

**Criteria and Procedures for Promotion and Tenure**  
**Institute of Higher Education**  
**June 2015**

Founded in 1964, the Institute of Higher Education [IHE] is a service, research, and instructional unit of the University of Georgia. The Institute's original mission was primarily public service and research. The instructional mission was added with the establishment of the Ed.D. degree program in the late 1960s, modeled after the higher education program at the University of Michigan. The Ph.D. program was added in 1992. In 2009, the original Ed.D. program was revised to become an innovatively structured Executive Ed.D. program. The Institute's M.Ed. program was added in 2011. The Institute is noted for its multidisciplinary approach to teaching, research, and outreach. The Institute reports to the Senior Vice President for Academic Affairs and Provost.

The multidisciplinary nature of the Institute, and its faculty members' collaborations across disciplinary boundaries, place it outside of any one discipline's distinctive approaches to assessing productivity and rewarding faculty with promotion and tenure. Historically, Institute faculty members have been trained in disciplines as wide ranging as economics, sociology, public policy, psychology, history, education, and the law. From the Institute faculty's perspective, higher-education studies are seen as a field of research focus rather than as a singular discipline with institutionalized and codified approaches to career advancement. Reflecting that viewpoint, the Institute acknowledges varied discipline-based paths to advancement.

In all matters related to promotion and tenure, the Institute of Higher Education will carefully adhere to the current *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 Guidelines*. All faculty members are expected to be familiar with both this document and the *University Guidelines*. If any inconsistency or discrepancy is found in this document or if this Institute of Higher Education promotion and tenure [PTU] document does not address a certain issue, the *University Guidelines* will supersede this document.

New faculty members must be provided with this Institute of Higher Education PTU document and *University Guidelines*. In addition, any changes or updates to this document must be approved by the faculty and the Provost.

This document is organized as follows:

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## I. **Criteria for Promotion and Tenure**

In accordance with the criteria stated in the *University Guidelines*, the Institute distinguishes between criteria for promotion to varied ranks. These criteria include discipline-specific expectations for differing ranks.

*For promotion to Associate Professor and/or tenure*, candidates must show clear and convincing evidence of high levels of attainment in the criteria appropriate to their work assignments and to the mission of the Institute. Candidates should also demonstrate clear and convincing evidence of emerging stature as a national authority in the field. Specifically, candidates must:

- effectively teach in the curricula of the Institute's graduate programs
- effectively advise an appropriate, expected number of students in the Institute's graduate programs
- participate fully in the ongoing governance of the Institute, in keeping with expectations for all of the Institute's tenure-line faculty
- participate and provide leadership in the ongoing activities of the Institute community, including various activities associated with the annual Louise McBee Lecture, the Education Policy Seminars series, and other programming and events
- pursue and obtain external grant and contract funding to support the faculty member's scholarship, Institute graduate students, the ongoing richness of the Institute's intellectual climate, and the Institute's service and teaching missions

- actively and effectively pursue and achieve publication in appropriate scholarly venues, including major journals in the field of higher-education studies (such as the *Journal of Higher Education*, *Research in Higher Education*, *Higher Education*, and *Innovative Higher Education*), in educational studies more broadly (such as *Educational Evaluation and Policy Analysis* and the *American Educational Research Journal*), and in discipline-based studies of education (such as the *Economics of Education Review*, *Sociology of Education*, and the *Journal of Policy Analysis and Management*)
- actively and effectively work to be accepted each year for research paper presentations at the annual meetings of at least one of the central professional organizations associated with higher-education studies (notably, the Association for the Study of Higher Education and the American Educational Research Association)

***For promotion to the rank of Professor***, candidates must show clear and convincing evidence of high levels of attainment in the criteria appropriate to their work assignments and to the mission of the Institute. Candidates should also demonstrate national and international recognition in the field of higher-education studies and a strong likelihood of maintaining that stature. Specifically, candidates must:

