

**Promotion and Tenure Policy**  
**School of Engineering and Applied Science**  
**University of Virginia**

**Revised – May 22, 2014**

This document describes the promotion and tenure guidelines and annual review procedures for the School of Engineering and Applied Science at the University of Virginia. These guidelines are based on the premise that the School is dedicated to:

1. Providing excellent education and degree programs at all levels;
2. Achieving prominence and leadership in scholarly research pursued in the support of higher education; and
3. Demonstrating leadership in professional service to the University, to our disciplines, and to society.

Promotion and tenure decisions will be based on how well candidates meet these expectations.

## **GENERAL QUALIFICATIONS FOR PROMOTION AND TENURE**

### **General Philosophy**

The success of the School of Engineering and Applied Science is strongly dependent on the quality of its faculty. The School expects a commitment to excellence in all three aspects of a faculty member's responsibilities – teaching, research, and service. The School believes strongly that teaching and research is a truly integrated process. Therefore, faculty members are expected to have a genuine and sustained commitment to excellence in teaching and to develop and maintain a distinguished research program that enhances their teaching endeavors. Although it has been the general observation of the School that good researchers are often also good teachers, faculty members are expected to continually improve their teaching effectiveness. In addition, excellent research programs bring recognition to the School and University, which in turn attracts outstanding undergraduate and graduate students and faculty. In addition to teaching and research, service is a necessary component for an excellent faculty member's activities. Since the School and University are run by the faculty, participation in the activities of the University community is expected. In addition, a distinguished research program implies visibility in the professional community and, therefore, participation in professional activities is necessary for a successful academic career.

Leadership and vision are crucial qualities that we look for in our faculty and must be demonstrated for promotion to full professor. However, some of the attributes of a true leader are necessary at all academic levels. True leaders possess the ability to chart new paths and the confidence to persuade others to follow. Leaders are highly proactive and constantly look for and

create new opportunities; they act rather than react. Leaders care for the collective welfare of their colleagues and institution, even when this requires investments of their own resources. Leadership means focusing on priorities and addressing strategic issues before tactical ones. Leaders have high impact on their professions, their peers, and their institutions. They strive to set ever-increasing standards of sustained excellence. Therefore, through the promotion and tenure process, the School seeks to identify and reward individuals who serve as leaders, role models, and the foundations upon which the School can build its future.

The School would like to see all faculty members succeed and excel, and the School will do everything reasonably within its power to mentor faculty and help them attain their full potential. Nevertheless, it is the responsibility of individuals to demonstrate that they deserve promotion or tenure; it is not the responsibility of the School to demonstrate that they do not. It is also important to note that although numerous opportunities for a successful career have been listed in this section, the ultimate goal of the faculty's efforts should be to make the University of Virginia a better and stronger institution.

### **Teaching Performance**

There should be evidence of genuine and sustained commitment to excellence in teaching, as well as evidence of a strong record of achievement in carrying out that commitment. Solid evidence of effective teaching is an essential part of any dossier submitted to the School Promotion and Tenure Committee. Such a dossier is expected to contain:

- The personal reflective statement of the candidate. This should describe teaching philosophy, goals, strategies, successes, and innovations. The candidate should provide a critical self-assessment that identifies his or her strengths and weaknesses as a teacher. The statement should also discuss any actions taken to improve teaching and what happened as a result of taking those actions.
- Evidence of significant efforts to improve one's teaching effectiveness (teaching is a learnable skill), and evidence that the faculty member has addressed potential problem areas indicated by the evaluations. For example, the use of mid-course evaluations or peer-review assessments (such as those offered by the Teaching Resource Center) can be evidence of commitment to continuous improvement in teaching.
- End-of-course student evaluations. The actual end of course evaluations must be provided for all courses taught since the last promotion. These should include both statistical summaries and a complete listing of student comments for courses taught during the most recent five years. Further, to ensure that evaluations represent true consensus, faculty are strongly encouraged to take steps to maintain a high response rate from student evaluations. The School will assist the faculty member by returning the end-of-course evaluations as close to the end of the semester as possible.
- Evidence of advising and mentoring, covering a broad range of activities, from advising graduate students on research, to advising undergraduate students on research, curriculum, career choices, and other issues.
- Documentation of teaching performance in both undergraduate and graduate courses. Ideally, the candidate will have had an opportunity to teach courses at both the undergraduate and graduate levels, but this may not be feasible or applicable in some

cases. If not, this should be explained by the nominator, and other documentation demonstrating excellence in education at both the undergraduate and graduate levels should be provided.

