

## Meeting of the Faculty Affairs Committee of the University of Georgia University Council

August 31, 2021

Timothy Grey, note taker

MEMBERS in ATTENDANCE (see end of minutes)

Meeting called to order by Chair Janette Hill

Announcements/Updates:

April and August meetings notes to be sent to FAC for Sept meeting

Lecturer notes have gone forward to be reviewed – @ Executive meeting

COVID letter and responses:

Comments to the draft that was constructed for distribution

Janette & Annette reported on the UGA-COVID Response Committee survey information

Discussion on COVID – Student reporting is still a concern, class safety with respect to meeting face to face. Some reported that they are using a ‘pod’ method to teach in order to mitigate some issues.

From Puneet Dwivedi provided input on the task force

<https://news.uga.edu/lessons-from-pandemic-task-force/>

Dr. St. Pierre inquired about other USG institutions and how they are handling COVID issues. No information was presented.

Dr. Hill opened the floor to any resolutions that want to be brought forth to the FAC. Dr. Santesso felt the letter may need to be more forceful in terms of wording.

Amber Prentiss made the motion to forward the FAC COVID letter be to UC and request an endorsement. Second by Dr. Santesso. Discussion & Comments – none, unanimous yes (18 yes, 0 no)

From Elizabeth St. Pierre to Everyone: 03:29 PM

Yes

From Esra Santesso to Everyone: 03:29 PM

Yes

From Lindsey Harding to Everyone: 03:29 PM

Yes

From Shira Chess to Everyone: 03:29 PM

yes

From Kent Barnett to Everyone: 03:29 PM

Yes

From Amber Prentiss to Everyone: 03:29 PM

Yes

From Richard Vining to Everyone: 03:29 PM

yes

From Me to Everyone: 03:29 PM

yes

From Nancy Dellaria to Everyone: 03:29 PM

Yes

From Annette Poulsen to Everyone: 03:29 PM

yes

From Y. George Zheng to Everyone: 03:29 PM

yes

From David Okech (UGA) to Everyone: 03:29 PM

Yes

From C. Brock Woodson to Everyone: 03:29 PM

Yes (13)

From Amanda Smith to Everyone: 03:29 PM

Yes

From Puneet Dwivedi to Everyone: 03:29 PM

yes

From Artur Muszynski to Everyone: 03:29 PM

Yes

From Thiab Taha to Everyone: 03:29 PM

Thiab Taha, YES

From Janette Hill to Everyone: 03:29 PM

Yes (5)

Introduction of Elizabeth Weeks, Associate Provost to FA, advisor to FAC

Setting the agenda for 2021-2022

Areas of Interest:

Lecturer Guidelines – Hopefully send to vote at UC

Academic Professionals

Clinical Faculty – Elizabeth reported on planning

PTR/Annual Review - suggestions about reviews, working group report and discussions at campuses, BOR reported to in Aug, USG policy recommendations and reporting may occur in next few months. Other USG institutions report similar concerns, student success, etc. Kent Barnett reported on the information and how there are concerns about the structure and if it relates to the end goal. Dr. St. Pierre reported that there is evidence that can support the goals/outcomes but it needs to be relayed effectively. PTR and AR may need to more defined and given greater distinction in terms of how conducted (i.e. PTR is faculty related while AR is the HOD).

P&T Guidelines

COVID-related information – Janette Hill shared the document that can be used for P&T

Provost role – how the Provost will effectively be involved

Composition of Department Committees – review process for the P&T by departments

Other items – Dr. St. Pierre ask about other FAC at other R1 institutions? How other institutions handle P&T: i.e. USG treating all institutions as one in terms of the procedure

Dr. Hill asked for input on these topics w/r to the FAC for 2021-2022

Academic Professionals

Clinical Faculty

PTR/Annual Review (see attached)

P&T Guidelines (see attached)

Collective Action across R1

Which of these are most pressing in terms of FAC?

P&T Guidelines need attention

Academic Professionals, Clinical Faculty, can be moved forward with some minor effort  
PTR/AR on hold till further input from USG, review

How do faculty level guidelines revisions come forward? (E St. P.) Elizabeth Weeks reported that they come in from different sources (USG, UGA)

Dwivedi – Asked about Graduate Students health issues in terms of teaching? E St. P. suggested they contact the Graduate School, Ron Walcott

Time to meet for next meetings on a monthly rotating basis: 3:00 – 4:15 Wednesday, 9-10:15 on Fridays

Motion to adjourn Esra, and David Okech second.

Attending:

Chair Janette Hill, Professor, Education

Bettie St.Pierre, Professor, Education

David Okech, Professor, SSW

Lindsey Harding, Director of the Writing Intensive Program, Franklin College

Kent Barnett, Associate Dean, Law School

Amanda Smith, Public Service Associate (Extension Economist), College of Ag & Environmental Sciences

Amber Prentiss, Librarian IV, Libraries

Richard Vining, Associate Professor, School of Political and International Affairs (a mouthful)

Esra Mirze Santesso--Associate Professor, Department of English

Timothy Grey, Professor and Interim Head Crop & Soil Sciences Dep, College of Ag & Env Sciences

Elizabeth Weeks, Associate Provost for Faculty Affairs, and Law School Professor

Artur Muszynski -Associate Research Scientist-Complex Carbohydrate Research Center- rep OVPR

Nancy Dellaria Associate Clinical Professor MFECO

Puneet Dwivedi - Associate Professor - Warnell School - representing Warnell and Odum Schools.

Annette Poulsen, professor, Terry College of Professor

George Zheng, College of Pharmacy

Thiab Taha, Professor & Head, Computer Science Department, Franklin College of Arts and Sciences

Shira Chess, College of Journalism & Mass Comm, Entertainment & Media Studies

TO: Academic Leadership Group

FROM: Elizabeth Weeks, Associate Provost for Faculty Affairs

RE: COVID-19 Impacts on Faculty Productivity for Promotion and Tenure

DATE: June 1, 2021

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### **Guidance for PTU, School/College, and University Review Committees**

The COVID-19 pandemic has affected every aspect of University operations and, in turn, every faculty member. We are deeply committed to the well-being and success of our faculty and acknowledge the differential and, in many cases, negative impacts of the pandemic on their work and career development. Therefore, in considering decisions about promotion and tenure, the University must evaluate each candidate's research, teaching, and service activities within the context of the pandemic.

Toward that end, promotion and tenure candidates will have an opportunity to describe how the pandemic has affected their professional accomplishments in the areas of research, teaching, and service in the dossier with notations in the Vita; description and documentation of efforts in teaching, research, and service; and/or in an optional COVID-19 impact statement added to the current dossier requirements. In addition, Deans and PTU Heads may offer in their respective cover letters insight on and contextualization of candidates' dossiers in light of COVID-19. Finally, language is suggested below that may be included when soliciting external letters, to remind evaluators of the pandemic's impact.

Any such notations, comments, or optional faculty COVID-19 impact statements should not negatively affect the review. At a minimum, the information should be treated neutrally and at a maximum it may positively impact the review. Note that the impacts of COVID-19 for faculty career trajectories may continue to be relevant for several years, even if COVID-19 is no longer a major factor in daily life.

### **Suggestions for Addressing COVID-19 Impacts in the Dossier<sup>1</sup>**

- Section 2, Cover Letters (Dean and/or PTU Head)
- Section 4, Vita (marking cancelled seminars or conference talks, loss in funded awards, graduate students who discontinued studies with a notation, e.g., "Canceled due to COVID-19," "Virtual conference presentation due to COVID-19," "Returned to/remained in home country due to COVID-19")

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<sup>1</sup> Suggestions are by reference to [UGA Guidelines for Appointment, Promotion and Tenure of Academic Rank Faculty Guidelines](#) but impacts may be captured similarly under promotion guidelines for other faculty tracks.

- Section 5, Achievements (adding notes related to teaching, research, and service, or separate section, “COVID-19 Impacts on Achievements”; see lists of possible impacts below)
- Section 7, External Evaluator Request Letter (see sample language below)
- Separate COVID-19 Impact Statement Addendum (two-page limit, standard formatting; added to Section 4, CV and Candidate Statement of Major Accomplishments)
  - Currently, Sections 4 & 5 cannot exceed 25 pages; with an added COVID-19 impact statement, 27 total pages may be submitted

## **Possible COVID-19 Impacts on Teaching, Research, and Service**

### Teaching

- Transitioning courses to online or hybrid format
- Changes in teaching load
- Learning, use, and incorporation of new instructional technologies
- Challenges related to technology, wi-fi, workspace, or other access
- Increased office hours, review sessions, or other efforts to help students adjust to online learning
- Mandatory or elective workshops to enhance online teaching
- Increased meetings related to effective teaching
- Leading or developing training to help others on course development
- Changes in student evaluations in comparison to past evaluations
- Challenges of conducting remote teaching with childcare, homeschooling, or other care responsibilities

### Research/Creative Activity

- Restrictions on access to research sites, labs, facilities, studios, performance spaces, and other venues
- Restrictions on professional travel and field research; visa restrictions for self, collaborators, grad students, lab staff, etc.
- Loss of access to research subjects, practicum sites, and placements
- Need to restart or pivot research projects or focus, including transitioning research focus to COVID-19
- Cancellation of conferences, seminars, presentations, performances, exhibitions, and opportunities to collaborate
- Slowing of publication and grant funding processes; redirection of funding
- Reductions in start-up funding due to changes in university or external support
- Utilizing research funding for PPE or other precautionary measures related to COVID-19
- Status as an essential worker and related workload
- Longitudinal research that may have been disrupted
- Destroyed lab specimens
- Loss of time for data collection
- Impacts on lab personnel and other staffing

### Service

- Contributions to the University's efforts to address COVID-19 (e.g., testing and vaccination, data gathering and analysis, planning, coordination)
- Transitioning service responsibilities to online format
- Changes related to student advising (increases, challenges, emotional labor, etc.)
- Increased student mentoring; support provided to students experiencing pandemic-related challenges
- Engagement in efforts to make pandemic-related changes to curriculum, advising, lab access, research resumption, etc.; engagement in pandemic-related initiatives for the department, university, professional association, and other organizations

### **General Guidelines for Two-page COVID-19 Impact Statement**

- Describe both negative and/or positive effects of COVID-19 on professional productivity
- Describe the faculty member's workload, performance, and trajectory prior to COVID-19
- Describe the impact that COVID had on workload and professional opportunities and resulting impact on faculty productivity, performance, and trajectory in each of the relevant areas of effort (research/creative work, teaching, service, and administration)
- Describe how the faculty member has adjusted or plans to adjust his/her/their work in light of COVID's professional impact to continue or re-build trajectory
- Include time-period (but NOT the reason) for approved medical or personal leaves related to COVID
- Avoid providing personal/privileged information (e.g., dependent care inaccessibility challenges, personal or dependents' health information)

### **Possible Language to Add to External Evaluator Request Letters**

#### Language Regarding COVID-19 Impacts:

When making your evaluation, the University asks that you consider the short- and long-term impacts of the COVID-19 pandemic on working conditions, productivity, and career trajectory on many faculty members. Professor \_\_\_\_\_ may have noted in the CV or elsewhere in the dossier ways that the extraordinary circumstances of the pandemic in 2020 and 2021 affected his/her/their research, teaching, and/or service. We ask that your assessment of the candidate's accomplishments take these special circumstances into account.

