

Promotion and Tenure Criteria and Procedures, and Procedures for Third-Year Review

College of Engineering University of Georgia

College of Engineering Criteria for Promotion and Tenure (September 2015)

Supplement to the University of Georgia Guidelines for Appointment, Promotion, and Tenure

This document supplements the *University of Georgia Guidelines for Appointment, Promotion and Tenure*, Spring 2014 (available at:

http://provost.uga.edu/documents/guidelines_revised_spring_14.pdf). These guidelines specify that the College of Engineering (CENGR) has adopted its own written criteria for promotion and tenure to supplement the university guidelines with discipline-specific guidelines.

In all matters related to promotion and tenure, CENGR will carefully adhere to the University of Georgia Guidelines *for Appointment, Promotion and Tenure*. The standards, criteria, and processes presented in this document are intended to supplement and/or extend the University's Guidelines. All faculty are expected to be familiar with both this Promotion and Tenure document and the University Guidelines. If any inconsistency or discrepancy is found in this document or if this Promotion and Tenure document does not address a certain issue, the University's Guidelines will supersede this document.

This document is applicable only to tenure-track faculty in the College of Engineering. Tenure-track faculty includes those faculty members who are eligible to receive institutional tenure as defined by the University Guidelines. These faculty members hold the ranks of Assistant Professor, Associate Professor and Professor.

This document and discipline-specific criteria must be accepted by the faculty within the appointment unit, and must be reviewed and approved by the Dean of CENGR and the Senior Vice President for Academic Affairs and Provost. New faculty members must be provided with this Promotion and Tenure document and University Guidelines. In addition, the faculty, Dean and the Provost, must approve any changes or updates to this Promotion and Tenure document. All revisions and approval dates must be listed in the Promotion and Tenure document.

I. Criteria for Promotion and Tenure

The University Guidelines outline the standards required for faculty to achieve promotion and tenure. All faculty must contribute to the teaching, research, or service missions of the university. Promotion and tenure are based on the candidate's performance in each of these areas. This document provides additional detail for promotion and tenure within CENGR. Note that dossiers are judged on a case-by-case basis, and the criteria in this document are understood as guidelines.

a. Contributions to Teaching

The Standard

CENGR recognizes that high quality teaching at the undergraduate and graduate level is critical to the mission of the College. Candidates for promotion and tenure must exhibit excellence in teaching. The relative weight placed on teaching effectiveness when evaluating a candidate's overall level of performance should be commensurate with the candidate's assigned percentage of time in teaching. Key considerations in teaching effectiveness may include the following:

- Classroom effectiveness: The candidate must exhibit the ability to communicate effectively with the students. Evidence of effectiveness should be based on more than summarized teaching evaluations. Other evidence may include evaluations by colleagues that have observed the candidate's teaching or peer review of the candidate's teaching materials.
- Scholarship of teaching and learning: Conference proceedings, journal articles, or grants that have focused on scholarship of teaching and learning.
- Course and curriculum development beyond the classroom: The candidate must exhibit that they have contributed to the educational program beyond teaching their individual classes. Examples of this contribution include significantly revising existing courses, developing new courses, contributing to the development of a curriculum, and contributing to ABET review materials.
- Contribution of the candidate to the interdisciplinary vision of CENGR.

Promotion to Associate and Full Professor

For promotion to rank of professor, additional evidence of excellence in teaching is necessary, such as, for example, evidence of leadership or national stature.

Tenure

All of the above with additional documentation addressing the University's "continuing and long-range need for what the candidate for tenure may be expected to do" and likelihood that the candidate will continue to be an active and productive scholar over the long period time that tenure supposes (in accordance with UGA Guidelines).

Evidence of Excellence in Teaching

In addition to the documentary evidence suggested in the University Guidelines, the candidate is expected to demonstrate evidence of teaching excellence through some of the following:

- Statement on teaching achievements, detailing the candidate's personal teaching philosophy, major accomplishments in teaching effectiveness, and other contributions to the

teaching program.