- effectively teach in the curricula of the Institute’s graduate programs
- effectively advise an appropriate, expected number of students in the Institute’s graduate programs, as exemplified by such indicators as substantial graduation rates and numbers, awards to student advisees, and distinguished alumni careers
- participate fully in the ongoing governance of the Institute, in keeping with expectations for all of the Institute’s tenure-line faculty
- participate and provide leadership in the ongoing activities of the Institute community, including the annual Louise McBee Lecture, the Education Policy Seminars series, the Institute’s international engagements, and other programming and events
- demonstrate a consistent record of pursuing and obtaining external grant and contract funding to support the faculty member’s scholarship, Institute graduate students, the ongoing richness of the Institute’s intellectual climate, and the Institute’s service and teaching missions
- actively and effectively pursue and achieve publication in appropriate scholarly venues, including major journals in the field of higher-education studies (such as the *Journal of Higher Education*, *Research in Higher Education*, *Higher Education*, and

*Innovative Higher Education*), in educational studies more broadly (such as *Educational Evaluation and Policy Analysis* and the *American Educational Research Journal*), and in discipline-based studies of education (such as the *Economics of Education Review*, *Sociology of Education*, and the *Journal of Policy Analysis and Management*)

- actively and effectively work to be accepted each year for research paper presentations at the annual meetings of at least one of the central professional organizations associated with higher-education studies (notably, the Association for the Study of Higher Education and the American Educational Research Association)
- contribute significantly to developing the quality of higher-education studies as a field, through such activities as service on the editorial boards of major journals (such as those listed above) and service as an officer or annual program chair for relevant professional organizations (such as those noted above)

**A. Contributions to Teaching.** The Institute of Higher Education recognizes that high-quality teaching at the master's and doctoral levels is critical to the mission of the Institute. Thus, candidates for promotion and tenure must exhibit excellence in teaching, using up-to-date methods to teach current material in the full range of Institute graduate programming, including executive and off-campus programs.

Key considerations in teaching effectiveness include:

- **Professional knowledge:** Effective teaching depends on the candidate's knowledge of current literature and understanding of research and practice in that field. When courses structure and content do not evolve or reflect new developments in the field, they do not constitute adequate teaching.
- **Classroom effectiveness:** The candidate must exhibit the ability to communicate effectively with students and provide an atmosphere where ideas and principles of a field are transmitted to students. Evidence of effectiveness should be based on more than summarized teaching evaluations. Other evidence may include evaluations by colleagues who have observed the candidate's teaching, student letters, and review of the candidate's teaching materials and grade distributions.
- **Course development:** The professor has a responsibility for the content and structure of courses taught. Important elements of effectiveness include contributions to course design, development of new courses, and the use of innovative teaching methods. The review, therefore, should look

at these as parts of teaching performance, considering, for example, evidence supplied by course syllabi and class notes.

- Contributions to teaching beyond the classroom: An important measure of teaching contributions is the success and placement of doctoral students with whom the candidate has worked. Another measure is the ability to work effectively with master's students to develop professional skills, as appropriate for the rank of the candidate. Faculty members are expected to participate in Institute admissions and graduate studies committees, in recruiting and placement activities, and in developing new courses and changes to the curriculum as necessary and appropriate.

In addition to the possible sources of documentary evidence suggested in the *University Guidelines*, the dossier may include the following as evidence of the candidate's teaching effectiveness:

- Statement on teaching contributions, detailing the candidate's personal philosophy of teaching, major accomplishments in teaching effectiveness, and other contributions to the instructional program
- Summaries of classroom evaluations from students
- Teaching assignments, including descriptions of courses taught, student enrollments, and grade distributions for each class
- Summary data on academic progress and achievement of students supervised, mentored, and served
- Samples of course materials such as syllabi, exams, or class notes, highlighting innovations in content that reflect incorporation of new developments in the field
- Summary data on professional accomplishments of graduated advisees
- Supplementary information such as unsolicited letters from students and peer reviews of teaching