#### Language Regarding COVID-19 Extension:

Due to the COVID-19 pandemic, Professor \_\_\_\_\_ has been granted a one-year extension to the tenure probationary period/time in rank limitation on appointment, in keeping with the University's policies. It bears emphasis that we evaluate the productivity of each candidate who has been granted a COVID-19 extension as if he/she/they had been in probationary status/time in rank for the normal duration.



June 28, 2021

Chancellor Steve Wrigley  
Board of Regents of the University System of Georgia  
270 Washington Street SW  
Atlanta, GA 30334

Dear Chancellor Wrigley:

On behalf of the Post-Tenure Review Working Group, I want to thank you for the opportunity to serve on this important committee. On September 18, 2020, you charged the group *“to review and recommend updates to board policy and campus practices to ensure all faculty remain productive throughout their careers.”* To this end, the Working Group submits our final report and recommendations in the attached document.

I wish to thank those serving on the committee for their diligence, engagement, inquiry, and service. It was an honor to work with each. Their names and affiliations are listed in the report appendix.

Sincerely,

A handwritten signature in black ink that reads 'Kathy S. Schwaig'.

Kathy S. Schwaig, Ph.D.  
Provost and Senior Vice President for Academic Affairs

CC: Teresa MacCartney, Executive Vice Chancellor of Administration  
Dr. Tristan Denley Executive Vice Chancellor for Academic Affairs and Chief Academic Officer University System of Georgia

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**Report of the USG Working Group on Post-Tenure Review (PTR)**

**Submitted on June 28, 2021**



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## Executive Summary

On September 18, 2020, University System of Georgia (USG) Chancellor Steve Wrigley commissioned the Post-Tenure Review Working Group “to review and recommend updates to board policy and campus practices to ensure all faculty remain productive throughout their careers.”

The Working Group met virtually to discuss and review current Board of Regent’s (BOR) policy on Post-Tenure Review (PTR) as well as books, journal articles, and news articles on PTR and faculty evaluation over the last 35 years. The Working Group also sponsored two constituent surveys. The first survey was sent to provosts at the 25 USG institutions with tenure seeking data on the number of PTR cases reviewed on each campus over the last five years; the number of successful post-tenure reviews; and the impact of any remediation cases. The survey also asked about the annual review process. The second surveyed faculty and administrators at USG institutions with tenure. Questions were open-ended and asked about the pros and cons of the current PTR process and recommendations for improvement.

Based upon the review of the literature and surveys, the Working Group acknowledged both positive and negative aspects of the current PTR process. On the positive side, PTR is a multi-level, multi-year review that provides peers with the opportunity to review and comment on a colleague’s performance. Further, the PTR process allows faculty to reflect on the previous five years and compare their performance to their plans and goals. On the less positive side, PTR has substantial direct and indirect costs in terms of faculty, staff, and administrator time. For some, the required documentation is perceived as onerous to compile. Finally, in the current form, very few low-performing faculty members are identified and remediated during the PTR process.

Following extensive research and analysis, the PTR Working Group reviewed and revised several draft recommendations. The group’s final recommendations are included below and entitled *Working Group Recommendations on Post-Tenure Review*.

In addition, the tight connection between PTR and other performance evaluation processes, particularly the annual review process, emerged as a common theme during Working Group discussions. As was noted, the authority to award tenure rests with the BOR but was delegated to campus presidents in 2007. With delegation comes responsibility and the need for accountability and appropriately consistent practices across campuses. Currently, BOR policy provides some guidance on faculty performance evaluation processes. The USG, however, collects very little data from campuses on the impact and outcomes of any of these processes, making BOR oversight difficult. To this end, Working Group members from the USG office crafted guidance to address this deficit in the form of a system-wide framework. Members of the PTR Working Group reviewed and provided input on this framework. The framework is included below and entitled *System Framework for Annual, Pre-Tenure, Promotion, Tenure, and Post-Tenure Reviews*. The Post-Tenure Review Working Group concluded its work on June 23, 2021.

Current PTR BOR Policy can be found in Appendix A. Appendices B and C provide examples of PTR practices at USG institutions as well as those found in other university systems. Appendix D provides results of the USG Campus Survey and Appendix E provides results of the USG System-Wide PTR Survey. Appendix F provides a timeline for tenure and promotion reviews, and for the current and proposed PTR processes. Appendix G provides a list of PTR Working Group Members and Appendix H provides a list of sources.

## **Working Group Recommendations on Post-Tenure Review**

### **Current University System of Georgia Post-Tenure Review Policy**

The Board of Regents (BOR) of the University System of Georgia (USG) established the principle of accountability for faculty performance and evaluation in its policy on Faculty Evaluation (Policy 8.3.5.1). Board Policy 8.3.7.4 provides the president of each institution, other than GGC, the authority to award tenure. Historically, all tenure decisions were made at the Board level. In 2007, that authority was delegated to institution presidents. Institutions are required to conduct in-depth reviews of faculty performance at multiple points in the faculty career lifecycle including annual, pre-tenure, tenure, and post-tenure. USG institutions are required to establish definite and stated criteria, consistent with BOR policies and the guidelines of the institution, by which the performance of each faculty member will be evaluated. **The subject of this report and its recommendations rests with post-tenure review.**

### **Proposed Purpose of Post Tenure Review**

Post-tenure review (PTR) shall support the further career development of tenured faculty members as well as ensure accountability and continued strong performance from faculty members after they have achieved tenure.

PTR shall be one component of the faculty development initiatives put forth at each institution, focused on ensuring that faculty grow and enhance their professional talents as teachers, as scholars, and as members of the academic community throughout their careers.

The post-tenure review process should provide a formative assessment of the faculty member's work and career. Campuses should assume a lifecycle perspective of their faculty members' careers and develop a process that supports faculty members as they move from one pivotal phase of their careers to the next. The purpose of the process should be ongoing development across all areas of the faculty member's role. While the intent of this process is formative, the review should be sufficiently rigorous to bring to light areas in which a faculty member's performance should improve.

### **Proposed New Post-Tenure Review Processes**

1. The BOR has established criteria and processes for awarding tenure at 25 of USG's 26 institutions. (Policy 8.3.7). This recommended PTR policy applies to those 25 institutions and to all their faculty who have achieved tenure.
2. Each tenured faculty member shall be subject to a PTR that assesses the faculty member's performance since the award of tenure or since the last PTR. The PTR shall include an evaluation of instruction, student success activities, research/scholarship, and service as appropriate to the faculty member's institution, school/college, and/or department.
3. PTR shall be used to advance the professional development of faculty, create consistent workload expectations within each academic unit, and provide a corrective process for those who are not meeting established standards.
4. Each tenured faculty member shall participate in a PTR at least every five years.

A faculty member may choose to go through a voluntary PTR in any year between the faculty member's regularly scheduled PTR. If the elective PTR is successful, then the faculty member's next scheduled PTR will follow in five years.

In the context of the annual review process, a faculty member whose performance is evaluated as unsatisfactory or not meeting expectations – whether overall or in any particular area during any one annual review process – will be provided with a remediation plan in that year. A faculty member whose performance is evaluated as unsatisfactory or not meeting expectations – whether overall or in any area – for two consecutive years will be required to undergo a corrective PTR at that time. This required PTR will not alter the faculty member's five-year schedule.

5. Each review – whether fifth-year, voluntary, or corrective – shall evaluate the faculty member's performance since the last review and incorporate findings from the annual review process over those years. Each faculty member shall provide review materials and additional information, as needed, in addition to their annual reviews to provide the basis for their PTR evaluation.
6. The results of the PTR shall be conveyed to the faculty member, and shall be considered in subsequent decisions on promotion, merit pay, and other rewards.
7. An unfavorable PTR shall result in the need for a Performance Improvement Plan (PIP) created among the individual faculty member and their dean and department chair. The plan shall, at a minimum, include:
  - specific deficiencies to be addressed;
  - clearly defined goals or outcomes;
  - an outline of activities to be undertaken;
  - identification of support, such as mentorship and training opportunities, to be provided as needed;
  - set timeline for accomplishing the activities and achieving the outcomes;
  - specific criteria for meeting expectations in future annual reviews;
  - fixed intervals for monitoring and evaluating progress under the plan; and
  - potential consequences of not meeting the expectations set forth in the plan.
8. If the faculty member successfully completes the goals of the PIP, the faculty member's performance shall be "proceeding according to expectations," and the faculty will undergo PTR again in their regularly scheduled five-year review.
9. If the faculty member fails to make sufficient progress as outlined in the PIP or refuses to reasonably engage in the process, the college dean, in consultation with the provost, will take appropriate remedial action or discipline as the case warrants. Actions taken should correspond to the seriousness of the deficiencies of the faculty member.
10. Each campus shall develop procedures for implementing progressive corrective actions associated with a faculty member's failure to successfully complete a PIP. Deans are encouraged to consider how best to use the talents of each faculty member and, where necessary, make appropriate adjustments to the faculty member's assigned workload. When necessary, additional progressive corrective actions may be taken that include, but are not necessarily

limited to, suspension of pay, salary reduction, and revocation of tenure and dismissal. BOR should establish additional processes associated with the failure to successfully complete the PIP and the implementation of required progressive corrective action.

11. Each institution shall carry out a five-year review process applicable to all administrators who hold tenure in their faculty positions including chairs, deans, and provosts, among others. The process shall address the distinctive nature of the administrator's work given that their primary focus is not teaching, research, and academic service while serving in their administrative roles. The review process for administrators shall focus on the administrative and leadership nature of the position and shall include constituent feedback. This process will also reflect that administrators do not hold tenure in their administrative position, but rather in their faculty position, and can be removed from their administrative position at any time.
12. Given the diversity of mission across the 25 tenure-awarding institutions in the USG, institutional flexibility shall be allowed in the implementation of this PTR process. To ensure, however, that reasonable consistency exists across campuses, initial policies and evaluation criteria must be approved by the Chancellor or their designee(s) at the USG.
13. Each campus shall compile and submit to the USG an annual report on PTR activity.

# System Framework for Annual, Pre-Tenure, Promotion, Tenure, and Post-Tenure Reviews

## I. Recommended New Policy Components:

- a. The USG will enact system-level guidelines and rubric standards for faculty reviews to be applied by campuses in their specific contexts as a research university, comprehensive university, state university, or state college.<sup>1</sup>
- b. The USG will require quality teaching as a success factor in annual, pre-tenure, tenure, and post-tenure review criteria.
- c. The USG will require student success factors consistent with USG Momentum Approach in annual, pre-tenure, tenure, and post-tenure review criteria.
- d. The USG will require approval of all campus level faculty performance review policies and evaluation rubrics to ensure that campus enactments are consistent with BOR guidelines and rubric standards.
- e. Faculty reviews will utilize the system-wide Likert evaluation scale for USG employees.
- f. The USG will require that a deficit in any component of workload performance necessitates an immediate and defined course of action with measurable and documentable achievements expected, including a timeline for improving the specific rating.
- g. The USG will require that while a faculty member may be deemed as “Not Meeting Expectations” for other reasons, they must be so assessed if a majority of their work responsibilities are assessed as “Not Meeting Expectations”.
- h. The USG will require a formal document that communicates the annual review outcome for a given year to each faculty member.
- i. The USG will require annual reporting of:
  - i. Annual review process including number of faculty entering annual review remediation processes.
  - ii. Results of pre-tenure third-year reviews.
  - iii. Results of promotion and tenure reviews.
  - iv. Results of post-tenure review including number of faculty entering PIPs as well as results of previous PIPs.
- j. USG will regularly review and audit campus evaluation policies, practices, and outcomes.
- k. Board Policy 8.3.7.4 provides the president of each institution, other than GGC, the authority to award tenure. Historically, all tenure decisions were made at the Board level. In 2007, that authority was granted to institution presidents. If, after an analysis of the annual review reporting, an institution is judged to not be carrying out a rigorous review process, the Board retains the right to move the authority to award tenure back to the Board level until campus processes are remediated.