- Teaching assignments, including descriptions of courses taught, student enrollments, and grade distributions for each class.
- Graduate students supervised, and placement and success of graduated students.
- Professional development mentoring of graduate students in the area of teaching.
- Description of teaching materials developed such as textbooks, articles related to scholarship of teaching and learning, or similar conference proceedings.
- Grants received or applied for that are focused on the scholarship of teaching and learning.
- Summaries of classroom evaluations from students, and other sources of evaluation such as peer-review and unsolicited letters from students.
- Research mentorship for graduate and undergraduate students. Evidence of this mentoring could include publications jointly written with students, regular research meetings held with students, and joint presentations with students.

b. Contributions to Research

The Standard

CENGR recognizes that high quality research is critical to the mission of the College. Candidates are expected to demonstrate excellence in the faculty member's assigned area of research. Research activities must be of high quality, and the review committee and external evaluators will distinguish between routine and outstanding. High quality research is valued over quantity by CENGR. Research contributions that have been favorably reviewed by professional or academic peers will be weighted more heavily than those that have not. The relative weight placed on measurable research outputs (e.g., refereed journal articles) when evaluating a candidate's overall level of performance should be commensurate with the candidate's assigned percentage of time in research. Key considerations in research effectiveness include:

- Impact: Description of research areas and directions for future research, emphasizing impact of the research and how the candidate's research has contributed to research in their field or discipline.
- Scholarly output: Publications and presentations in each of these areas.
- Research support: Intramural and extramural research support in form of grants or contracts.
- Interdisciplinarity: Contribution of the candidate to the interdisciplinary mission of CENGR in form of interdisciplinary research programs (evidenced, for example, by co-authored publications or grants) where the candidate's scholarly work complements that of collaborating researchers.

Promotion to Associate Professor

Candidates must demonstrate clear and convincing evidence of emerging stature as regional or national authorities in their field of expertise. CENGR considers refereed publications to be the most important and widely accepted indicator of this emerging status as a regional or national authority. Publications will be evaluated on content, contribution, and the quality and appropriateness of the journals (or other outlets) relative to the candidate's appointment or field of study. The quality and appropriateness of journals should be documented by the candidate and the

external evaluators. Although publication emphasis should always be on quality and contributions to a focused scholarly program, candidates with higher research appointments are expected to demonstrate higher levels of refereed journal article output commensurate with the assigned time in research. Selected and invited presentations at regional and national professional meetings and conferences, and both competitive and non-competitive extramural funding are also important indicators of emerging status as a regional and national authority or scholar.

Promotion to Professor

Candidates must demonstrate clear and convincing evidence of high levels of attainment in the criteria appropriate to their work assignments and the missions of their units. Unless the candidates' assignments are specifically regional, they should demonstrate national or international recognition in their fields and the likelihood of maintaining that stature. For promotion to Professor, books and book chapters (especially invited chapters) may also be important indicators of national and international scholarly status. Selected and especially invited presentations at national and international professional meetings and conferences, and both competitive and non-competitive extramural funding, are also important indicators of national and international scholarly status. By this stage of a career, documentation of impact is highly desirable. Possible ways to document impact include: citation indices, evidence of others adopting research results, or other means of estimating or relating impact.

Tenure

All of the above with additional documentation addressing the University's continuing and long-range need for what the candidate for tenure may be expected to do and likelihood that the candidate will continue to be an active and productive scholar over the long period time that tenure supposes.

Evidence of Excellence in Research

In addition to the possible sources of documentary evidence suggested in the University Guidelines, the candidate is expected to demonstrate research excellence through some of the following:

- Special recognition of the candidate's scholarly works, such as awards, scholarly reviews, citations, and invited presentations.
- Funded projects, grants, or contracts at the university level, and at state and federal levels.
- Evidence of activity to secure funding, even if unsuccessful.
- Evidence of interdisciplinary collaborations, such as cross-disciplinary co-authorships.
- Patents awarded, software deployed, technology transferred or adapted in the field.
- Research contributions demonstrate sustained and programmatic activity as contrasted with unrelated and unfocused activity.
- Editorial and referee services for academic journals.

c. Contributions to Service and Outreach

The Standard

CENGR recognizes that faculty members are responsible to a diverse set of stakeholders, including instructional programs, CENGR peers and leadership, University community, professional organizations, industry, and society at large. Candidates for promotion should

demonstrate contributions to the service and outreach mission of CENGR with a high level of professionalism. The relative weight placed on service and outreach efforts when evaluating a candidate's overall level of performance should be commensurate with the candidate's assigned percentage of time in service and outreach. Key considerations in service effectiveness include:

- Contribution to instructional programs that include a service or outreach component within the course. These include areas such as curriculum development or ABET accreditation, providing guest lectures in topics related to service or outreach, and enhancement of existing courses to include a service or outreach component.
- Contribution to CENGR through engagement in faculty meetings and committees, when elected.
- Contribution to professional organizations.
- Contribution to community service related organizations.
- Contribution through serving as faculty mentors for student organizations.
- Contributions to CENGR outreach efforts to communities, governmental or other organizations, or Industry.

