discipline and as specified by the PTU criteria, should be listed. Peer-reviewed and invited items should be identified as such with asterisks or other markers as defined in the CV by the candidate."

- **Documentation of funding (p.17):** "Funded projects, grants, commissions and contracts (include source, dates, title and total amount awarded, and amount awarded to candidate, if different) completed or in progress."
- **Statement of Major Accomplishments; Guidelines p. 47** (two page max)

"The candidate should add to the end of the vita a letter no longer than 2 pages that describes the candidate's major accomplishments and assesses the impact of each." Should be a persuasive and interpretive piece of writing; not one that simply lists achievements already presented in the Vita. This is the candidate's opportunity to make the case that his/her dossier includes clear and convincing evidence that the University and PTU criteria for the desired rank and/or tenure have been met.

### **(7) Section V: Achievements**

- **Section V should not exceed 12 pages; Sections IV and V together should not exceed 25 pages.**
- **Guidelines p. 47-48; Achievements in:**
  1. Teaching,
  2. Research, Scholarship & Other Creative Activities
  3. Service to Society, the University & the Profession
- **Should address at least those areas in which the candidate has had work assignments (i.e. their allocated time or effort), since appointment or last promotion.**
- **Provide data summaries & cross reference with Vita as much as possible to avoid redundancy within the dossier.**
- **May be organized around the PTU criteria; i.e. can present/summarize relevant performance for each criterion in turn**

### **(8) Section VI: Letter of Offer and Third-Year Review**

- **Guidelines pp. 48**
- **OK to strike out salary or other personal information**
- **Be sure to include a statement explaining any changes in assigned duties since initial appointment/offer letter.**
- **Third-year review required for any untenured faculty member on the tenure-track (p. 25); include Third Year Review report in dossier of any untenured faculty member seeking tenure or promotion.** (Note error in dossier checklist in the red book; correct version is posted on OFA website.)
- **If candidate responded to 3<sup>rd</sup> year review, the response becomes part of the review so must also be included in the dossier**

**(9) Section VII: 1. Brief Statement of Qualifications of Each External Evaluator**

**2. Identification of Evaluation Letters from Candidate's List vs PTU's List**

**3. Sample Letter Requesting Evaluation** (optional)

**4. External Letters of Evaluation**

- **Guidelines p. 28 – edited heavily to improve clarity + all instructions on who may serve as external evaluator; info on how to solicit letters: p. 48-49**
- **At least 4 letters, with at least 2 from candidate's suggested list and 2 from a list developed by PTU Head. (ambiguity about minimum number eliminated)**
- **New details: "External reviewers should hold an equal or higher rank than the rank to which the candidate is seeking promotion. For external reviewer outside the United States or in non-academic positions, the "statement of qualifications" (see below) should address the question of the reviewer's equivalent rank in the U.S. academic system." (p.28)**
- **Letters may not come from candidate's terminal degree advisor, postdoctoral advisor, former students, close associates or friends.**
- **All solicitation letters should be based closely on the template in Appendix D (p. 49). Although optional, good to include a sample solicitation letter in the dossier in case any questions from higher level review committees.**
- **All letters that are received must be included in the dossier.**

- **Joint Academic Appointments – See [Academic Affairs Policy 1.04-6](#) and [Guidelines](#) (pp. 30-31 and 42-43).**
- **Candidates given prior credit towards their promotion time in rank (new on p.22) or tenure probationary period may include accomplishments from the period of prior credit.**
- **Effective dossiers – organized, clear, concise (good use of summaries; lack of redundancy) accurate, and adhere to *Guidelines*.**
- **Examples of problems reported by review committees that weaken dossiers:**
  - **CV does not clearly indicate candidate's contribution if co-authored.**
  - **Does not specify candidate's role/share in group grants/collaborations**
  - **Too long**
  - **Need documentation of teaching**
  - **Need more representative student evaluations**
  - **Clearly specify work assignment (service, instruction, research) in a consistent location (cover letter, vita). If service is 0%, specify the 0% assignment even if achievements in this area.**

- **COLLABORATIVE PROCESS FOR DOSSIER DEVELOPMENT:**
  - Preparation and verification of the contents of the dossier is a cooperative endeavor between the PTU Head & candidate, with candidate having the final say about the dossier's contents, with exception of external letters (p. 27)
  - **Candidate:**
    - Vita
    - Major Accomplishments (up to 2 pages)
    - Evidence for Section V Achievements
    - Provide list of 3-6 potential external evaluators & up to 3 exclusions
    - Proofread the dossier
    - The candidate may correct errors of fact.
    - If the candidate disagrees with an opinion expressed in cover letter, he/she may issue a written response but cannot "correct" the opinion.
    - Should not have access to external letters.
  - **PTU Head:**
    - Accuracy of vita and other documentation
    - Section I – P&T Summary Forms
    - Cover Letter(s)
    - Separate document if negative PTU vote
    - Supply PTU Criteria
    - Write/compile/edit Achievements section
    - Supply offer letter and third year review report
    - Solicit letters of evaluation & write description of evaluators' qualifications
    - Oversee preparation and submission of dossier to the PTU and the school/college.
- **APPENDICIES:** Do not submit appendices for university level review. However, you can connect to an external website for additional information and resources. If do so, suggest including one link in Major Accomplishments Section.

- **SUBMISSION TO OFFICE OF FACULTY AFFAIRS FROM DEAN'S OFFICE:**
  - Dossiers Due in Faculty Affairs on October 20, 2017
  - This deadline includes dossiers for the following ranks: Associate Professor, Professor, Clinical ranks, Academic Professional ranks & Senior Lecturer
  - Conduct thorough review of dossier contents against the checklist prior to submission
    - Use Quick Reference to confirm Years in Rank
  - Electronic Dossiers uploaded via eLC
    - Step-by-step instructions for upload Updated this year.
    - **Single** PDF file with sections in order of dossier checklist
    - Use required naming structure
    - Use electronic dossier checklist updated on 6/13/17 in the electronic dossier.
    - Ensure all additional letters, including candidate's response(s) included in dossier
    - **Do not submit a zip file.**
  - Submit these Original, Hard-Copy Documents to OFA by dossier deadline (detailed instructions here):
    - Master Cover Letter with a complete list/report of all promotion/tenure candidates
    - ~~Electronic Dossier Checklist completed for each candidate based on review of the electronic dossier being submitted [no longer necessary in hard-copy]~~
    - Original *Promotion and/or Tenure Recommendation Form(s)* with all signatures, votes, approval status.

#### QUESTIONS?

- Sarah F. Covert, Associate Provost for Faculty Affairs ([covert@uga.edu](mailto:covert@uga.edu)) or
- Tanya Burgess, Administrative Specialist II ([tmb@uga.edu](mailto:tmb@uga.edu))
- 225 New College, 706-542-0547

#### REFERENCES:

- Promotion & Tenure Page, Office of Faculty Affairs (includes all of the following docs)
  - UGA Guidelines for appointment and promotion of all faculty ranks
  - Quick Reference (for calculating years in rank)
  - Criteria for Promotion and Tenure listed by Unit
  - Application deadline memos
  - eLC dossier submission procedures – to send dossiers to OFA
  - Dossier Checklist
  - Recommendation for Promotion & Tenure Forms
  - Workshop Materials
- UGA Academic Affairs Policy Manual, Section 1: Faculty