The dossier must be supplemented by additional evidence of a strong commitment to teaching excellence, as deemed appropriate by the candidate and the candidate's nominator. Relevant items can include evidence of:

- Attendance at teaching workshops, local, regional, or national (e.g., those offered by the Teaching Resource Center).
- Teaching awards or other teaching-related honors, including University Teaching Fellowships or Teaching and Technology Initiative Fellowships.
- Peer reviews of teaching.
- Continual dialogue and interaction with the students throughout a semester (with e-mails, newsgroups, and Web pages being valid mechanisms for such interactions).
- Journal or conference articles addressing questions of pedagogy.
- Letters from former students describing the long-term impact of a class taught by the candidate.
- Classroom materials developed by the candidate which were adopted by other faculty at the University of Virginia or elsewhere.
- Development of new courses, new classroom or lab materials, and the creation of textbooks designed for classroom use.
- Innovative or novel approaches to standard classroom material, and incorporation of new technologies in the classroom.
- Service on various examining committees, such as doctoral qualifying exams.
- Table containing a chronological listing of all courses taught at UVa, the semester, enrollment, and pertinent evaluation information (instructor and course evaluation and pertinent SEAS means for courses of same level).

Many of the items above may be incorporated into a single teaching portfolio. A variety of such portfolios are available for inspection at the Teaching Resource Center, which also organizes seminars on the mechanics of assembling teaching portfolios.

## **Research Performance**

A distinguished research program that improves the quality of both the graduate and undergraduate programs is essential. Excellent research also brings recognition to the School and the University and enhances its ability to attract good students, outstanding faculty and research funding, which in turn support the overall educational mission of the School.

Faculty members are expected to engage in scholarship and active research, and they will be measured on their performance in these areas. It is important to note that excellence in scholarship and research is a necessary condition for promotion. Scholarship and research productivity is typically measured by the publication of articles in archival journals, conference proceedings and books, invited lectures, patents, original software and hardware systems,

individual and multi-investigator grants, research awards and honors, and peer evaluation external to the University. It is the nominator's responsibility to identify the leading refereed conferences in the candidate's field and demonstrate that the refereed conference proceedings in question undergo the same enduring documentation and review process in their publication as do refereed journals. Similarly, it is the responsibility of the nominator and the candidate to document the candidate's creation of the original software and/or hardware systems that represent a significant scholarly contribution. This could be effected, for example, by demonstrating that it is used as a reference research tool by multiple groups, or enables new computational algorithms, or constitutes a major new computational tool, or by advancing any other relevant documented, quantitative, and convincing metric of peer-recognized quality.

Candidates worthy of promotion and/or tenure should also:

- Produce a substantial body of recognized scholarly work.
- Attain a reputation among recognized leaders in their field for significant and creative contributions to their research field.
- Demonstrate a substantial promise of continued growth and productivity.
- Demonstrate sustained activity during the term of probationary period.
- Have a record of sustained research funding. Research funding is a clear measure of the external peer recognition of a candidate's research and scholarship. Research funding is also essential in attracting, training, and mentoring graduate students and postdoctoral fellows, and will be considered in the evaluation process.

In research and publication, peer-recognized quality is absolutely essential. Impact on one's field is much more important than the number of papers on a candidate's vitae: it is much preferable to author authoritative and truly original papers than to produce numerous incremental and less definitive papers. Cross-disciplinary research is encouraged and is recognized as a valuable complement and enhancement of the candidate's strength and depth in a central area of expertise. Collaborative research efforts are also encouraged, as long as the candidate's own individual research prowess and contributions are clearly discernable and documented.

## **Service Performance**

Service is recognized as an important activity for all faculty members. Areas that are considered important include service to the departments, to the School and the University, as well as to the profession and the public.

- Faculty are expected to serve their department, the School, and the University in a variety of ways, including recruiting students, participating in curriculum development, assuming administrative tasks and committee memberships, hosting parents, visitors, and invited speakers, etc.
- Faculty are expected to participate in service to professional societies, including committee work, organizing professional meetings, serving as editor or reviewer for journals and conferences, serving as reviewer for grant proposals, advising government agencies, consulting related to one's field, etc.

