

DEPARTMENT OF
LIFELONG EDUCATION, ADMINISTRATION, AND POLICY
UNIVERSITY OF GEORGIA

PROCEDURES FOR APPOINTMENT, THIRD-YEAR REVIEW, PROMOTION AND
TENURE

Introduction

In all matters related to promotion and tenure, The Department of Lifelong Education, Administration, and Policy (LEAP) will adhere to the *University of Georgia Guidelines for Appointment, Promotion and Tenure* (henceforth, *Guidelines*). The standards, criteria, and processes presented in this document are intended to supplement and/or extend the University's Guidelines. If any inconsistency or discrepancy is found in this document or if this PTU document does not address a certain issue, the University *Guidelines* will supersede this document.

A candidate's qualifications will be judged against the criteria set out in the aforementioned University *Guidelines* and the discipline-specific criteria described in this document. Evidence to support the qualifications of a faculty member for promotion and/or tenure may be solicited and submitted from many sources. All such evidence shall be submitted in written form and approved by the candidate. Hearsay or personal opinion not based on the written materials, whatever the source, may not be any part of the decision making process. Promotion and/or tenure shall not be influenced by race, sex, national origin, religion, age, veteran status, or disability.

Voting Eligibility

The Department of Lifelong Education, Administration, and Policy is the unit for tenure and promotion. Faculty eligible to vote on appointments, third-year reviews, promotions and tenure are stipulated in the *Guidelines*.

Department Procedures for Appointment, Third-Year Review, Promotion and Tenure

Appointment

Procedures in the *Guidelines* will be carefully followed for the search and appointment of new full-time faculty. Further information on composition of search committees and voting is provided in the *Governance and Operating Procedures of the Department of Lifelong Education, Administration, and Policy*.

At the time of appointment, a new faculty member will be advised about the Department's requirements for promotion and tenure, and will be provided with copies of the University *Guidelines*, and the *Procedures and Criteria for Appointment, Third-Year Review, and Promotion and Tenure of the Department of Lifelong Education, Administration, and Policy*.

Mentoring Faculty

Faculty members in the Department of Lifelong Education, Administration, and Policy are committed to supporting faculty through high-quality mentorship. During the first year of a new faculty member's appointment, in consultation with the new faculty member, the Department Head will appoint a mentoring committee comprised of at least three faculty members. At least one of these committee members should be from outside the faculty member's program. The committee is charged to advise the faculty member about requirements for promotion and tenure as well as other appropriate information. The full committee must meet at least once each fall semester with the faculty member until the final tenure and/or promotion decision is made. The faculty member may request additional meetings with the committee and/or individual committee members as he/she sees fit. If the faculty member sees the need to change the composition of the committee, he/she may request to do so via the Department Head.

Annual Review

Annual evaluations for all faculty must be conducted according to the defined discipline-specific criteria. A faculty member's progress toward achieving the discipline-specific criteria must be clearly documented in writing.

Third-Year Review of Progress Toward Promotion and Tenure

In all matters to do with third-year review, the Department of Lifelong Education, Administration, and Policy will follow the procedures and criteria specified in the University *Guidelines* and will follow the timetables, deadlines and other procedural routines specified by the College of Education. The third-year review, a formative process, occurs at the end of the third year of appointment for assistant professors. These faculty members will prepare their dossiers detailing their achievements and performance in their assigned area(s) of responsibility. This dossier should take the form of Sections 4 and 5 of the promotion and tenure dossier as specified in the UGA *Guidelines* (Appendix C).

- CV
- 2-page Summary of Accomplishments
- Achievements
- Copies of pertinent sources of evidence

The Department Head will appoint a sub-committee of the Department, in consultation with the Chair of the mentoring committee, that will consist of at least three faculty members at the rank of associate professor and/or professor, two of whom will be members of the candidate's program area. The review sub-committee may, but is not required to, include faculty from the candidate's mentoring committee. The candidate may recommend a list of up to 5 faculty members, from which the Department Head must choose one to form the review sub-committee.

The third-year review will be substantive and will provide the faculty member with feedback about his/her progress toward promotion and/or tenure at the University of Georgia. The third-year review sub-committee will report its findings to the Department, and the eligible faculty will discuss the sub-committee's findings and then vote to recommend whether progress toward promotion and tenure is sufficient (i.e., "[Candidate's name] has made sufficient progress toward promotion to [the next rank] with tenure"). The committee will then report its recommendations, along with the vote, to the Department Head. The Department Head will provide the faculty member under review with a written report regarding his/her progress toward promotion and/or tenure. The candidate may reply in writing to the report and any reply becomes part of the report. The Department Head's letter and any response by the candidate will be included in the promotion and/or tenure dossier when it is developed.