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<sup>1</sup> Accreditation agencies require that each campus formulate faculty performance review criteria consistent with their mission. Campuses will ensure that their departmental and discipline specific performance review criteria are formulated to be consistent with the system level guidelines.

## **II. Recommended New USG Handbook Components:**

- a. System level guidelines and rubric standards for faculty reviews.
- b. Annual Reviews
  - i. Tenure-track and tenured faculty should be evaluated based upon their Promotion and Tenure unit's discipline-specific criteria, and the institutional evaluation rubric, consistent with system level guidelines and rubric standards.
  - ii. Procedures should ensure that workload percentages (teaching, research, service) are factored into the performance evaluation model in a consistent manner across campuses.
  - iii. The overall evaluation must indicate whether the faculty member is making satisfactory progress towards the next level of review appropriate to their rank, tenure status, and career stage.
- c. Training
  - i. System and institutional training should be developed and required for department chairs and deans to ensure annual reviews are conducted according to established guidelines and rubric standards. Training should address the challenges and opportunities for these types of review.
  - ii. Training should address the distinctive, but complementary roles of the Annual, Third-Year Pre-Tenure, Promotion, Tenure, and Post-Tenure reviews, as well as the review of faculty outside the tenure structure.
  - iii. Training should ensure a sufficiently rigorous review that results in terminal contracts for those tenure track faculty who are not "on track" for tenure and are unable to correct their deficiencies.

## **III. USG Infrastructure Needed to Support these Recommendations**

- a. The USG should develop standard processes to enable the effective implementation of this framework including structures and processes to carry out effective ongoing review of campus criteria, as well as IT infrastructure to enable the required annual Board reporting.

## Appendices

### **Appendix A – Board of Regents Current Policy on Post-Tenure Review**

**Board of Regents Policy** [Academic & Student Affairs Handbook | 4.6 Post-Tenure Review | University System of Georgia \(usg.edu\)](#)

(Last Modified October 13, 2020)

The primary purpose of the post-tenure review process is to assist faculty members with identifying opportunities that will enable them to reach their full potential for contribution to system institutions. Post-tenure review is one of several types of faculty performance reviews (e.g., annual, promotion, and tenure reviews) and is intended to provide a longer-term perspective than is usually provided by an annual review. The review should be both retrospective and prospective, encouraging a careful look at possibilities for different emphases at different points of a faculty member's career.

With the exception of tenured administrators whose majority of duties are administrative, all tenured faculty will be reviewed. Each faculty member must be assessed five years after the most recent promotion or personnel action, and reviews will continue at five-year intervals unless interrupted by a further review for promotion.

Specific written post-tenure criteria and procedures must be stated in writing and available in a faculty handbook on an institution's website.

The review should focus on the faculty member's accomplishments, research agenda (where applicable), teaching program, and service contributions, relating these to the stated expectations for performance developed by the institution. The results of post-tenure reviews must be linked to rewards and professional development. Faculty members who are performing at a high level should receive recognition for their achievements. Each institution will prescribe how the results of the review will be related to merit pay increases, and study and research leave opportunities.

When deficiencies are identified, the faculty member's supervisor(s) and faculty member will work together to develop a formal plan for faculty development that includes clearly defined and specific goals or outcomes, an outline of activities to be undertaken, a timetable, and an agreed-upon monitoring strategy. If, after three years, the faculty member has not been successful with remedying the identified deficiencies, he or she may be subject to dismissal for cause (regular, independent dismissal processes will apply).

**8.3.5.4 Post-Tenure Review** [Academic & Student Affairs Handbook | 4.6 Post-Tenure Review | University System of Georgia \(usg.edu\)](#)

Each institution shall conduct post-tenure reviews of all tenured faculty members five years after the most recent promotion or personnel action for the faculty member. Reviews shall continue at five year intervals unless interrupted by a further review for promotion or personnel action. An administrator who has tenure will not be subject to post-tenure review, as long as a majority of the individual's duties are administrative in nature. If and when an administrator returns to the faculty full-time, the individual will be placed into the post-tenure review cycle described above. Institution presidents shall review and approve their institution's post-tenure review policies, as well as any



subsequent revisions, both of which must conform to University System of Georgia procedures for post-tenure review and should address cases in which a tenured faculty member's performance is deemed unsatisfactory.

## **Appendix B – Post-Tenure Review at USG Institutions**

### **Summary**

PTR policies and procedures included in Faculty Handbooks at 20 of the 26 USG institutions were reviewed for this summary (see Table 1 and Table 2 for additional detail). All sectors were represented. While all institutions are governed by the same BOR policy, variation exists in interpretation and implementation. Observations of this variation and other general findings are organized into five main policy elements:

1. Purpose
2. Evaluation criteria
3. Submitted materials
4. Review process
5. Actions resulting from evaluation outcomes

PTR is an activity predominantly defined and managed by faculty in the research and comprehensive sectors while policy reflects a much more prominent administrative role in the state university and state college sectors. Faculty at research institutions and comprehensive institutions have a greater role in setting the terms of the evaluation criteria and process. The wide range of perspectives and roles in the PTR process present a potential opportunity to better understand the training provided to reviewers.

### **Purpose**

Purpose statements in policy often echo BOR policy and predominantly focus on supporting the institutional mission. A few institutions mention contributions to USG and to the discipline/academic community.

Nearly all reference the three primary areas of faculty work (teaching, research/scholarly activity, service), but several emphasize teaching as a critical part of their mission in the PTR evaluation.

Georgia Southern University, Georgia Southwestern State University, Savannah State University, and Atlanta Metropolitan State College clearly indicate in policy the role of teaching. Similarly, University of Georgia includes specific statements regarding the consideration of administrative contributions of faculty as part of PTR. It is also common among state universities and state colleges to include professional growth and development as an area of faculty work.

In addition to faculty work, policy is consistent across institutions on what PTR is not intended to do. Nearly all policies have statements ensuring PTR is not to be used as a tool to reconsider tenure or infringe on academic freedom of faculty.

## **Evaluation Criteria**

BOR procedure states the importance of PTR being retrospective and prospective in nature. Most institutional policies appear to focus heavily on documentation of the previous five years of work. However, a few institutions introduce elements in the evaluation criteria that connect PTR to long-term goal setting. Columbus State University, Middle Georgia State University, and College of Coastal Georgia require all tenured faculty to create multi-year development plans that are independent from annual review and assessed as part of PTR. Other institutions like Georgia Institute of Technology, Georgia Southern University, and Gordon State College have policy language that references the consideration of the entirety of the faculty member's time at the institution.

The responsibility of establishing evaluation criteria differs across institutions and presents an opportunity for further exploration. In some instances, the faculty member under review has a considerable role in defining the criteria, including who serves on the PTR committee, the materials submitted, and how the process will take place. Other institutions have a more prescriptive policy that allows for much less personalization. Faculty input on criteria is more common at research and comprehensive institutions.

Most policies require faculty members to demonstrate proficiency and growth in teaching, research/scholarly activity, and service and some introduce additional areas as part of the review process. Fort Valley State University mentions mentoring students and junior faculty as aspects of faculty work to be considered. South Georgia State College includes academic advisement.

A unique aspect of PTR that distinguishes this process from other evaluations is the incorporation of multiple perspectives on the performance of a faculty member. Multiple perspectives is not a requirement in BOR policy but presents an opportunity to compare PTR with other personnel performance management exercises like 360-degree feedback.

## **Submitted Materials**

Documentation of faculty performance is a component of the evaluation criteria often outlined in institutional policy. There is general consistency among institutions on requiring faculty members to submit updated curriculum vitae, written personal statements on accomplishments, and most recent annual evaluations. Policies that highlight multiple perspectives often require the inclusion of student evaluations. Some institutions require PTR committees to interview the faculty member for additional content to the submitted portfolio.

## **Review Process**

The review process is varied across USG institutions. While all incorporate a committee of faculty peers as part of the evaluation, their role and the contribution of others at the institution can dramatically differ. At institutions with policies that outline PTR as a predominantly faculty driven exercise, the PTR committee is responsible for rating the performance of the faculty member and administrative levels like the department chair and dean are informed of the outcome. At other institutions, deans and provosts are actively involved in the determining the performance rating.

In addition, the number of reviews that take place varies. Some institutions have multiple PTR committees at the department, school and college level and each conducts their own review of the

faculty member. Others include reviews by multiple administrative levels. Each review contributes to a final outcome that, at most USG institutions, is either satisfactory performance or unsatisfactory performance. Some institutions include multiple outcome options to distinguish satisfactory and outstanding performance of faculty members.

A prominent feature in many institutional policies is the appeals process for faculty who receive an unsatisfactory performance rating.

### **Actions Resulting from Outcomes**

Institutional policies provide varying levels of guidance on actions resulting from PTR outcomes. While there is agreement across policies outlining the requirement of development plans for faculty who receive unsatisfactory performance, incentives are not addressed to the same degree. For policies that include language on incentives, many reference eligibility for increases in compensation (e.g. salary and leave).

Except for a few institutions, PTR policies only discuss faculty development as needed to rectify demonstrated deficiencies.

**Table 1: Post-Tenure Review at USG Institutions**

Institution	Elements Defined by Institution	Elements Defined by Dept, School/College	Notes
Georgia Institute of Technology (research sector)	Purpose, selection of peer review committee, review process – levels of review, review process – who is informed, review outcomes	Evaluation criteria, development plans	Titled “Periodic Peer Review,” largely a faculty-driven process. Faculty under review provides input on criteria to be reviewed and composition of faculty review committee. Mentions connection between multiple PTR reviews over time.
University of Georgia (research sector)	Purpose, selection of peer review committee, review process – levels of review, review process – who is informed, review outcomes	Evaluation criteria, materials to be provided to review committee, development plans	Process outlined for faculty member to change individuals on the peer review committee. Does not explicitly list materials to be submitted other than CV. Does indicate consideration for faculty member’s contribution to institution operations. Predominantly retrospective.
Georgia Southern University (comprehensive sector)	Purpose, evaluation criteria, materials to be provided to review committee, selection of peer review committee, review process – levels of review, review process – who is informed, review outcomes	Evaluation criteria, development plans	“PTR not only concentrates on the period under review...considers the cumulative contributions...” Emphasizes the value of effective teaching in accordance with their mission. Flexibility to review at unit, school, college level. Policy requires submission of self-evaluation. Mentions connection to annual evaluation for unsatisfactory PTR outcomes.
Kennesaw State University (comprehensive sector)	Purpose, evaluation content, review outcomes, annual reviews required for PTR	Evaluation criteria, review process, development plans	“Primary evidence to be considered... five most recent annual evaluations.” Policy language indicates close connection to annual review.