- Faculty are expected to demonstrate initiative in starting new educational or research activities, facilities or centers; proposing and implementing novel means of improving the departments, the School, and the University; improving the culture and advancing the goals of the School; and generally serving as a role model and a mentor to students and to colleagues.
- Faculty are encouraged to actively provide their expertise to educate the public on scientific and engineering issues, speak for the engineering profession, render technical community service, or participate as an expert in the development of public policy, and generally serve the public well-being through service contributions.

### **Science, Technology, and Society Faculty**

In general, candidates from the Science, Technology, and Society (STS) faculty will be held to the same standards of excellence as other tenure-track faculty in SEAS and the rest of the University. STS candidates are expected to demonstrate excellence in teaching, research, and service. However, some flexibility must be exercised in judging the nature of the research, scholarship, and teaching of members of the STS faculty. For example, the typically heavy, writing-intensive teaching loads of STS faculty, including their responsibilities in supervising senior theses, will be taken into account in reviewing teaching. Also, STS faculty may not be expected to receive research grants of the magnitude or frequency of those received by researchers in other engineering disciplines. Similarly, in many STS fields, books are a more important publication vehicle than in other fields of engineering.

Members of the STS faculty are expected to play important roles in engineering/applied science and humanities/ social sciences. STS faculty, like all engineering faculty are expected to be active in SEAS-wide committees and demonstrate a strong involvement in relevant activities of the University at large. STS faculty are encouraged to work with graduate students and participate in the education and research activities of the School and other units of the University, whenever possible.

### **Non-Tenure-Track Faculty**

Non-tenure-track faculty are appointed to untenured positions with similar responsibilities to those of tenure and tenure-track faculty. However, it is expected that non-tenure-track faculty will focus strongly in a single area of either teaching, research or service. They are expected to make contributions in a second area, but will not be required to contribute in all three. If contributions are made in the third area, they will be considered. For instance, a non-tenure-track faculty member may devote most of his/her time to either teaching or research, providing only secondary contributions to professional service. Or, as service, a non-tenure-track faculty member may concentrate on administrative responsibilities, with only secondary contributions to teaching. It is expected that candidates will display the same qualities of recognized excellence defined elsewhere in these guidelines. Regardless of performance, there are no provisions for transitioning from general faculty to tenure track faculty outside of the normal faculty search process.

Standards for areas of specialization are outlined below:

**Teaching:** There should be evidence of genuine and sustained commitment to excellence in teaching, as well as evidence of a strong record of achievement in carrying out that commitment. Excellent educators bring recognition to the School and the University and enhance its ability to attract good students and outstanding faculty, which in turn support the overall educational mission of the School. A non-tenure-track faculty member specializing in teaching is obligated to maintain a high level of professional competence as an educator and to remain informed of developments in teaching methods and curricula. In addition, such a faculty member is expected to engage in academic activities outside the classroom that result in a recognizable positive impact in the classroom, School, university or the broader academic community.

The candidate is therefore expected not only to demonstrate merit in classroom instruction but also to be a scholar in engineering education or in the field of his or her expertise, and to demonstrate that this scholarship has significant educational impact in the candidate's classes or in support of the educational mission of the department or School. A non-tenure-track faculty member specializing in teaching may engage in a number of activities that demonstrate such scholarship. The candidate and the department chairperson or nominator will define and document expectations and goals throughout the candidate's career.

Examples of scholarly activities and achievements that may demonstrate this requirement may include (but are not limited to):

- publication of articles in reputable journals or conference proceedings, in engineering education or in the area of the faculty member's area of expertise
- productive incorporation of scholarly work in the field of expertise into the classroom—for example in the form of readings or case studies
- publication of textbooks or other books in the faculty member's area
- development of teaching materials that are adopted by other faculty members in the candidate's department, or in other departments in the School, the University, or other academic institutions
- teaching awards and honors
- invited lectures or other presentations
- individual and multi-investigator grants
- leadership in professional societies
- involvement in activities of the Accreditation Board for Engineering and Technology (ABET)
- participating in peer evaluation external to the University

In the above list, examples involving publication should not be misconstrued as imposing a research requirement. An instructional faculty member who does not engage in research can demonstrate relevant academic activity in ways that do not involve research, including some of those listed above.

The candidate must also participate in the operational aspects of the department pertaining to teaching, such as course and lab development, student advising and recruitment, or teaching-

related departmental committees and special activities as listed in the individual's annual activity report.