Preliminary Consideration for Promotion and Tenure

The Department of Lifelong Education, Administration, and Policy will follow procedures for initial consideration presented in the *Guidelines*. In the fall semester prior to the academic year that a candidate wishes to be considered for promotion and/or tenure, the faculty member will notify the Department Head that they wish to be considered for promotion and/or tenure. Due dates for presenting the dossier will align with the COE deadlines for promotion and/or tenure.

The candidate, working with the mentoring committee and Department Head, will prepare the dossier as required and present it to the Department Head the following spring semester:

- CV formatted using guidelines for P&T (Section 4 of the *Guidelines*)
- 2-page summary of major accomplishments (Section 4 of the *Guidelines*)
- Statement of achievements (Section 5 of the *Guidelines*)
- Copies of pertinent sources of evidence

The Department Head will make the materials available for all faculty eligible to vote on the candidate. At a meeting held before the end of Spring semester in line with the COE deadlines for promotion and tenure, eligible faculty members will vote on the following question: "[Candidate's name] should be formally reviewed for promotion to the [next rank] and/or for tenure." Faculty will vote "Yes" or "No" on this question. The results will be conveyed by the DEPARTMENT HEAD in writing to the candidate within three working days of the vote.

Procedures for Promotion and Tenure

In accordance with the University *Guidelines*, candidates who receive a positive majority vote on initial consideration, and who wish to be formally reviewed for promotion and/or tenure, together with assistant professors who are in their fifth probationary year who request review regardless of the initial consideration vote outcome, and any assistant professors in their sixth or subsequent probationary year, are eligible for formal review for promotion and/or tenure.

Candidates eligible for promotion and/or tenure will work with their mentoring committee and the Department Head to prepare the dossier. The Department Head will solicit letters of evaluation from external reviewers following procedures in the *Guidelines*. From the list of at least four, preferably five potential external reviewers provided by the candidate, at least two will be chosen by the Department Head in consultation with the faculty. The Department Head must not contact anyone the candidate has declared a non-evaluator. The Department Head in consultation with the faculty will include at least two external evaluators not on the candidate's list of recommended evaluators. In order to eliminate any conflict of interest, it is important that none of those chosen should have close association with the candidate, e.g., dissertation advisor, co-author, or co-principal investigator. It is generally expected that the external reviewers will be nationally recognized in the candidate's area of expertise, or a closely related area, and must be at or above the rank desired by the candidate.

After the preliminary consideration has taken place, the Department Head will contact four, preferably five external reviewers and forward the candidate's current curriculum vitae, two-page statement of accomplishments, and copies of pertinent sources of evidence selected by the candidate. The external reviewers will receive a copy of the *Guidelines* and the Department of Lifelong Education, Administration, and Policy's *Procedures and Criteria for Appointment, Third-Year Review, Promotion and Tenure* as guides and will be asked to comment only on the scholarship and reputation of the candidate. Receipt of external letters will be required in accordance with the COE due dates for promotion and tenure. The Department Head will notify the candidate when external letters are received.

Candidates will submit materials for the dossier two weeks prior to the scheduled meeting for the faculty vote. This includes:

- Section 4 – Curriculum Vitae
2 page statement of major accomplishments
- Section 5 – Achievements [Sections 4 & 5 together should not exceed 25 pages).
- Section 6 – Letter of offer & Third-year review

At the beginning of the fall semester, the candidate's dossier, in addition to the external letters of evaluation, will be made available for review to all faculty members eligible to vote. The candidate's dossier will be considered at a meeting scheduled for the purpose at the beginning of the semester, with a quorum consisting of at least two-thirds of the faculty eligible to vote. All eligible faculty members shall vote by secret ballot, "yes" or "no", except for those who excuse themselves because of a conflict of interest. No abstentions are allowed. Absentee ballots do not count toward the quorum but may be cast in writing so long as they are received by the Department Head before the start of the meeting. The vote of the Department Head will be revealed at the time that ballots are counted. A favorable recommendation shall mean a vote to recommend the candidate for promotion and/or tenure by simple majority of the voting LEAP faculty. All ballots must be counted by two faculty members, with the results presented to the faculty before adjournment. It is the duty of the Department Head to compile and record votes in the candidate's file. The Department Head also will inform the candidate of the vote, including the tally, within three working days of the meeting.