**B. Contributions to Research.** Scholarly research productivity, high-quality research, and research that has an impact on the candidate's field are necessary for promotion. The candidate must present evidence of scholarly work that has been published in high-quality peer-reviewed venues. Most often, these will be leading research journals of national and/or international standing, but may also include high-quality academic presses when appropriate. No specific number of publications or pages of publication will satisfy the criterion. Instead, the quality of the research and the candidate's total research accomplishment should provide evidence of significant

contribution to the literature in the relevant field or fields. Judgment about research must be based on analysis of the candidate's ongoing research record. The consistency and durability of the faculty member's performance over time and his or her ability to generate an identifiable stream of high-quality research in the future will also be considered.

Contributions to scholarly research can also be indicated by the editorship of important research journals, external funding of research projects, presentations at leading academic meetings, engagement in research seminars and workshops, service on editorial boards of important research journals, reviewing manuscripts submitted to journals and academic meetings, advising doctoral students, and so forth. These contributions must be accompanied, however, by a strong record of scholarly work that has been successfully published in leading outlets following a rigorous peer-review process, as suggested in the preceding paragraph.

Key considerations in determining the quality of scholarly research include:

- For published articles, the reputation of the journal; for conference papers, the nature and type of conference; and for books, the publisher and critical reviews. An important aspect of scholarly activity is the submission of one's work to peer review. When evaluating specific research, the nature of the relevant peer review process should be considered.
- The opinions of external reviewers from peer institutions. External evaluations of research must be sought in all cases.
- The recognition of the profession in general, as exemplified by faculty awards, invited talks and research service.

Not all publications will be considered as research output. For example, textbooks do not usually represent a contribution to knowledge or theory, but rather are a synthesis of existing knowledge and therefore should be judged as evidence of teaching material development. Similarly, some articles, books, or papers presented at conferences may represent little or no research contribution if they do not contribute to knowledge in the field.

In addition to the possible sources of documentary evidence suggested in the *University Guidelines*, the candidate should include the following as evidence of his or her research effectiveness and its impact on the candidate's field:

- Statement of research contributions and directions for future research, detailing the impact of the research. The candidate should describe how his or her research has fostered the development of knowledge or theory in the field and provide a list of publications and papers by major streams of

research, showing how his or her research has developed to contribute to specific research areas. Much of this material may be included in the material submitted supplementing the vita, as described in the *University Guidelines*.

- Analysis of citations of the candidate's work, including benchmarking against others of similar rank in the field.
- Statement summarizing extramural grant and contract support.
- Statement of the candidate's contributions in co-authored research. Statements from the co-authors may be included, though these are not necessary.
- Additional information demonstrating research excellence, such as receipt of honors and awards for the candidate's research, and editorial and referee services for peer-reviewed journals.

**C. Contributions in Service to Society, the University, and the Profession.** The Institute of Higher Education recognizes that its faculty members are responsible to a variety of stakeholders, including their Institute colleagues, the University community, the academic profession, and professional organizations. Faculty members should have contributed to the Institute's service mission and exhibited a high level of professionalism in their service activities.

As part of the submitted materials for the dossier, the candidate should provide a statement of service activities, detailing contributions to the Institute, the university, and the broader academic and professional communities. Service as an elected or appointed officer of leading academic organizations, service to professional organizations, and other professional outreach and engagement activities are examples of service outside the university.

## II. Procedures for Promotion and Tenure

Institute procedures for promotion and tenure conform to the *University Guidelines*. The following paragraphs provide additional details about portions of these procedures.