**Research:** A distinguished research program that improves the quality of both the graduate and undergraduate programs is essential. Excellent research also brings recognition to the School and the University and enhances its ability to attract good students, outstanding faculty and research funding, which in turn support the overall educational mission of the School. A non-tenure-track faculty member specializing in research is expected to advise and fund graduate students and secure sustained research funding. The candidate is expected to maintain a high level of professional competence, and must be a recognized expert in his/her field. This recognized expertise should be documented by a strong record of publications and presentations, as well as professional activities such as conference organization, editorial boards, and other forms of leadership within professional organizations and forums. The candidate must participate in operational aspects of the department pertaining to research, such as recruiting of graduate students, design and administration of the graduate program, funding and operation of research facilities and equipment, hosting of speakers and professional meetings, or other special activities as listed in the individual's annual activity report. It is important to note that since the initial research programs of research faculty are often in close collaboration with tenured/tenure-track faculty, it is very important that these individuals establish their own independent technical reputation by the time of promotion.

**Service/Administration:** Service is recognized as an important activity for non-tenure-track faculty members. Areas that are considered important include service to the departments, to the School and the University, as well as to the profession and the public. Specific service activities for a non-tenure-track faculty member are the same as those described for tenured and tenure-track faculty.

A non-tenure-track faculty member specializing in administration is expected to make exceptional contributions to the operation of the department and/or school. As such, activities should go well beyond routine administrative responsibilities. Indeed, it should be demonstrated that the candidate's efforts have made a fundamental contribution to the advancement of the School's missions of teaching and/or research. Such administrative activities might include duties related to budget and finance, undergraduate and graduate program operation, and distance learning development. Further, as a member of the faculty, the candidate is expected to directly participate in education through at least secondary efforts in student teaching, advising or counseling.

## **PROMOTION AND TENURE TIMETABLE**

### **The Probationary Period of Tenure-Track Faculty**

The probationary period for tenure is the cumulative amount of time served as a faculty member at the University of Virginia in full-time term appointments on the tenure track. The probationary period cannot be longer than seven years for any full-time faculty member (unless modified by a written agreement between the dean and faculty member and approved by the provost, following

the procedures outlined in the University Faculty Handbook). Probationary-period faculty members who are not reelected or promoted within the seven year probationary period must be given written notice of termination of contract as follows: at least three months of advance notice after one year of service, at least six months of advance notice after two years of service, and at least twelve months of advance notice after three or more years of service. The normal probationary period for an assistant professor who is appointed in mid-year may be extended by six months.

Leaves taken while on contract, will normally count toward the probationary period. Exceptions may include leaves in order to carry out substantial public service, parenting leaves, or leaves required by serious personal or family illness, as consistent with the general University Policy and SEAS policy on such matters. For example, the SEAS Maternity and Parental Leave Policy for Faculty (Policy and Procedures Memo No. 61) revised on January 20, 2011, noting that “it is expected that requests for maternity and parental leave be accompanied by a request for tenure clock extension,” enables faculty members to remain contributing members of their profession without penalizing them for the choice to have a family in addition to an academic career. When appropriate, faculty members are encouraged to take the tenure-clock extension to allow for sufficient time to accumulate evidence of sustained accomplishment. All leaves must be approved by the dean and provost with an advance written notice to the faculty member. If the tenure clock extension is not requested by a faculty taking the leave, the regular probationary period for tenure is applied.

### **The Appointment and Probationary Period of Non-Tenure-Track Faculty**

Appointment of non-tenure-track faculty requires a majority vote of the departmental faculty of higher rank, the chair’s consent, and approval by the dean and the provost. Exceptions may be made for non-tenure-track faculty specializing in administration who may not have a home department. In such cases, only the approval of the dean and provost will be required. A six-year probationary term will be applied to non-tenure-track faculty of assistant professor rank. The probationary period is the cumulative amount of time served as a member of the non-tenure-track faculty at the University of Virginia in full-time term appointments. The probationary period cannot be longer than seven years for any full-time non-tenure-track faculty member (unless modified by a written agreement with the dean and approved by the provost).

Probationary-period faculty members who are not reappointed or promoted must be given written notice of termination of contract as follows: at least three months of advance notice after one year of service, at least six months of advance notice after two years of service, and at least twelve months of advance notice after three or more years of service. The normal probationary period for an assistant professor who is appointed in mid-year may be extended by six months.