After the meeting, the Department Head will prepare the Regent's Summary Sheet and will write a cover letter, unless the Department Head voted against the candidate, in which case the candidate may designate a senior faculty member to prepare these documents. The candidate may read and respond to any cover letter that goes forward. Additional materials to be added to the dossier include:

- Section 1 – UGA Recommendation for promotion and tenure forms
- Section 2 – Cover letter for promotion; cover letter for tenure
- Section 3 – Unit Criteria
- Section 7 – Brief statement of qualifications of external evaluators
 - Identification of evaluation letters from candidate's list vs. PTU's list
 - External letters of evaluation

Department Criteria for Promotion and Tenure

The University *Guidelines for Appointment, Promotion and Tenure* distinguish between the requirements for the ranks of Associate Professor and Professor. Consistent with the *Guidelines'* criteria for ranks, the Department requires that candidates for the rank of Associate Professor “must show clear and convincing evidence of emerging stature as regional or national authorities unless their work assignments are specifically at the local or state level.” Candidates for the rank of Professor “must show clear and convincing evidence of high levels of attainment in the criteria appropriate to their work assignments and the missions of their units.

The general criteria for the ranks of Instructor, Assistant Professor, Associate Professor, and Professor are stated in the *Guidelines*.

Promotion to Associate Professor

The rank of associate professor is the mid-career faculty rank at the University. Under usual circumstances, candidates must serve at least four years as assistant professor, including the year when the promotion will be considered at the University level, before they are eligible for promotion to associate professor. Candidates for promotion to associate professor must show clear and convincing evidence of emerging stature as regional or national authorities unless their work assignments are specifically at the local or state level. Faculty in the Department of Lifelong Education, Administration, and Policy honor the diversity of research approaches used by faculty and value the often collaborative nature of much of the research in disciplinary traditions represented in the department. The Department will consider the totality of the candidates' work in judging whether they have met the required criteria for the rank of Associate Professor.

Teaching

Faculty members in the Department of Lifelong Education, Administration, and Policy are expected to be effective teachers. In this context, teaching refers to classroom performance

and advising, as well as the full range of activities that enhance student development. As described in the *Guidelines*, effectiveness in teaching is reflected by student learning and improvements in the learning environment and curriculum. Faculty members are expected to teach at a level that reflects their breadth and depth of scholarship. Documentation that may be used in providing evidence of effective teaching is enumerated in the *Guidelines*. Candidates for associate professor are expected to engage in classroom teaching; direction of independent studies, theses, and dissertations; student advisement and mentoring; supervision of clinical or field experiences; curriculum development; and other University and professional activities related to teaching as appropriate for their assignments.

The department believes that high quality teaching is demonstrated through complex and multiple indicators. Evidence includes, but is not limited to:

- courses whose design includes clear objectives, effective organization, and current content; course activities and assignments that are clearly related to the course goals and are useful in promoting learning; feedback that is useful and timely; and evaluation that is based on clearly stated expectations;
- above average student and peer evaluations of teaching activities as measured by the College of Education;
- formal student and peer feedback (such as comments on course evaluations and observations of teaching), and informal feedback (such as letters of appreciation and emails);
- a high-quality scholarship of teaching as reflected by publications and presentations on teaching;
- contribution to contract and grant-funded activities and/or success in obtaining funding to support teaching; and
- improvements to the instructional programs and the learning environment.

Research

Faculty members in the Department of Lifelong Education, Administration, and Policy are expected to be continually involved in research activities that create new knowledge and advance their specific discipline. A record of scholarship is expected for promotion to the rank of associate professor. Sources of evidence that can be used to provide documentation of research and scholarly activities are enumerated in the *Guidelines*.

The Departmental expectation is that the candidate shall have established a program of research that makes an important contribution to the body of knowledge in their discipline at the national level. The most direct evidence of a scholarly contribution is a consistent record of publication in high-quality, nationally and internationally recognized peer-reviewed journals; contributions to handbooks and encyclopedias compiled by well-known presses related to the candidate's discipline; articles, chapters and books may include reviews, research using qualitative, quantitative, historical and mixed-methods, invited contributions (addresses, chapters, collaborations); and practice-oriented and theoretical literature. Publications may include a mixture of single- and lead-authored and collaborative as well as

contribution to contract and grant-funded activities, and/or success in obtaining funding to support research.