			Mentions multiple perspectives to be considered.
University of West Georgia (comprehensive sector)	Purpose, review outcomes, annual reviews required for PTR, review process – selection/operation of peer review committee	Evaluation criteria, review process, development plans	“Purpose... is directed at career development.” Detailed instructions on formation of and process completed by PTR peer committee. Policy language indicates close connection to annual review.
Valdosta State University (comprehensive sector)	Purpose, evaluation content, review outcomes, annual reviews required for PTR	Evaluation criteria, review process, review process – selection/operation of peer review committee, development plans	“Primary documentation submitted... five most recent annual evaluations and CV.”
Clayton State University (state university sector)	Purpose, evaluation criteria, evaluation content, review process	Development plans	Provost involved in managing process.
Columbus State University (state university sector)	Purpose, evaluation content, review outcomes, annual reviews required for PTR	Some aspects of review process, development plans	Prospective approach - All faculty create a five-year professional development plan that is assessed.
Fort Valley State University (state university sector)	Purpose, evaluation content, review outcomes, annual reviews required for PTR	Evaluation criteria, review process, development plans	“Primary documentation submitted... five most recent annual evaluations and CV.” Multiple outcome possibilities – exceeding, meeting, not meeting expectations. Mentions mentoring of students and junior faculty as aspects of faculty work to be considered.
Georgia College and State University (state university sector)	Purpose, evaluation content, review process, review outcomes, annual reviews required for PTR	development plans	Communication of review outcomes restricted to faculty member and their direct supervisor. Role of faculty member in setting

			criteria and committee similar to research sector.
Georgia Southwestern State University	Purpose, evaluation content, review process	Evaluation criteria, development plans	Requires projected goals for the next five years as part of submitted materials.
Middle Georgia State University	Purpose, evaluation content, evaluation criteria, review process	Development plans	Mentions training received by peer review committee members. Review includes interview of faculty member. Includes activities supporting the discipline. Prospective approach - All faculty create a five-year professional development plan that is assessed.
Savannah State University	Purpose, evaluation criteria	Development plans	Specifies that faculty must have completed PTR previously in order to serve on a PTR committee
University of North Georgia	Purpose, evaluation content, evaluation criteria, review process	Development plans	Appeals process has multiple levels of review including the president
Atlanta Metropolitan State College	Purpose, evaluation content, evaluation criteria, review process		Purpose is to analyze "long-range goals." Emphasizes excellence in teaching
College of Coastal Georgia	Purpose, evaluation content, evaluation criteria, review process	Development plans	Prospective approach - All faculty create a five-year professional development plan that is assessed. Considerable involvement of deans and provost in process, especially for remediation.
East Georgia State College	Purpose, evaluation content, evaluation criteria, review process	Development plans	All tenured faculty in a school review PTR portfolios.
Gordon State College	Purpose, evaluation content, evaluation criteria, review process	Development plans	Faculty member may choose to include the file of their last full PTR or promotion review. President has the authority to set PTR policy.

South Georgia State College	Purpose, evaluation content, evaluation criteria, review process	Development plans	Criteria of PTR are teaching, service, academic achievement, professional development, academic advisement.
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### **Appendix C – Post-Tenure Review at Other University Systems**

Board level policy on PTR is relatively common among large university systems. Some policies support state law mandating PTR (e.g. Texas), others appear to be initiated by the Board and originated in the late 1990s and early 2000s. The policies vary in specificity from only requiring institutions to have a PTR process to much more prescriptive guidance on procedures to follow, criteria to consider, and involvement of administrators and other faculty.

The following university systems were reviewed for PTR policies similar to the USG. The systems are separated by primary and secondary peers. Those considered primary have governing boards like the USG and large enrollment sizes that indicate a larger number of institutions and potentially a greater diversity of programs. Secondary peers have large enrollments.

**Table 2: Post-Tenure Review at Other University Systems**

<b>Primary Peer University Systems</b>	<b>Policy</b>	<b>Last Revised</b>	<b>Comments</b>
California State University System	No	-	No tenure language in system policy
State University System of Florida	No	-	Collective bargaining in tenure language
University of California System	No	-	No tenure language in system policy
<a href="#">University of North Carolina System</a>	Yes	8/17/2015	Comprehensive and detailed
<a href="#">Utah System of Higher Education</a>	Yes	1/24/1997	Oldest policy, originated in 1973

<b>Secondary Peer University System</b>	<b>Policy</b>	<b>Last Revised</b>	<b>Comments</b>
Arizona Board of Regents	No	-	
City University of New York	No	-	
Minnesota State Colleges and Universities	No	-	
State University of New York	No	-	
Tennessee Board of Regents	No	-	
<a href="#">Texas A&amp;M University System</a>	Yes	2/6/2020	Initiated by state legislative action
<a href="#">University of Maryland System</a>	Yes	5/6/1996	
<a href="#">University of Texas System</a>	Yes	2/9/2012	Initiated by state legislative action
<a href="#">University of Wisconsin System</a>	Yes	12/08/2016	Comprehensive and detailed

Most system policies are organized by the following elements:

1. Purpose
2. Submitted content to be considered
3. Criteria of evaluation
4. Review process
5. Actions resulting from findings of the process

Most of the policy language at the system level is dedicated to defining purpose and outlining general parameters for the review process. The purpose of PTR as one of several strategies for evaluation of faculty contribution to the institution is consistent across all the policies reviewed. Some policies include contribution to the discipline in addition to the institutional mission. Institutions in three of the systems with PTR policies are accredited by SACSCOC (UNC System, University of Texas System, Texas A&M University System) and these policies can be associated with SACSCOC Standard 6.3 that states, “the institution publishes and implements policies regarding the appointment, employment, and regular evaluation of faculty members, regardless of contract or tenure status” (see Appendix B). Of the various tools for evaluation used by these systems, PTR is intended to provide a long-term, comprehensive understanding of the contribution by tenured faculty to the institution and the academic discipline.

Most PTR policies reference annual performance reviews as a separate process and can be used to inform PTR. They also mention the evaluation of teaching, scholarship, service and (when applicable) patient care. The Texas A&M University System includes the most detailed evaluation criteria within these categories and highlights some student success strategies including advising. The interval of review outlined in these policies is once at least every five or six years. More detailed policies identify deans and department chairs as managers of the PTR process, but the institution president/chancellor is included when faculty are found to have not met expectations in some cases. Some policies outline who has the authority to propose and approve revisions to PTR policies and processes. Of the policies reviewed, the University of Maryland System appears to outline a PTR process that most clearly incorporates other faculty and promotes a peer review of performance.

Many policies indicate that findings of PTR can result in both rewards and incentives (e.g. consideration for promotion, leave, compensation, recognition, etc.) as well as remediation efforts (e.g. required faculty development, short-term improvement plans, etc.). There is variation among the policies reviewed on the relationship between faculty not meeting PTR expectations, remedial planning, and disciplinary action. Some policies include and outline guidance on remediation and disciplinary actions while others refer to additional policies on faculty and employee personnel.



## **Appendix D – USG Campus Survey**

The PTR Working Group sent a survey to each USG campus with PTR to gain insights into the number of PTRs conducted over the past five years, the success rate of PTR, and the number of remediation plans initiated and the outcome. In addition, the survey asked about the rate of faculty promotion on each campus as well as PTR for administrators. Summary results of the survey can be found in Table 3.

1. From your perspective, what is the purpose of PTR?
2. How many faculty members completed PTR each year in the last five years?
  - a. Of these, how many PTR's were successful?
  - b. What rewards or opportunities do you give for a successful PTR?
  - c. Of those not successful, how many had to complete a professional development/remediation plan?
  - d. Of those who completed a professional development/remediation plan, how many were successful?
  - e. Do you limit the number of attempts at remediation? If so, how?
  - f. If a faculty member was not successful in the professional development/remediation plan, what follow-up actions were taken by the university?
  - g. To your knowledge, has the university ever sought tenure revocation due to a faculty member failing to successfully complete your PTR process?
3. How many faculty members applied for promotion each year in the last five years?
  - a. Assistant to Associate? How many were successful?
  - b. Associate to Full? How many were successful?
  - c. What is the average years in rank for your associate professors?
  - d. What percentage of your associate professors have been at that rank for more than 6 years?
4. Do you have any analogous (multi-year, multi-level) review process, other than annual reviews, for administrators (chairs, deans, academic avp, provost) given that administrators are exempt from PTR?

<b>Table 3: USG Campus Survey</b>	<b># PTR/5</b>		<b>Success %</b>			<b># in</b>		<b>Success %</b>
<b>Row Labels</b>	<b>Years</b>	<b>Pos. PTR</b>	<b>PTR</b>	<b>#Dev. Plan</b>	<b>#Positive</b>	<b>Progress</b>	<b># Negative</b>	<b>Remediation</b>
<b>Research University</b>								
Augusta University	106	102	96%	4	0	4	0	0%
Georgia Institute of Technology*	572	546	95%	23	2	16	5	9%
Georgia State University*	332	316	95%	16	0	16	0	0%
University of Georgia	872	850	97%	26	23	0	3	88%
<b>Research University Total</b>	<b>1882</b>	<b>1814</b>	<b>96%</b>	<b>69</b>	<b>25</b>	<b>36</b>	<b>8</b>	<b>36%</b>
<b>Comprehensive University</b>								
Georgia Southern University	233	222	95%	7	2	0	5	29%
Kennesaw State University	209	201	96%	8	6	0	2	75%
University of West Georgia	89	89	100%	0	0	0	0	#DIV/0!
Valdosta State University	124	122	98%	2	2	0	0	100%
<b>Comprehensive University Total</b>	<b>655</b>	<b>634</b>	<b>97%</b>	<b>17</b>	<b>10</b>	<b>0</b>	<b>7</b>	<b>59%</b>
<b>State University</b>								
Albany State University	0	0	#DIV/0!	0	0	0	0	#DIV/0!
Clayton State University	107	94	88%	13	4	6	3	31%
Columbus State University	62	60	97%	2	0	1	1	0%
Fort Valley State University	41	41	100%	0	0	0	0	#DIV/0!
Georgia College & State University	27	27	100%	0	0	0	0	#DIV/0!
Georgia Southwestern State University	2	1	50%	1	0	0	1	0%
Middle Georgia State University	93	93	100%	0	0	0	0	#DIV/0!
University of North Georgia	146	138	95%	8	2	2	2	25%
<b>State University Total</b>	<b>478</b>	<b>454</b>	<b>95%</b>	<b>24</b>	<b>6</b>	<b>9</b>	<b>7</b>	<b>25%</b>
<b>State College</b>								
ABAC	33	31	94%	2	2	0	0	100%
Atlanta Metropolitan State College	12	12	100%	2	2	0	0	100%
College of Coastal Georgia	3	2	67%	1	0	1	0	0%
Dalton State College	15	15	100%	0	0	0	0	#DIV/0!
Gordon State College	34	33	97%	1	0	1	0	0%
South Georgia State College	10	10	100%	0	0	0	0	#DIV/0!
<b>State College Total</b>	<b>107</b>	<b>103</b>	<b>96%</b>	<b>6</b>	<b>4</b>	<b>2</b>	<b>0</b>	<b>67%</b>
<b>Grand Total</b>	<b>3122</b>	<b>3005</b>	<b>96%</b>	<b>116</b>	<b>45</b>	<b>47</b>	<b>22</b>	<b>39%</b>

\* Remediation for some successful PTR

## **Appendix E – USG System-Wide PTR Survey**

The PTR Working Group solicited broad input from faculty and administrators across all USG institutions with tenure. Provosts at each campus were asked to distribute a link to a survey posted on the USG website to their campus constituents. A total of 888 usable surveys were collected, with 34.8% ( $n=309$ ) from research universities, 39.4% ( $n=350$ ) from comprehensive universities, 14.3% ( $n=127$ ) from state universities, and 5.5% ( $n=49$ ) from state colleges. See Table 4 for a breakdown by individual institution.