For non-tenure-track faculty having a home department, promotions will be subject to the criteria of that department. All promotions will be subject to the standards and review of the SEAS Promotion and Tenure Committee developed for all faculty with professorial rank. Non-tenure-track faculty of professorial rank should have educational contact with students through research and/or teaching in order to be promoted. Non-tenure-track faculty in strictly administrative or strictly research positions, without educational involvement with students, should not expect to be promoted under the school’s Promotion and Tenure policy.

## **Time in Rank and Early Promotions**

Promotion is not an automatic action that is based on seniority: time in rank is neither a sufficient nor a necessary criterion for promotion. Adequate performance at one rank is not sufficient for election to a higher rank. The expected quality of performance increases with rank.

Unusually outstanding candidates may be considered for early promotion and/or election to tenure. However, promotion to associate professor without the full probationary term of six years is rare, and contrary expectations along these lines on the part of junior faculty should not be falsely raised.

## **Schedule for Promotion and Tenure**

Faculty members shall receive adequate consideration for reappointment and promotion, including sufficient advance notice of consideration, and the opportunity to submit appropriate materials if not nominated by the department. The normal annual period for tenure consideration occurs during the fall semester. Departmental recommendations are due in the dean's office normally around the first of November for consideration by the School Promotion and Tenure Committee. All faculty members eligible for reappointment and promotion must be notified of the decision of the Departmental Promotion and Tenure Committee no later than the end of September. The dean will deliver the School's recommendations on promotion and tenure to the provost.

The chair will forward to the dean the names of those candidates who received substantial support from the Departmental Promotion and Tenure Committee. The chair will also develop a dossier containing full supporting documentation for each of the faculty members that are to be recommended for tenure and/or promotion as a result of the evaluation process by the Departmental Promotion and Tenure Committee.

## **DEPARTMENTAL PROCEDURES**

### **Chair's Annual Review Conference for Assistant and Associate Professors**

It is crucial that regular constructive feedback be given to faculty regarding performance and expectations. Therefore, chairs shall discuss on an annual basis with each of their department's faculty below the rank of full professor recent accomplishments and performance, and reach agreement on proposed activities and goals for coming years. This conference should take place shortly after the faculty member has submitted an Annual Faculty Activity Report. The topics to be covered in the faculty annual review conference with the chair include:

- The faculty member's reported professional activity.
- Input from colleagues on the faculty member's effectiveness and professional development.

- Chair's personal performance evaluation of the faculty member.
- Specific problem areas, if any, and plans for improvement.
- Planned activities for coming years.

The chair will give a written summary of the results of this conference to each faculty member every year, shortly after the annual review conference. Such feedback is essential in giving faculty ample opportunity to meet the School's tenure and promotion criteria and general expectations.

### **Departmental Promotion and Tenure Committees**

A Departmental Promotion and Tenure Committee provides the chair and the nominator with an evaluation of the performance of each candidate being considered for reappointment, promotion, and tenure. The department chair will generally chair the Departmental Promotion and Tenure Committee, unless the department chair delegates this duty to someone else. The department chair will meet with the committee annually to review the committee's activities.

The Departmental Promotion and Tenure Committee for the rank of assistant professor will be elected by the tenured faculty. This committee will make its (positive and/or negative) recommendations to the entire tenured faculty for a formal vote. Similarly, the Departmental Promotion and Tenure Committee for the rank of associate professor will be elected by the full professors. This committee will make its (positive and/or negative) recommendations to the full professors for a formal vote. If the candidate is a member of the non-tenure-track faculty, then at least one non-tenure-track faculty member of a higher rank from within the department or School shall be a member of the committee.

If there are fewer than three departmental faculty eligible for membership on a Departmental Promotion and Tenure Committee (in addition to the chair), appropriate members from other departments shall be invited on approval from the dean. If a substantial portion of a candidate's research is cross-disciplinary, appropriate members from other departments may be invited to provide input about the candidate.

The candidate's file will be made available for review by all faculty who will be voting on that candidate.

Reappointment and promotion will be considered first in each department by a Departmental Promotion and Tenure Committee. This Committee will meet with the chair, and all ensuing deliberations will be held confidential. It will be held as a serious breach of professional ethics for members to discuss the deliberations of the Departmental Promotion and Tenure Committee with non-members, especially regarding the individual candidate being considered.

## **SCHOOL PROCEDURES**

## **School Promotion and Tenure Committee**

The dean will receive the dossiers on proposed reappointments and promotions from the departments. The dean will review this documentation and request any additional appropriate materials or adherence to the dossier format as specified in this document. The complete documentation will then be distributed to the School Promotion and Tenure Committee.