Promotion to Associate Professor

Candidates must demonstrate clear and convincing evidence of engagement with service to the instructional program, CENGR, university, and professional organizations, or societies.

Promotion to Professor

Candidates must demonstrate engagement with service responsibilities and leadership in some service areas to the instructional program, CENGR, university, professional organizations, or societies.

Tenure

All of the above with additional documentation addressing the University's continuing and long-range need for what the candidate for tenure may be expected to do and likelihood that the candidate will continue to be an active and productive scholar over the long period time that tenure supposes.

Evidence of Excellence in Service and Outreach

In addition to the possible sources of documentary evidence suggested in the University Guidelines, the candidate is expected to demonstrate service excellence through some of the following:

- Leadership in instructional groups, academic programs, projects, student organizations, or study-abroad initiatives
- Leadership functions in professional societies
- Leadership functions in professional conferences
- Leadership functions in community service related organizations
- Activities as reviewer for peer-reviewed articles
- Activities as reviewer in grant review panels

II. Procedures for Promotion and Tenure

a. Promotion and Tenure Committees and Promotion and Tenure Unit (PTU)

PTU

Composition and formation process – The PTU shall consist of all appointed CENGR faculty eligible to vote in the candidate’s faculty track (at least one rank above the position of the individual nominated for promotion and/or tenure).

Duties – The PTU will provide a formal vote of acceptance or rejection of the candidate’s promotion and/or tenure to the Dean. The College’s Associate Dean for Academic Affairs is to **chair the PTU voting meeting to ensure consistency and enforce University and College procedures.**

CENGR Program Coordinators Committee (CC)

Composition and formation process – The CC shall consist of all CENGR Program Coordinators of at least one rank above the position of the individual nominated for promotion and/or tenure.

Duties – The CC will select the three faculty to serve on the First Level Review Committee (FLRC) described below.

First Level Review Committee (FLRC)

Composition and formation process – A FLRC shall be established for each promotion and/or tenure case in CENGR. The FLRC shall consist of five members that are knowledgeable in the subject area(s) of the candidate’s teaching, research, and service activities. The five member committee shall consist of two faculty selected by the individual nominated for promotion and/or tenure and three faculty selected by the CENGR Program Coordinators Committee (CC). At least four of the FLRC members shall be appointed faculty of CENGR. One FLRC member can be a UGA faculty in the tenure track from outside the college. All faculty members on the FLRC will be those eligible to vote for the candidate’s promotion and/or tenure if such vote occurred at the current time – those who are in the candidate’s faculty track and at least one rank above the position of the individual nominated for promotion and/or tenure. The FLRC will elect and recommend to the Dean one member from this committee to serve as the PTU head and chair of the FLRC committee. The PTU head must be an appointed faculty from CENGR. The Associate Dean for Academic Programs is tasked with the responsibility of governing the review process and ensuring consistency among FLRCs of all candidates.

Duties – The FLRC will ensure that policies for tenure and promotion for CENGR and the University of Georgia are followed. In addition, the FLRC will review the candidate’s dossier, and present a summary of the candidate’s achievements to the PTU during the voting meeting. FLRC does not make promotion and tenure decisions; its function is to advise candidates and inform the faculty.

b. Nomination

Faculty members who wish to be considered for promotion and/or tenure shall notify the Dean in writing no later than February 1 of the academic year prior to the academic year in which they wish to be considered. Such requests will be honored by the Dean, consistent with the UGA “Guidelines for Appointment, Promotion and Tenure”.

c. Dossier Preparation and Review

Overview

Each individual who wants to be considered for promotion and/or tenure must submit materials according to the *University of Georgia Guidelines for Appointment, Promotion, and Tenure document*. The FLRC shall assure the original submission follows this form.