The survey focused on three main questions: pros/cons of current policy, recommendations for the PTR Working Group, and the role of annual performance reviews (APR) in PTR. Respondents to the first question were evenly divided on reporting “*pros only*” (21.7%,  $n=193$ ) or “*cons only*” (29.8%,  $n=265$ ); while most respondents felt that the current PTR policy had “*both pros and cons*” and could be improved (30.4%,  $n=270$ ). Subthemes from the content analysis emerged and are reported in Table 5. In recommendations for the PTR committee, the most frequent suggestions were to “*review the criteria*” (20.2%,  $n=179$ ); “*streamline the process*” (16.4%,  $n=146$ ); “*abolish*” (12.2,  $n=108$ ); and “*keep as is*” (11.8%,  $n=105$ ). Lastly, with respect to the question as to whether APR should be a major component of the PTR process, overwhelmingly respondents said “*yes*” (69.0%,  $n=613$ ), while 13.9% replied “*no*” ( $n=123$ ). While reviewing respondents’ replies, the “*no*” meant either it should only be a component (not the major component) or “*no*” they should not be included.

Tables 6 – 8 present the quantitative breakdown of replies to the above questions by university tier/level. This data is shared for members of these institutions to see how their universities fall within the themes.

**Table 4: Descriptive data (frequency and percentile) of participants from each level of institution to complete/partial complete website questions**

<b>Institution</b>	<b>N</b>	<b>n</b>	<b>%</b>
<b>Research Universities</b>	<b>309</b>		<b>34.8</b>
Augusta University		56	
Georgia Tech		81	
Georgia State		56	
Univ. of Georgia		116	
<b>Comprehensive Universities</b>	<b>350</b>		<b>39.4</b>
Georgia Southern		75	
Kennesaw State Univ		196	
Univ. of West Georgia		18	
Valdosta State Univ		61	
<b>State Universities</b>	<b>127</b>		<b>14.3</b>
Albany State Univ		14	
Columbus State U		1	
Fort Valley State U		16	
Georgia College & State		30	
Georgia Southwestern		7	
Middle Georgia State		9	
Savannah State Univ		8	
Univ. of North Georgia	41		
<b>State Colleges</b>	<b>49</b>		<b>5.5</b>
Dalton State College		24	
East Georgia State C		3	
Georgia Highlands		11	
Gordon State College		8	
South Georgia State College		3	
<b>Anonymous</b>	<b>53</b>		<b>6.0</b>

**Table 5: Overall thematic content analysis by reply with descriptive statistics given per question**

Variable	Theme	n	%	Subthemes
Pros/Cons of Current Policy	Pros Only	193	21.7	<i>good process, no change needed, too lenient, keeps faculty engaged and productive</i>
	Con Only	265	29.8	<i>rubberstamp, lacks teeth, time consuming, vague, punitive</i>
	Mixed/Improve	270	30.4	<i>streamline, add financial incentives, role of Chair process, appropriate feedback that is actionable,</i>
	Abolish PTR	26	2.9	
Recommendations for PTR	No Reply	134	15.1	
	Accountability	105	11.8	<i>keep as is, stricter enforcement, accountability, equitable fairness, keep administration role within PTR, give it some teeth</i>
	Incentives	56	6.3	<i>financial incentives, summer teaching options, sabbaticals</i>
	Criteria	179	20.2	<i>flexibility, clearly defined, consistency within/ between colleges and institutions, clearly defined parameters, r remove PTR process for Full</i>
	Positive Process	56	6.3	<i>make it a positive process, tie to resources, faculty development opportunities</i>
	Streamline	146	16.4	<i>streamline, simplify APR and CV or Narrative or ..., too Time consuming (+800 pages)</i>
	Timeframe	22	2.5	<i>shorter (more helpful for Associates), longer 7yrs? 10 yrs.?</i>
	Abolish	108	12.2	
APR as Major Component	No Reply	216	24.3	
	Yes	613	69.0	<i>69 (7.8%) participants said yes and only criteria, eliminate Redundancy</i>
	No	123	13.9	<i>protected by open records. Chair unfair/vindictive, include</i>
	Mixed	52	5.9	
	No Reply	100	11.3	

**Table 6: Cross tabulations by questions and institutional level “what are the pro/cons of the current PTR process”**

Institution	Pro/Keep		Con Only		Mixed/Improve		Abolish	
	n	%	n	%	n	%	n	%
Research Universities	65	24.3	89	33.2	111	41.4	3	1.1
Comprehensive Universities	74	24.6	115	38.6	93	31.2	16	5.4
State Universities	33	31.4	39	37.1	30	28.6	3	2.9
State Colleges	13	32.5	7	17.5	16	40.0	4	10.0
Unknown	8	18.6	15	34.9	20	46.5	0	0

**Table 7: Cross tabulations by questions and institutional level “what recommendations do you have for the PTR working group”**

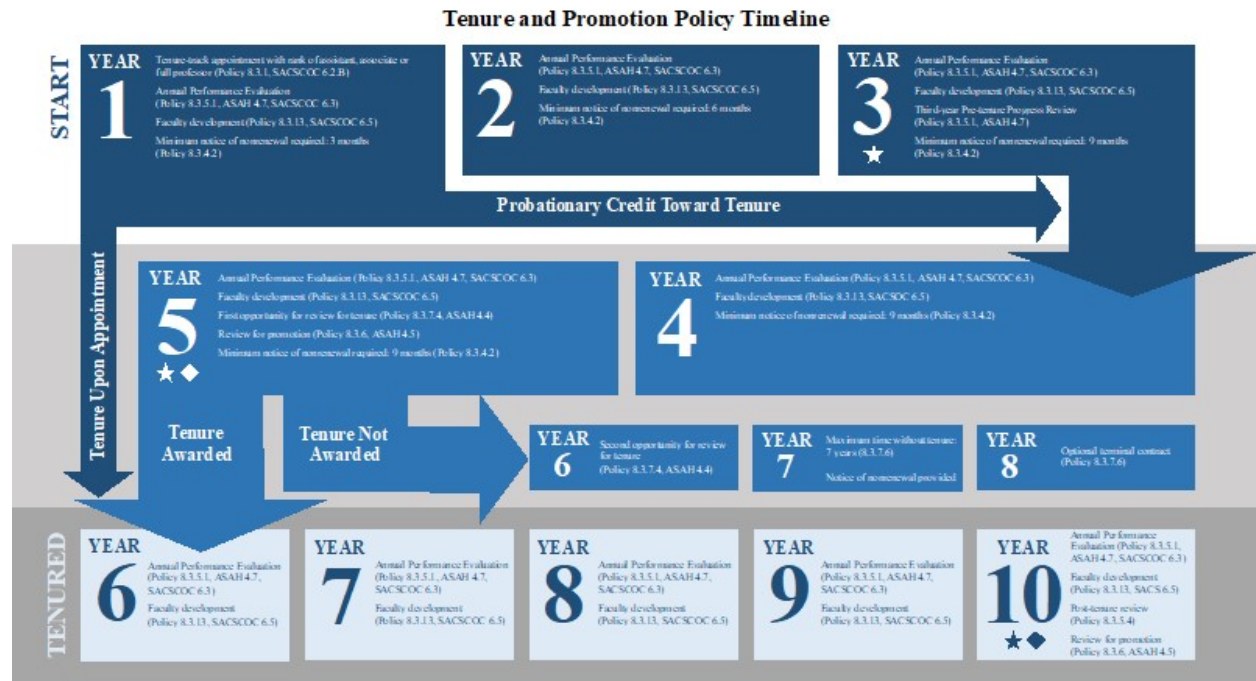
Institution	Accountability		Incentives		Criteria Abolish		Positive Streamline		Timeframe		n	%		
	n	%	n	%	n	%	n	%	n	%				
Research Universities	42	18.5	6	2.6	63	27.8	34	15.0	33	14.5	39	17.2	10	4.4
Comprehensive Universities	29	10.7	38	14.0	56	20.7	55	20.3	16	5.9	74	27.3	3	1.1
State Universities	18	19.1	6	6.4	38	40.4	6	6.4	2	2.1	18	19.1	6	6.4
State Colleges	10	27.8	3	8.3	8	22.2	6	16.7	0	0	7	19.4	2	5.6
Unknown	6	13.6	3	6.8	14	31.8	7	15.9	5	11.5	8	18.2	1	2.3

**Table 8: Cross tabulations by questions and institutional level “should APRs be a major component of the PTR review”**

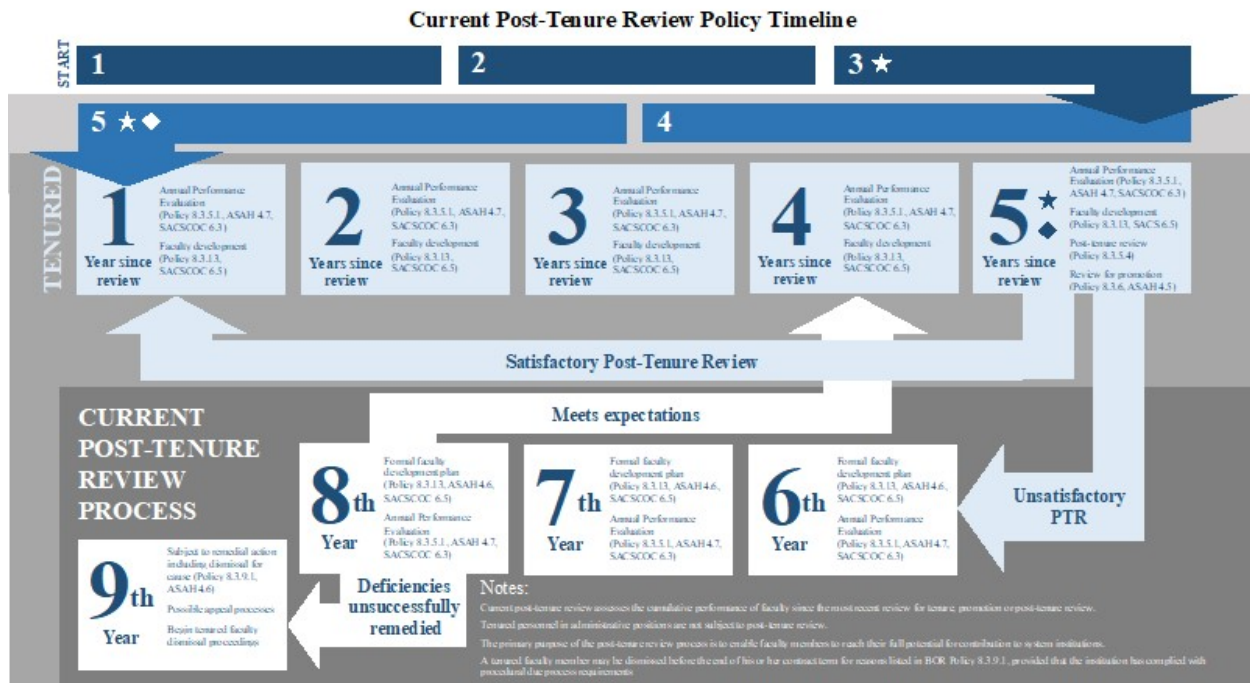
Institution	Yes		No		Mixed		Only (from yes)	
	n	%	n	%	n	%	n	%
Research Universities	189	68.2	54	19.5	34	41.4	15	
Comprehensive Universities	268	87.6	32	10.5	6	2.0	42	
State Universities	90	77.6	19	16.4	7	6.0	7	
State Colleges	36	80.0	8	17.8	1	2.2	2	
Unknown	30	68.2	10	22.7	4	9.1	3	