The School Promotion and Tenure Committee reviews all candidates under consideration for tenure and/or promotion to assess quality, impact, consistency, leadership, recognition, and future potential for the School and the University. Each member of the committee reads all dossiers and participates in the deliberations of each case.

The Promotion and Tenure Committee, appointed by the dean, will consist of at least six senior faculty of the School including at least one member of the non-tenure-track faculty, who will be recused from voting on cases involving tenure-track faculty members and non-tenure-track faculty members of different primary areas of focus. Members will normally serve staggered three-year terms, in order to provide continuity and consistency in the recommendation process. This committee is expected to focus in its deliberations on the welfare of the School as a whole rather than on narrower, departmental-level concerns. The deliberations of the committee require the highest standards of integrity, confidentiality, honor, and professionalism.

Committee members from a candidate's department shall be automatically recused from all deliberations concerning that candidate. Additionally, at the outset of deliberations, each member of the Promotion and Tenure Committee will submit to the dean a complete listing of any other potential conflicts of interest. These shall include close collaboration with a candidate in research or teaching, current or pending joint proposals, or any other strong interaction that might color the committee member's ability to render a disinterested assessment of the candidate. Based on this listing, the dean shall decide if additional instances of recusal will be necessary.

The chair of the School Promotion and Tenure Committee will be responsible for communicating to the department chairs any omissions in a promotion dossier, and work with the chairs to obtain any missing information. The department chairs should be prepared to present to the committee upon request any clarifications or additional written material on a nominee. No contact concerning the committee's deliberations should be initiated with any member of the committee during its deliberation process, unless specifically requested by the chair of the committee, until the committee's written report has been submitted to the dean.

Substantial support from the department and from outside arms-length peers does not guarantee a candidate the strong support of the School Promotion and Tenure Committee. While the committee will give the utmost and serious consideration to the recommendations of the department and outside peers, the committee reserves the right to act as appropriate for the good of the School as a whole. Since the committee is only advisory to the dean, the dean also reserves the right to act as appropriate for the good of the School. Finally, the recommendation of the dean, while final for the School, is only advisory to the provost, who reserves the right to act as appropriate in the best interest of the University.

## **Candidate's Dossier Format**

Consideration for promotion/tenure is based on the dossier submitted by a department in support of a candidate's nomination. For the sake of uniformity and fairness to all candidates, the dossier must adhere rigorously to the following format:

1. Nominator's Letter. The nominator will usually be the department chair, but may be another faculty member (including the nominee). This letter serves as the executive summary for the School Promotion and Tenure Committee, and its assertions must be fully documented in the appropriate sections of the dossier. The nominator's letter must include a substantive summary of the candidate's annual reviews since the time of the candidate's last promotion or reappointment. This will be considered as a key element of the candidate's demonstration of sustained excellence and productivity. The vote and recommendation of the department's Promotion and Tenure Committee must be explicitly stated in the nominating letter. Evidence of leadership also should be discussed in this letter.
2. Candidate's Letter. This letter should concisely describe the candidate's accomplishments, discuss future plans for teaching, research, service, and in general make the case for promotion. The letter should briefly define the research area and discuss the significance of the candidate's work in the context of the candidate's research area. The letter should be no longer than four pages. In addition, instead of repeating the supporting evidence, reference should be made to other portions of the dossier for such evidence.
3. Complete Vita, including:
  - (a) Names of Ph.D. and Post-doctoral advisors.
  - (b) Starting date (including year and month) of UVa professional appointments.
  - (c) Substantial honors and awards.
  - (d) List of graduate students directed or being directed (separated into Doctoral, Master's of Science and Master's of Engineering). Their status needs to be stated accurately, including progress with respect to the date of the most recent major milestones (qualifying exam, proposal, projected defense date, etc.). For students that have graduated, state first job after graduation.
  - (e) A list of undergraduate theses supervised along with thesis titles.
  - (f) A list of visitors and postdoctoral fellows supervised.
  - (g) External research grants and contracts, either awarded or currently under review (listed chronologically, with sponsors, amounts, duration (including years, months and dates) and academic-year support). For all grants listed with multiple PIs, the candidate must provide a description of the roles of each of the PIs. For grants with multiple PIs, the portion of the dollar amount under the direct control of the candidate should be stated explicitly.