The department believes that high quality research is demonstrated through complex and multiple indicators, and over time, researchers may move from one question to another. Evidence includes, but is not limited to:

- active, productive and continual engaged scholarship proportionate to budgeted time;
- a body of scholarship that is coherent, directed towards a clear line of research, and provide evidence of the author's own conceptualizations and conclusions;
- a record of publication in nationally regarded venues (journals, publishers, website etc.). The department recognizes multiple forms of scholarship, including nationally and internationally recognized peer-reviewed journals; contributions to handbooks and encyclopedias compiled by well-known presses related to the candidate's discipline; articles, chapters and books may include reviews, research using qualitative, quantitative, historical and mixed-methods, invited contributions (addresses, chapters, collaborations); and practice-oriented and theoretical literature; and
- as appropriate to individual faculty members' disciplines, programs and areas of research, grant writing will be encouraged, though failure to obtain funding will not, in itself, disqualify a faculty member from meeting or exceeding expectations.

The research should have a focus and meaningful demonstrate impact on the field and/or society. External reviewers' comments and citations to the candidate's research in publications of other scholars will be used to evaluate the impact of the research.

Service

Faculty members are expected to use their academic and professional expertise to benefit the operation and the governance of the University, their profession and the public-at-large. Types of evidence that can be used to document service to the University society, their profession, and to society are contained in the *Guidelines*.

In the Department of Lifelong Education, Administration, and Policy, evidence for candidates for promotion to associate professor are expected to

- attend departmental meetings;
- serve on student and departmental committees, and, if asked, limited service on campus committees and governing bodies;
- participate in professional association activities by attending meetings, participating on committees, holding office, performing editorial work and peer review, and being involved in other professional activities;
- contribute to contract and grant-funded activities, and/or success in obtaining funding to support service activities; and
- contribute to the support of the university's land-grant mission.

Promotion to Professor

The rank of professor is the highest rank at the University. Under usual circumstances candidates must serve at least five years as associate professor, including the year when the promotion will be considered at the University level, before they are eligible for promotion to professor. Candidates for promotion to professor must show 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 candidate's assignments are specifically regional, they should demonstrate national or international recognition in their fields and the likelihood of maintaining that stature. Faculty in the Department of Lifelong Education, Administration, and Policy honor the diversity of research approaches used by faculty and value the often collaborative nature of much of the research in disciplinary traditions represented in the department. The Department will consider the totality of the candidates' work in judging whether they have met the required criteria for the rank of Professor.

Promotion to professor requires attainment of a level of performance and scholarship in teaching, research and service beyond that required for an associate professor. The dossier should provide documentation of sustained effectiveness and additional important achievements in teaching, research and service consistent with the assignment since the date of promotion to the rank of associate professor.

For faculty in the Department of Lifelong Education, Administration, and Policy, attainment of a national or international reputation for their research and scholarship will be the most important criterion for promotion to the rank of professor. External reviewers' comments and citations to the candidate's research in publications of other scholars should clearly indicate a high level of impact of their research and scholarship. Contribution to contract and grant-funded activities, and success in obtaining funding to support research should be evident. Other evidence of a national reputation such as invited presentations at national and international meetings, important scholarly reviews, editorial service, or important contributions to professional associations should also be evident.

Tenure

Candidates for tenure in the Department of Lifelong Education, Administration, and Policy must have a record of exemplary performance in the discharge of their primary responsibilities in teaching; research; and service to society, the University and the profession. "Exemplary performance" means that candidates will meet or exceed expectations in the areas of research, teaching and service in Faculty Annual Reviews. Tenure is granted only at the ranks of, or coincident with promotion to associate professor or to full professor. A recommendation for tenure in the department will require performance at the level specified for the rank at which either or both is being sought as described in the *Guidelines for Appointment, Promotion, and Tenure of the University of Georgia* and in the previous sections of this document. In addition, tenure in the Department of Lifelong Education, Administration, and Policy will be recommended only if there is a continuing and long-range need for the duties and responsibilities that may be expected of the candidate in the future.

This document and discipline-specific criteria must be accepted by the faculty within the Department of Lifelong Education, Administration, and Policy, and must be reviewed and approved by the Dean of the College and the Senior Vice President for Academic Affairs and Provost. New faculty members must be provided with this PTU document and University Guidelines. These procedures and criteria will apply to all faculty from the approved data forward. In addition any changes or updates to this PTU document must be approved by the faculty, Dean, and Provost. All revisions and approval dates must be listed in the PTU document.

This document was approved by the faculty in LEAP to serve as the PTU Criteria on April 15, 2015.