# Appendix F - Review Timelines

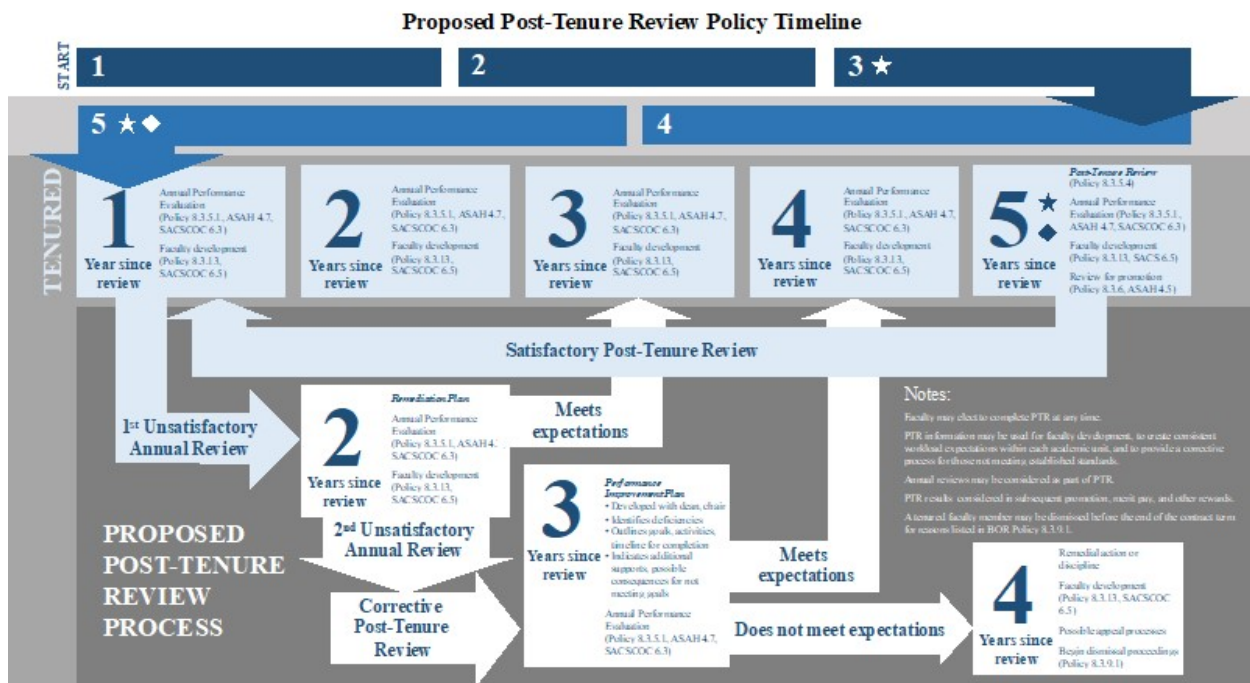
## Tenure and Promotion Timeline



# Current Post-Tenure Review Policy Timeline



# Proposed Post-Tenure Review Policy Timeline





## **Appendix G – Members of the Post-Tenure Review Working Group**

Dr. Helen Bland, Professor, Department of Health Policy and Community Health, Jiann-Ping Hsu College of Public Health  
Georgia Southern University

Dr. Don Brown, Professor of Mathematics, Department of Mathematics and Statistics  
Middle Georgia State University

Dr. Alan Darvill, Regent's Professor and Director, Complex Carbohydrate Research Center  
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Dr. Tristan Denley, Executive Vice Chancellor and Chief Academic Officer  
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Dr. Juanita Hicks, Vice Chancellor for Human Resources  
University System of Georgia

Dr. Jayme Feagin, Professor of History, School of Social Sciences and Education  
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Heather Collin, Policy Analyst, Office of Academic Affairs  
University System of Georgia

Chris McGraw, Associate Vice Chancellor for Legal Affairs  
University System of Georgia

Dr. Kathy Schwaig, Chair, Provost and Senior Vice President for Academic Affairs  
Kennesaw State University

## **Appendix H – Sources**

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# Guidelines for Appointment and Promotion of Lecturers

## 1. Background & Definitions

### 1.1 Definition of Lecturer

The Lecturer faculty track includes the ranks of Lecturer, Senior Lecturer and Principal Lecturer. These are non-tenure-track, primarily instructional positions and are part of the University of Georgia's Corps of Instruction.

The primary responsibility of the Lecturer track is classroom instruction, and the appointment typically carries a 18-24 credit hour per academic year course load.

### 1.2 Roles of Lecturers

Lecturers' primary responsibility is instruction and, therefore, the overwhelming majority of Lecturers will spend most, if not all, of their time teaching. Hence, Lecturers are not expected to have research or administrative responsibilities. The appointment and promotion of Lecturers at the University of Georgia are based upon this norm. Any exception to this norm (e.g., academic advising, curriculum or course development, academic program management, research, service) must be detailed in the letter of hire or reappointment.

## 2. Requirements for Ranks

To be eligible for a Lecturer appointment at any rank, a person must have an appropriate terminal degree in a discipline related to the position's responsibilities, or, in rare circumstances, be approved by the Provost's Office, on the basis of the individual's overall qualifications, for a terminal degree exception before the position is offered.

### **Lecturer**

This is an entry-level faculty position. Individuals eligible for appointment to this rank should possess clear potential for delivering quality instruction.

### **Senior Lecturer**

Candidates for appointment or promotion to this rank must have six years of experience at the Lecturer level (or equivalent), either at UGA or another institution. Evidence of effectiveness in instruction, including evidence of student learning or positive student outcomes, must be demonstrated.

### **Principal Lecturer**

Candidates for appointment or promotion to this rank must have six years of experience at the Senior Lecturer level (or equivalent). Evidence of creating and/or adopting effective instructional practices, or a positive instructional impact beyond instructional settings, such as dissemination of instructional innovation or participation in special teaching activities must be demonstrated.

### 3. Appointment/Promotion Unit and Eligible Voting Faculty

Lecturers may be appointed in a variety of academic units, including but not limited to departments, schools, colleges, or institutes. If the unit in which the position is located has insufficient eligible voting faculty (normally less than five), then the unit head should recruit faculty from related units to serve as an ad hoc appointment or promotion unit. If the position will reside in or have a significant relationship with more than one unit, then a combined unit faculty should act as the eligible voting faculty and the heads of all units involved should provide input into the search, appointment or promotion processes. In such cases, one unit should be chosen as the administrative unit for the purposes of coordinating hiring paperwork, evaluations and promotion reviews.

#### Ranks of Eligible Voting Faculty

The ranks of eligible voting faculty in the unit for appointment/promotion voting are as follows:

##### I. APPOINTMENT

Full-time regular faculty with teaching responsibilities are eligible to vote on the appointment of lecturers.

##### II. PROMOTION

The following are eligible to vote on the promotion of Lecturers to Senior Lecturers: Assistant Professors who have successfully completed their third-year review, Associate Professors, non-tenure track faculty with teaching responsibilities and promoted at least one rank above the entry-level rank, Principal Lecturers, and Senior Lecturers.

The following are eligible to vote on the promotion of Senior Lecturers to Principal Lecturers: Professors, Associate Professors, promoted non-tenure track faculty with teaching responsibilities, and Principal Lecturers.

All eligible faculty are expected to participate in the appointment and promotion evaluation process and to vote, except those who are required to recuse themselves.

### 4. Appointment Procedures

The procedures to appoint a faculty member to the Lecturer track should follow the regular faculty appointment policies and procedures as managed by the Office of Faculty Affairs (OFA).

Generally, initial appointment within the Lecturer faculty track is recommended at the level of Lecturer rather than Senior or Principal Lecturer. Prior to an individual's initial appointment, a maximum of three years of credit towards promotion may be awarded for

related service at other institutions, or service in a faculty rank within UGA. Credit towards promotion must be approved by the Provost before it is offered to a Lecturer candidate. Requests for such credit should be submitted to the Office of Faculty Affairs in accordance with Policy 1.09-1 Letter of Offer.

#### 4.1 Ceiling on Appointments

The combined number of lecturers and senior lecturers appointed at the University of Georgia cannot exceed 20 percent (20%) of all full-time lecturers, senior lecturers, instructors, assistant professors, associate professors, and professors, as calculated each October by the Office of Institutional Research.

This ceiling also applies to individual colleges and schools. Colleges or schools that exceed the 20 percent ceiling at the time of adoption of this policy may retain the number of Lecturers and Senior Lecturers already employed but will be expected to reduce the number of appointments to the ceiling as vacancies take place.

Exceptions to the maximum number of Lecturers and Senior Lecturers within any college or school may be approved by the Vice President for Instruction based on the professional credentials of prospective appointees as related to the instructional needs of the college or school. Such exceptions will be constrained by the Board of Regents policy § 803.03 as it applies to the maximum number of Lecturers and Senior Lecturers within the university.

#### 4.2 Search Procedures

To conduct a search for a position in the Lecturer faculty track, the appointment unit head should refer to and follow the stated procedures in the Academic Affairs Policy Manual, 1.08 Recruitment of Faculty.

Faculty members eligible to vote in the appointment unit (see Section 3) shall vote by secret ballot to recommend candidates for full-time appointments in the unit. This vote will be reported to the faculty of the appointment unit, as well as to the department head or dean.

The dean (or their designee) will review the vote of the appointment unit and any recommendations developed by the search committee and forward their recommendation to the Senior Vice President for Academic Affairs and Provost and the President for final approval.

#### 4.3 Offer Letter: Duties & Expectations

A Lecturer track offer letter should follow the template provided by the OFA and will include a description of the position's duties and the Unit Definition of Privileges (see 4.3).