Preparation and verification of the contents of the dossier is a cooperative endeavor between the candidate and the FLRC with the candidate having the final say about the dossier's contents, except for the required external letters of review to be included by the FLRC.

For the purposes of the FLRC and the PTU evaluation, only Sections 3 (Unit Criteria), 4 (Vita), 5 (Achievements), and 7 (External Evaluations) of the dossier need be included.

Preliminary Consideration

An FLRC will be formed for each candidate wishing to be considered for promotion and/or tenure by February 15. The candidate's dossier, prepared according to above guidelines should be submitted to the FLRC by March 1 and will be considered for a preliminary promotion and/or tenure vote by the PTU. The FLRC does not make decisions or vote on the preliminary considerations but instead informs the PTU who shall conduct the preliminary vote. The candidate will be notified of the preliminary vote by April 15 and university guidelines will be followed to determine whether or not to proceed with the review process and request external letters.

External Review Letters

A minimum of five external appraisals of the quality of the candidate's work from highly qualified individuals is required as part of the dossier and needed for FLRC and PTU evaluations. The candidate will construct a list of up to six potential external evaluators and their qualifications as reviewers and submit to the FLRC. The dossier must include at least two letters of evaluation from the candidate's list. In addition, the FLRC shall receive at least three additional external review letters from individuals not included on the candidate's list. The FLRC will contact external reviewers for their willingness to review the candidate's dossier and request letters of appraisals from these individuals no later than a week after the preliminary vote. Letters shall not be solicited from reviewers who have a clear conflict of interest. External review letters shall be received by June 15. Per UGA Guidelines, all external letters of evaluation received must be included in the dossier.

PTU Evaluation and Recommendation

A meeting will be requested for the PTU to discuss the candidate's dossier and external review letters, and take a vote on recommendation for promotion and/or tenure. The vote shall be by secret ballot. The vote is recorded in writing and provided to the Dean along with the PTU head letter, candidate's dossier, and external letters.

After the PTU evaluation and vote, the FLRC shall provide the candidate the PTU vote recommendation along with the PTU head letter summarizing the candidate's achievements and synthesizing faculty judgment, no later than August 15. The identity of the external letter reviewers is redacted before candidate review of the letter. The candidate will have five working days to read and respond in writing to the Dean to this material before it goes forward. The

candidate may also request a meeting with the Dean before the five-day deadline.

Dean Recommendation

After review of all materials, the Dean shall notify the candidate of his or her recommendation and the basis for it. The Dean's recommendation letter will be forwarded to the University level review. The candidate may submit within five days a response to the Dean's letter for submission to the University Review Committee.

University Level Review

Each nomination shall be forwarded by the Dean to the University Review Committee and shall be accompanied by the PTU Head letter containing the results of the PTU vote, and Dean's recommendation and the candidate's responses to the PTU Head and/or Dean's letters (if any).

d. Appeals Process

When a candidate receives a negative recommendation from the University Review Committee (either because the University Review Committee fails to overturn a negative recommendation from CENGR, or because the University Review Committee overturns a positive lower-level recommendation), the dossier is automatically forwarded to the University Appeals Committee unless the candidate chooses to withdraw his/her application in writing. In the case of an appeal, the guidelines set forth within Section VIII of the UGA "Guidelines for Appointment, Promotion, and Tenure" will govern.

e. Important Dates

Note all dates are of academic year prior to which the candidate is to be considered for promotion.

- i. Nomination Due – February 1
- ii. FLRC Formed – February 15
- iii. Dossier Due to FLRC – March 1
- iv. Preliminary consideration by PTU conducted – April 15
- v. External Reviewers Contacted – April 21
- vi. External Review Letters Received – June 15
- vii. PTU Evaluation Completed – August 15
- viii. Dean Recommendation Completed – September 1
- ix. Nomination Materials Due to Office of Faculty Affairs in early to mid-October

III. Procedures for Third-Year Review

a. Review Committee (RC)

Composition and formation process – The RC will consist of at most four eligible faculty members. At least three of the RC members shall be appointed faculty of CENGR. One RC member can be a UGA faculty from another school or college. The eligible voting faculty will be those who are tenured or on tenure-track and hold the rank of associate professor or professor.