(h) A bibliography of all books and refereed publications. Publications should be separated into categories: archival peer reviewed journal articles, archival peer reviewed conference proceedings, books, book chapters, and others as appropriate. Each publication listing must give either the pages (e.g., 16-25) or the page count (e.g., 10 pages). Months of appearance should be given. Every publication must be labeled according to one of the following categories:

The candidate is:

- The primary supervisor of the work: the only senior author involved in continuous oversight of the project;
- A Co-supervisor of the work: involved in continuous oversight together with other senior authors;
- Involved in the work in another capacity.

Journal and conference publications should be listed separately. For journal publications, the Impact Factor of the journal and the citation count as provided by Web of Science or Google Scholar should be provided. It is the candidate's responsibility to document the selectivity/impact of conference papers that they deem to be of significant impact (this may be done, for example, by giving the acceptance rate of the conference). The names of student co-authors who are advised by the candidate should be highlighted (i.e., underlined) in the candidate's bibliography (the School encourages publication as part of the student's education process). Student co-authors for whom the candidate is not the advisor of record should not be underlined.

(i) A list of invited talks, with date and the official inviting unit (e.g., Department of Electrical and Computer Engineering, Washington State University, Pullman, WA, rather than just Washington State University).

(j) Graphs depicting cumulative and yearly trends of publications in archival journals and refereed conference proceedings, research funding, and graduate student degree completions. Amounts to use in the construction of research funding graphs should be computed as follows: the candidate's share of a given grant in a given year is the amount of funds that came to the university through that grant for that year, divided by the number of PIs on the grant. This will be the rule. If the amount of funds for which the candidate is actually responsible differs significantly from this computed amount, then the candidate should address the issue in this section of the dossier. In cases of multiple-PI grants, the candidate should explain his/her responsibility toward the execution of these grants.

(k) A list of patents and formal copyrights awarded or pending, if any.

(l) Professional service details, as described in the section on "Service Performance".

If the candidate has no item to report in a category, he/she should still list the title of this section and state "None" in it.

4. Copy of three (and in the case of promotions to full professors, five) papers that candidates consider their most significant work (this is designed to emphasize research impact and quality over quantity); the impact of these selected publications should be discussed in the candidate's letter.

5. Teaching-related materials, as described in the section on "Teaching Performance."

6. Peer Evaluation letters. Eight outside letters of reference must be solicited from leading external experts competent to assess the standing of the candidate in the candidate's research field, and all replies must be included in the candidate's dossier. The candidate shall recommend four potential references, and the nominator shall select four additional references, chosen to obtain a balanced and objective evaluation of the candidate. All of the reference letters received must be included in the dossier. All reference letters received must be identified as to the identity of the recommender. A letter from the candidate's Ph.D. advisor need not be requested. In the case of self-nomination, the dean or the dean's designee should select four additional references. "Arm's length" letters are preferable (i.e., letters from experts who know the candidate from the literature or professional settings only) and such letters must be included. The exact number of arm's length letters is at the discretion of the nominator. References who are co-authors and/or co-investigators should be explicitly identified. Candidates may a priori identify individuals from whom they prefer that letters will not be solicited, with the final decision on this resting with the nominator. At a minimum, a copy of the complete vita of the candidate, along with a draft of the Candidate's Letter should be provided to all peer evaluators. This information will help ensure the reviewers have adequate information to provide an informative evaluation. The nominator shall submit a letter identifying these external experts and briefly describe their credentials and leadership status in their field. The letters requesting the appraisals should identify whether the candidate is being nominated for promotion or tenure or both, should be neutral in tone, and all received letters should be included in the dossier. Faculty candidates for promotion will be asked to sign a waiver of the right to read such references, and potential letter writers will be notified whether their letters will be held in confidence. If fewer than six letters are received, additional letters must be solicited. The letters gathered from senior researchers from outside the University concerning the achievements of the candidates are an important expression of external perception. Candidates should be compared with leading peers and with successful candidates for a similar promotion at other leading universities. (Note: For candidates being considered for the promotion to full professor, at least one letter should be received from someone outside the U.S. who can speak to the international reputation of the candidate). A traditional and satisfactory way of making this comparison is to request the external letter writers to comment upon the candidate's impact on their field, the candidate's suitability for promotion at the referee's own university, the candidate's professional leadership, collegiality, and citizenship. Other senior outside individuals who have special insights into the candidate's accomplishments may also be invited to serve as referees; however, non-faculty referees should be informed as to the type of information appropriate for the appraisal. For candidates who have a significant impact on the user community, it would be highly recommended that letters be solicited from the user community and these referees should specifically comment on this impact.