The specific tasks assigned to a member of this career track may vary across disciplinary boundaries and academic units, as well as across time, but the primary responsibility of all Lecturer ranks will be instruction, either in a classroom, online, or at an off-campus site. At appointment, the offer letter will specify the individual's teaching and other responsibilities, if any, the number of credit hours to be taught each year, and their allocation of effort. In addition, the letter should explain their discipline-specific expectations for promotion, if any. This offer letter will provide the definition against which each Lecturer will be subsequently evaluated, annually and for promotion, and should be created in accordance with section 5.1. If the individual's allocation of effort, assigned duties or performance expectations are changed after execution of the offer letter, these revisions must be recorded in a written addendum shared with the faculty member before their next contract period.

For Lecturers, and Senior Lecturers employed at the time of this policy implementation, the promotion unit must formulate an explicit written statement of responsibilities and performance expectations in consultation with each individual. This statement must be in place prior to the next annual review cycle.

#### 4.4 Annual Reappointment

Reappointment of full-time Lecturers employed on contract is made annually. Notice of non-reappointment must be made in a timely manner consistent with Board of Regents and university policy.

Any changes to a Lecturer's allocation of effort, specific duties, or performance expectations must be documented by the unit head before the next reappointment period, shared with the Lecturer, and filed with the original offer letter.

In accordance with Board of Regents' policy 8.3.4.3, Lecturers, Senior Lecturers, or Principal Lecturers who have served for six or more years of full-time continuous service in those positions at UGA and who have received timely notice of non-reappointment shall be entitled to a review of the decision by the Vice Provost of Academic Affairs.

## 5. Evaluations

Performance reviews are intended to help identify opportunities that will enable Lecturers to reach their full potential in terms of contribution to the university and unit.

### 5.1 Annual Evaluations

An annual written evaluation of each member of the Lecturer track is required (University System of Georgia Academic & Student Affairs Handbook, 4.7; UGA Academic Affairs Policy Manual, 1.06). The criteria for evaluation will be the responsibilities and expectations specified in the Offer Letter for that particular individual, and will be limited to their assigned allocation of effort (see

Section 4.2) with an awareness that the activities and the evaluation of Lecturers may differ in substantive ways from that of tenure-track or other faculty. Consideration should be given to the nature of the teaching duties, including class size (e.g., large vs. small), scope of responsibility, diversity of classes taught, etc. Feedback should be provided to the Lecturer on work performance and on progress toward promotion. Immediate supervisors are encouraged to solicit and utilize input and data from all relevant sources for evaluation and review of performance.

## 5.2 Third Year Performance Reviews

In addition to annual performance evaluations, Lecturers should receive a Third Year Review intended to provide a longer-term perspective than is usually provided by an annual review. Third Year reviews shall be conducted by a Third-Year Review Committee that shall consist of a minimum of three faculty members of equal or higher rank, whose members are familiar with the unique roles and responsibilities of Lecturers. Reasonable effort should be made to include at least one Lecturer at the same or higher rank and may include faculty from other units contingent upon their willingness and availability to serve.

For each third-year review, the candidate will submit a dossier to their Promotion Unit Head, including a statement of Major Accomplishments (two-page maximum), a statement of teaching philosophy (three page maximum), a curriculum vita (eight page maximum), and evidence of teaching effectiveness (ten page maximum). The candidate's Unit Head will supply to the Chair of the Third-Year Review Committee the list of responsibilities and expectations as specified in the Offer Letter and any addendums to the Offer Letter covering the period under consideration (reflecting allocation of effort) and the materials submitted by the candidate. Further evidence may be requested by the committee.

The third-year review committee will report its findings to the Unit, and the eligible faculty, including the Unit Head, will vote to recommend whether progress toward promotion and reappointment is sufficient. A quorum (at least two thirds of the eligible faculty, including non-tenure track faculty, as listed in Section 3) should be present for this vote. The Unit head is not obligated to reveal their vote. The committee will then report its recommendation, along with the vote to the Unit Head. The Unit Head will provide the faculty member under review with a written report regarding their progress toward promotion and/or reappointment. The candidate may reply in writing to the report within 30 days and any reply becomes part of the report. The Unit Head's letter, and any response by the candidate, will be included in the promotion and/or reappointment dossier when it is developed.

## 5.3 Evaluation Criteria



The following factors help establish criteria in evaluating the performance of the Lecturer, Senior Lecturer, or Principal Lecturer where appropriate, and according to that faculty member's responsibilities and expectations as stated in the Offer Letter and any addendum(s). Each unit may develop its own supplemental unit-specific promotion criteria for Lecturers, Senior Lecturers, or Principal Lecturers that must be approved by the promotion unit's faculty, the Dean, and the Provost, added as a signed addendum to the offer letter, and such criteria must be in place before the next evaluation cycle occurs.

The primary responsibility of the Lecturer track is classroom instruction. Contributions related to service, research, and administrative responsibilities are expected only for Lecturers/Senior Lecturers/Principal Lecturers whose Offer Letter (or addendums to their Offer Letter) reflect such responsibilities and expectations in their allocation of effort. Promotion Unit Heads should indicate if the above activities were expected of the Lecturer/Senior Lecturer/Principal Lecturer as part of their annual evaluations.

### **The Standard**

Teaching helps students develop knowledge, skills, and abilities within their chosen discipline and dispositions to continue learning. The University distinguishes between routine classroom performance and contributions to teaching that draw upon the teacher's depth and breadth of scholarly knowledge and their teaching expertise. Teaching includes not only formal classroom instruction, but also advising or mentoring students. Use of the term "effective" and "effectiveness" throughout the document refers to the need to provide data that have been systematically collected and analyzed to support claims about teaching quality and teaching improvement. The term "systematic" means that evidence of contributions to teaching has been gathered, reviewed, and presented in an organized and methodical way that aims to reduce potential bias, allow for coherent evaluation, and promote continuous teaching improvement.

### **Documentation**

Effectiveness in teaching is reflected by student learning and development and in improvements in the learning environment and curriculum. Evidence of teaching effectiveness may include, but is not limited to, any combination of items from the numbered categories (1-9) listed below. In joint instructional endeavors, the evidence should specify the extent of each person's contribution.

For promotion to Senior Lecturer, a candidate must show evidence of student learning or positive student outcomes (see number 1 below) and further evidence of effectiveness of instruction from one of the numbered categories (see numbers 2-9 below).

For promotion to Principal Lecturer, a candidate must show evidence of student learning or positive student outcomes (see number 1 below) and evidence of creating and/or adopting effective instructional practices or a positive

instructional impact beyond instructional settings by completing at least three items from the numbered categories (see numbers 2-9 below).

1. Effectiveness shown by multiple forms of evidence, including some combination of the following:
  - a. A list of courses and information from student end-of-course surveys designed to reflect teaching effectiveness and creativity, rather than popularity. In such cases, information for all courses taught in the previous three years that have been evaluated should be included unless a candidate seeks early promotion, in which case information for two years is sufficient. The candidate should report appropriate quantitative data (i.e., range, mode) for items that provide summary evaluations of the course and instructor, if collected by the department or unit.
  - b. Indicators of ongoing efforts to make teaching decisions based on evidence and to improve teaching and instruction, such as reflection on course evaluation results, observations of the candidate's instruction, and examples of student work.
  - c. Program surveys of alumni attesting to the candidate's instructional contributions to alumni preparation for further education and careers.
  - d. Letters of support from former students attesting to the candidate's instructional performance both within the traditional classroom setting and beyond it.
  - e. Performance of students on uniform examinations, in standardized courses, or from assessment data collected as part of program outcomes assessment.
  - f. Accomplishments of the teacher's present and former students, including examples of student work or information to show the students' success both in learning the subject matter of the discipline and in pursuing it to a point of intellectual significance.
  - g. Effective direction of graduate study including theses and dissertations. Documentation should include patterns of student progress toward degree, retention of students in programs and research group, or student scholarship or creative works.
  - h. Evidence of successful direction of individual students in independent studies, special student projects, or student seminars.
2. Effectiveness shown by peer evaluation of expertise in instruction, including one of the following:
  - a. Systematic professional observations of instruction.
  - b. Participation in special teaching activities outside the University, including international assignments, special lectureships, panel presentations, seminar participation, or international study and development projects.
  - c. Membership on special bodies concerned with teaching, such as accreditation teams or special commissions.

- d. Invitations to testify before academic or governmental groups concerned with educational programs.
3. Successful integration of teaching and research or teaching and service in ways that benefit students if research and service responsibilities are indicated in the Offer Letter (or addendums to Offer Letter).
  4. Development or significant revision of programs and courses, including any of the following:
    - a. Preparation of effective teaching materials, instructional techniques, curricula, or programs of study.
    - b. Reflection over time on positive and negative comments from student end- of-course evaluations and on course assessment data. Reflection should summarize actions taken to maintain or build on positive course elements and to modify problematic elements.
    - c. Collaborative work on courses, programs, and curricula within the University or across institutions.
  5. Honors or special recognitions for teaching accomplishments.
  6. Scholarly activities related to teaching, including any of the following:
    - a. Textbooks, curriculum materials, published lecture notes, abstracts, or peer-reviewed articles or reviews that reflect a candidate's teaching contributions and teaching scholarship.
    - b. Adoption of a candidate's instructional materials such as textbooks and online materials, especially repeated adoption, by institutions.
    - c. Presentation of papers on teaching before professional societies.
    - d. Presentation of papers on teaching before practitioner organizations.
  7. Receipt of competitive grants/contracts to fund innovative and evidence-based educational activities or to fund stipends for students.
  8. Departmental or institutional governance or academic policy and procedure development as related to teaching.
  9. Sustained participation in teaching professional development that aligns with the candidate's efforts to improve their teaching, and demonstration of how participation has impacted the candidate's teaching practice.

## 6. Promotion Procedures

Timely promotion consideration is encouraged to recognize and reward accomplishments, to develop productive Lecturers, and to promote career advancement for the benefit of the individual and unit. Preparation of the promotion dossier is the responsibility of the candidate with the assistance of their unit head. Additional guidance is available from the Office of Faculty Affairs.

## 6.1 Promotion Timeframe

Lecturer ranks constitute a career ladder, and minimum times in rank are six years, including the year in which the review is occurring. Early promotion is not routine. Faculty who are performing significantly above the expectation for their current rank may be considered for early promotion to Senior Lecturer during their fourth year in rank, provided that strong justification is presented in the dossier cover letter.

Successful performance at one rank in and of itself does not necessarily imply having met the criteria for the next rank simply with the passage of time. Individuals in a Lecturer rank should submit their dossier for promotion to Senior Lecturer in the sixth year of employment as a Lecturer. Preliminary consideration should occur, in the normal course, in spring of the fifth year.

In the event of an unsuccessful promotion case, if a unit head desires to reappoint a Lecturer beyond the sixth year, a dossier containing appropriate documentation of that Lecturer's satisfactory teaching ability and value must be presented to the Office of the Vice President for Instruction and Provost in the fall of the candidate's sixth year after it is reviewed and endorsed by the appropriate Dean. The date for submission of the reappointment dossier will be set annually by the Office of Faculty Affairs. If a recommendation for promotion to the rank of Senior Lecturer is forwarded to the Office of Vice President for Instruction and Provost in a Lecturer's sixth year, the promotion process will replace this reappointment process (*see Guidelines for Appointment and Promotion of Lecturers*).