The formation of RC will be the responsibility of a Program Coordinator of the candidate's choice who acts as a temporary PTU Head, with the candidate providing recommendations for other members of the RC. The candidate may request for the Program Coordinator, or the Program Coordinator may choose, to be a member of the RC. Once formed, the RC will select a chair to oversee and act as PTU head for the review.

The College's Associate Dean for Academic Programs is to coordinate and oversee the 3rd year review process to ensure consistency among the candidates and enforce University and College guidelines.

Duties - The RC's overall charge is to review the progress towards tenure and/or promotion; report its findings to the VC, candidate, and Dean; and prepare a final report. Specifically, the RC

- Conducts a substantive review on progress towards tenure and/or promotion by: a) reviewing the dossier; b) receiving input in a one-hour faculty seminar presented by the candidate on his/her academic work and future plans
- Prepares an initial report and discusses it with the Dean
- Provides the candidate with observations in a face to face meeting on progress towards tenure and/or promotion
- Requests the Dean or designee to call a Third-Year Review Faculty Meeting of all eligible faculty (i.e., associate and professor ranks) to present the initial findings, hear faculty deliberation and vote on all candidates.
- Provides final written report/recommendations to the Dean within 10 days of the Third-Year Review Faculty Meeting.

b. Voting Committee (VC)

Composition and formation process – The VC shall consist of all appointed CENGR faculty eligible to vote in the candidate's faculty track (at least one rank above the position of the individual being reviewed for third-year). The VC for each review will be chaired by the RC Chair described above.

Duties – The VC will conduct a vote by secret ballot of the eligible faculty within 24-hours of the conclusion of the Third-Year Review Faculty Meeting at which the RC findings were discussed. The eligible faculty will vote to recommend to the CENGR Dean "whether the candidate's progress towards promotion is sufficient." Similarly, the eligible faculty will also vote to recommend "whether the candidate's progress towards tenure is sufficient."

c. Procedures

The third-year review occurs in the Spring semester of the third year of appointment for Assistant Professors.

Preparation of Dossier

The candidate, with guidance from the RC (mentioned in Section 3a above) will prepare a dossier that includes two sections – Vita and Achievements. These sections should follow the University Guidelines.

Candidate Seminar

The candidate will present, in a one hour seminar, to the faculty his/her teaching, research, and service activities during the review period at UGA. This seminar will be open to all faculty. The scheduling of the seminar will occur through the coordination of the candidate and the RC chair.

Final Reporting

The RC will prepare a written report regarding their evaluation of the candidate's progress and the faculty vote. Upon the request of the candidate, she/he may meet in person with the RC Chair and/or the RC to receive clarifications on the findings.

The candidate may reply in writing to the RC Chair within 30 working days after receipt of the written report and any reply will become part of the candidate's third-year review. The findings and the response of the candidate will be included in the promotion and/or tenure dossier when it is developed.

In any year, the Dean may determine not to extend a contract to a non-tenured faculty member. This determination may be made following a recommendation to the Dean by the RC consistent with CENGR Criteria for Promotion and Tenure (Section I).

d. Important Dates

1. Within one week after the start of the Spring semester of the candidate's third year, in accordance with the UGA tenure clock calendar (http://provost.uga.edu/documents/UGA_Tenure_Clock_Calendar-2015.pdf) the candidate informs the Dean in writing which program coordinator is chosen to form the RC. The program coordinator in turn forms the Review Committee following procedures outlined in Section 3a above.
2. The candidate submits sections 4 and 5 of the dossier (Vita and Achievements) to the RC Chair within 30 days after the start of the Spring semester.
3. The candidate presents their teaching, research, and service accomplishments in a one-hour seminar to faculty within 30 days after submission of their dossier.
4. The RC completes the review of the candidate's dossier within 40 days after dossier submission.
5. The RC Chair/PTU head requests the Dean or designee to call a Third-Year Review Faculty Meeting to take place within 80 days after the start of the Spring semester.
6. The RC Chair verbally provides feedback from the Third-Year Review Faculty Meeting to the candidate, followed by the final written report/recommendation to the Dean within 10 days from the Third-Year Review Faculty Meeting.
7. The candidate's reply (if any) to RC Chair's written report to be received by the Dean within 30 days from the date of the report.

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