7. At most five additional letters from senior faculty within the department, and at most three additional letters from senior faculty within the University (the candidate can help select these letter writers).
8. Student letters (all responses to at most five requests from the nominator).
9. Chair and departmental review assessments. This should include a compilation of the feedback to the candidate as part of the candidate's annual reviews since the candidate's initial appointment or last promotion or reappointment. This feedback can be found in the written summary from the chair after the annual review conference,
10. Past recommendations from the SEAS P&T Committee. The memo from the dean to the chair and candidate is the official record of these past recommendations.
11. Signed waiver form (optional under Federal law; if waiver form is not signed, the letter writers will be so notified).

The dossier must follow the above outline, in the order specified above, and include the subheadings identified above. Instructions for the construction of the electronic dossier are found in *Guidelines for the Submission of the SEAS Promotion and Tenure (P&T) Documents*. The nominator must insure that the candidate's dossier for promotion forwarded to the dean is complete and up-to-date.

The School Promotion and Tenure Committee will accept a one-time update to the dossier, if necessary. This update should be delivered no later than the end of the third week of November and should contain only factual information such as acquisition of new funding, papers accepted, and concrete examples of professional recognition.

## **SPECIAL CASES**

### **Procedures for Reappointment of Tenure-Track and Non-Tenure-Track Faculty**

In the interest of uniformity, the procedures for faculty reappointment are the same as those for promotion. In particular, the same dossier format should be followed for reappointments as for promotions, except that in the case of reappointments, no external letters are required. For non-tenure-track faculty seeking reappointment without promotion at the rank of associate or full professor, decisions on reappointment will be made by the home department after review by the departmental promotion and tenure committee (or by the dean for faculty who do not have a home department) and these decisions will not be reviewed by the School Promotion and Tenure Committee.

### **Promotion to Full Professor**

Promotion to full professor will be based on a higher level of sustained achievement in teaching, research, service and leadership than one would expect for promotion to associate professor. Expectations include: demonstrated achievements and leadership in the candidate's field, a growing record of significant scholarship with impact on research directions and on the future of the field; a concomitant supervision of masters and doctoral theses; substantial contributions to

the affairs of the department, School, and University; and, indications that these efforts and accomplishments will persist.

Leadership within the University should be the distinguishing characteristic of a candidate for full professor. This should go beyond the routine and ordinary. With the rank of full professor comes the responsibility of advancing the University to new levels of effectiveness and recognition. It is thus expected that candidates for full professor should be making identifiable contributions to the growth of the University. Contributions may cut across the School and University, or they may be local to a single department. It should be clear that the candidate's presence had "made a difference" to the University and that, with promotion to full professor, it is likely that this pattern of leadership will be maintained.

Recognized forms of leadership include: establishment of research and teaching thrusts new to the university; generation of cross-cutting research projects or curricula; development of new research and teaching facilities; assuming key roles in fund raising or recruiting; providing distinguished leadership of organizations; recognition for outstanding contributions as evidenced by professional or University awards; and mentoring of junior faculty. In short, candidates for full professor rank are expected to be the foundations upon which the School can build its future and to possess the leadership to serve as role models. Nominees for full professor rank who were not elected for promotion must wait at least two years before being nominated again.

### **Direct Hiring into Senior Ranks**

In order to maintain overall consistency and uniformity with respect to the School's standards of promotion and tenure, all external hires into senior or tenured ranks must be evaluated by the School Promotion and Tenure Committee. This policy is designed to insure that the School's promotion and tenure standards are met by all individuals, whether they come in from the outside or rise up from within the ranks of the School. A compressed timeline is often dictated in cases of external hiring into senior ranks, depending on the hiring opportunity at hand, and a subset of the School Promotion and Tenure Committee will therefore be prepared to convene on short notice if called upon to deliver prompt advice to the dean. Note that in the case of external hires into senior ranks, tenure and rank may on occasion be de-coupled; for example, it is possible to hire an individual as an untenured associate professor, with the election-to-tenure decision to be made independently at a negotiated later time (but not longer than six years).

### **Promotions upon Retirement and Election to Emeritus Status**

Promotion from associate to full professor upon or following retirement shall be based upon the same criteria as are prescribed for active faculty members. Election to emeritus status follows the procedures outlined in the University Faculty Handbook.