- Every assistant professor will be subject to a review process at the end of his/her third year of appointment. The review will be conducted in accordance with the *University Guidelines for Appointment, Promotion and Tenure* and IHE's discipline-specific guidelines noted earlier in this document. After the completion of the review committee vote, the Director will provide the faculty member under review a written letter regarding his/her progress toward promotion and/or tenure, accompanied by the committee report. The candidate may reply in writing to these materials within 30 days. The Director's letter, the committee report, and any response by the candidate will all be included in the candidate's dossier for promotion and/or tenure when it is developed.
- A candidate in the Institute wishing to receive preliminary consideration for promotion and/or tenure must submit a written request and updated curriculum vitae to the Director by March 1 in the spring preceding the next promotion and tenure cycle. No additional materials are required from candidates requesting preliminary consideration. The Director will convene eligible Institute faculty in the spring to decide whether to proceed with the promotion and/or tenure process for any faculty requesting preliminary consideration. The Director will notify the candidate of the results within three days of the vote.
- The Director should normally begin soliciting external evaluations as described in the *University Guidelines* in April preceding the next promotion and tenure cycle.
- As a direct report to the Office of the Senior Vice President for Academic Affairs and Provost, dossiers of candidates in the Institute are subject to two levels of review: the Institute and the University. However, during each prior review cycle, the Institute has requested the College of Education to serve as a second level of review, prior to the university-level review, and the Institute will continue this process.

**A. Appointment and Composition of the Review Committee.** At the beginning of each academic year, the Institute Director shall appoint the members of the Institute's Promotion and Tenure Committee and appoint a chair for the Committee. The Committee shall include a minimum of three members and include all of those eligible to serve on the promotion and tenure committee as defined in the *University Guidelines*.



**B. Procedures for Review.** The Committee chair shall conduct all meetings in accordance with the *University Guidelines for Appointment, Promotion, and Tenure*. Voting will be conducted by secret ballot with two designated faculty members assigned to count the ballots. No members can abstain or recuse themselves unless a significant conflict of interest exists requiring such recusal. Any abstention or recusal request must be requested in advance of the candidate's consideration and the Director notified.

The entire Promotion and Tenure Committee must be present to constitute a quorum, although the Director may authorize proxy ballots under special circumstances. The duties and functions of the Promotion and Tenure Committee shall be:

1. To review all documents and statements in the dossier concerning each individual candidate's teaching, research, and service qualifications for promotion and/or tenure, in accordance with the *University Guidelines*;
2. To consider all external reviews and other documentation as noted in the *University Guidelines* concerning the qualifications of each candidate for promotion and/or tenure;
3. To provide the Director a record of the votes taken for each candidate concerning the advisability of granting the requested promotion and/or tenure.

**C. Role of the Director.** The IHE Director (or the Director's designee) will provide a thorough, independent evaluation of each candidate for promotion and/or tenure. By this means, the Director will achieve several important objectives of the promotion and/or tenure process. These include (1) ensuring consistency in the application of standards for promotion and tenure within IHE; (2) promoting fairness in the promotion and/or tenure process; and (3) seeing to it that candidates for promotion and tenure are working in ways that are central to the mission of IHE. After the vote has been taken, the Director (or his/her designee) will inform the candidate within three days, and following the principle of flow (unless requested otherwise by the candidate) will write a letter evaluating the candidate and introducing the dossier as it goes forward to the next stage of the review process.

### III. Annual Evaluation

All faculty, as defined by the university, will be reviewed annually by the Director, with potential assistance from a senior faculty member designated by her/him. These annual reviews will be conducted in accordance with Board of Regents policy, the *University Guidelines for Appointment, Promotion, and Tenure*, and IHE's discipline-specific guidelines noted elsewhere in this document. The review process will include consultation by the Director with each faculty member and will culminate in the preparation of a written letter to the individual faculty member.

Procedures for evaluation:

- Each faculty member will submit a current vita, and also compile a written report of all activities/achievements during the year for the three areas of teaching, research, and public service.
- The report will be reviewed by the Director or senior faculty member designated by her/him.
- A face-to-face meeting will be scheduled with each faculty member to discuss the faculty member's submitted report.
- The Director will review all final documents.
- The final review will include: a written letter from the Director or designated senior faculty member to each faculty member summarizing his/her progress made during the year and also stating any areas of deficiency and course of action toward improvement to be taken the following year. The faculty member may respond to the letter in writing.

*Approved by the faculty of the Institute of Higher Education on May 18, 2015*