Promotion-related activities should occur within a time frame appropriate for faculty on academic-year schedules to complete the process and for the President to receive the promotion recommendations by a date in early spring semester to be determined annually and provided by the Office of Faculty Affairs. This normally dictates that the promotion process begins at the unit level at the beginning of the promotion-consideration year (typically August).

## 6.2 Guidelines for Promotion

6.2.1 Minimum expectations for promotion of a Lecturer to the position of Senior Lecturer are evidence of student learning or positive student outcomes and further evidence of effectiveness of instruction, as specified through consistent demonstration of criteria listed in section 5.3.

6.2.2 Minimum expectations for promotion of a Senior Lecturer to the position of Principal Lecturer include the above expectations as well as evidence of creating and/or adopting effective instructional practices or a positive instructional impact beyond instructional settings, as specified through consistent demonstration of criteria listed in section 5.3.

Promotions for all Lecturer ranks follow the procedure as described below and thus careful consideration should be given to ensure that the unit head and review committee members fully understand the responsibilities, guidelines, and processes appropriate for each rank.

### 6.3 Preliminary Consideration

Preliminary consideration is a required step towards promotion, although the outcome of the preliminary consideration is advisory to the candidate, rather than binding. Under normal circumstances, in the spring of the candidate's fifth year in rank, the unit head should notify the candidate that they are eligible for preliminary consideration that semester. If the candidate was awarded credit toward promotion at the time of hire, or if they wanted to be considered for early promotion, preliminary consideration could occur in an earlier year. The purpose of preliminary consideration is to organize the candidate's dossier and to provide an assessment of progress toward promotion.

The candidate will submit a dossier containing a current curriculum vita (eight page maximum), a statement of Major Accomplishments (two page maximum), a teaching philosophy statement (three page maximum), and evidence of teaching effectiveness (ten page maximum; see list in 5.3). The unit head will add a copy of the Offer Letter covering the period under consideration (reflecting allocation of effort) and any offer letter addendums to the dossier. The unit may request additional information from the candidate.

In the spring semester, the unit head will convene a quorum (at least two-thirds) of the eligible voting faculty of the appointment/promotion unit (see Section 3) to indicate if they think the candidate warrants further consideration for promotion. After reviewing and discussing the preliminary dossier, the eligible faculty will vote by secret ballot. Within three (3) days of the vote, the unit head or their designee must notify the candidate in writing of the eligible faculty's recommendation. The unit head may also provide feedback on the strengths and weaknesses of the dossier as perceived by the voting faculty. The candidate may decide to proceed with, or defer, their application for promotion at this point in time.

### 6.4 Documentation and Dossier

The key steps in preparation for evaluation are the responsibilities of the unit head and the candidate. First, a dossier must be prepared for evaluation by the appropriate unit head and candidate. The faculty member must have reasonable access to departmental facilities and services to prepare the dossier.

Preparation and verification of the contents of the dossier is a cooperative endeavor between the unit head and the candidate, with the candidate having the final say about the dossier's contents. Appendix A describes the elements required

for the dossier. NOTE: For purposes of the unit's evaluation, only Sections 3-6 of the dossier need to be included.

In order to address performance accurately and fairly, the dossier must both clarify the nature of the candidate's responsibilities and expectations and document the candidate's performance related to those responsibilities and expectations. Each of the following should be customized to align the candidate's responsibilities and expectations with associated performance.

- Offer Letter and Addendum(s) related to responsibilities and expectations. The letter of offer and any addendums that detail the candidate's current position, responsibilities and expectations must be included. Changes or significant shifts in allocation of effort, responsibilities, and/or expectations during the period covered should be identified. If the promotion includes a change in professional responsibilities, the proposed new responsibilities and expectations must be specified and included.
- Curriculum Vitae. No one format is necessarily prescribed as appropriate for the curriculum vitae; however, it should include the standard education and work history of the candidate and should include professional contributions or other recognitions. The curriculum vitae should also indicate the candidate's time in rank, allocation of effort, and expected responsibilities as indicated in the Offer Letter and/or addendums throughout the period under review, and clearly demonstrate relevant assignments including teaching and other responsibilities for which time was allocated (i.e., research, service, administration). The curriculum vitae should be no longer than 10 pages. An example of a CV format is found in Appendix B.
- Teaching Portfolio. The candidate should document evidence of appropriate teaching accomplishments (see Section 5.3) in a teaching portfolio and explain how the requirements for the requested rank have been met (see Section 2). The components of the teaching portfolio should be no longer than 15 pages.

## 6.5 Promotion Unit Evaluation

Normally, the promotion dossier will be subject to three levels of review: the first review takes place within the unit, when it renders its recommendation concerning promotion. Following this review by the unit, the dossier will be reviewed at the college/school level (see Section 6.7), and then by the Office of the Vice President for Instruction and Provost (see Section 6.8). This three-level review process will take place in those schools and colleges with departments. However, in schools or colleges without departments and reporting directly to the Senior Vice President for Academic Affairs and Provost, there will generally be two levels of review: the first is at the school level and the second is by the Office of the Vice President for Instruction and Provost. In these units, the college/school serves as the promotion unit. All reviews must be conducted in a rigorous and equitable manner and must be free of political influence.

Voting Procedures for Units: All eligible voting faculty are expected to participate in the unit evaluation process by voting yes or no. Faculty from the candidate's unit will refrain from participating in any form of evaluation at all higher levels of review.

**Quorum** - Consists of at least two-thirds of those faculty members eligible to vote on a given candidate. Therefore, a quorum must be computed individually for each candidate. State that a quorum was present in the cover letter.

**Abstentions** - No abstentions are allowed. Once a quorum is declared, all members in attendance must vote. Any ballot not clearly marked approve or deny will be considered a "NO" vote.

**Recusal** - Only allowed if a conflict of interest exists. Faculty members who recuse themselves are not considered eligible voters and may not participate in the discussion or consideration of the candidate's dossier.

**Absentee Ballots** - Absentee ballots are allowed but do not count toward the quorum. They must be cast in writing so long as they are received by the unit head before the meeting begins. Absentee ballots received after the meeting begins will be disregarded. Absentee ballots with no vote or not clearly marked are not eligible and will be discarded.

**Recommendations** - Determined based upon a simple majority vote of the participating eligible faculty. A tie is interpreted as a negative vote.

The unit head convenes the eligible voting faculty (p. 2) to conduct the unit evaluation.

Eligible faculty within the unit will vote by secret ballot, except for the unit head. The total number of yes and no votes must be recorded. More yes than no votes must be recorded in order for the recommendation to be recorded as positive. The unit head's vote must be revealed at the time the votes are counted. All absentee and regular ballots must be counted by two faculty members, with the results presented to the faculty before adjournment. The candidate must be informed of the results of the vote, including the tally, within three working days of the meeting.

Consistent with the principle of flow, all promotion dossiers move to the next level of review, regardless of the vote, unless the candidate indicates he/she does not wish to be considered further.

It is the responsibility of the unit head to prepare Sections 1 (UGA Promotion Recommendation Form, see Appendix C), 2 (Cover Letter), and 6 (Offer Letter and Third Year Review) of the dossier. If the unit head voted against the promotion, then the candidate may designate a senior faculty member from the unit to substitute for the unit head. This person prepares Section 2; the unit head still prepares Sections 1 and 6. Before a dossier goes forward, the candidate should review Sections 1 through 5 for accuracy. Since Section 1 reports results and Section 2 represents a synthesis of faculty judgment, the candidate may correct only manifest errors in reported facts.

Unless the unit head voted against the candidate, the dossier goes forward with a cover letter from the unit head (or their designee). In the event that the unit vote was negative, the unit head, regardless of their vote, will summarize the deliberation for the unit's negative vote as a separate document in the dossier. The candidate will have five working days to read and respond in writing to any cover letter and/or rationale before it goes forward. The candidate must have access to this information, which includes the vote of the eligible unit faculty. Whether or not the unit head prepares the cover letter, he/she (or designee) is responsible for preparing a summary of the procedural steps followed by the unit in reaching its vote, including relevant dates where appropriate. This statement is to be forwarded with the dossier.

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

## 6.6 College/School Review

### Colleges/Schools without Departments

In those colleges or schools without departments and reporting directly to the Senior Vice President for Academic Affairs and Provost, the first level of review takes place within the college/school, which serves as the promotion unit and follows all procedures for the unit review as outlined in the previous section.

This review takes place in accordance with the college/school's written criteria for promotion, and in a manner that is consistent with these *Guidelines*. In these units, the dean will not serve as the promotion unit head. The college/school should establish written procedures for the selection of the promotion unit head.

### Colleges/Schools with Departments

In those colleges or schools with departments, the first level of review takes place in the unit in accordance with its criteria for promotion. Upon completion of that first-level review, the unit will transmit the candidate's dossier to the college/school review committee(s) in accordance with the procedures outlined above. At that time, the candidate, unit head or Senior faculty member designated by the candidate may supplement the record with claims regarding procedural error, if necessary. In all cases, at the college/school committee review, the committee will review the case to ensure that no procedural error exists. The committee also will ensure that the candidate meets the criteria specified in these *Guidelines*, as well as criteria specified by the unit.

- a. *Deference to Initial Determination.* The burden of evaluating the qualifications and suitability of the candidate for promotion is greatest at the first level of review. Significant weight will be given at the higher levels of review to the judgments and recommendations of lower-level review committees



(particularly at the unit level).

- b. *Appointment and Composition of the College/School Committees.* The Dean appoints the members of the college/school review committee(s); these Guidelines recommend that such committees consist of at least five eligible faculty members of the college/school and must include representation at the Senior or Principal Lecturer rank as appropriate.
- c. *Voting Procedures for Colleges/Schools with Departments.*
- *Quorum* - Of the committee members eligible to vote on a given candidate, no more than one may be absent in order to constitute a quorum. Therefore, a quorum must be computed individually for each candidate. State that a quorum was present in the cover letter.
  - *Abstentions* - No abstentions are allowed. Once a quorum is declared, all members in attendance must vote. Any ballot not clearly marked approve or deny will be considered a "NO" vote.
  - *Recusal* - Only allowed if a conflict of interest exists. Faculty members who recuse themselves are not considered eligible voters and may not participate in the discussion or consideration of the candidate's dossier. No committee member may vote twice on a candidate's application for promotion and must therefore be recused from voting on any candidate from the member's own unit.
  - *Absentee Ballots* - No absentee ballots are allowed.
  - *Recommendations* - The unit's recommendation may be reversed only if a 2/3 majority of the eligible committee members who are present at the meeting vote to reverse the outcome at the lower level. Refer to the next section regarding cases where a college/school review committee concludes that a procedural error exists that has not been properly evaluated or remedied at the unit level.
  - *Voting* - Voting will be conducted by secret ballot with two designated faculty members assigned to count the ballots.
- d. *Additional Procedures for College/School Review Committees.* Where a College/School Review Committee concludes that procedural error(s) exist that have not been properly evaluated or remedied at the lower level of review, the College/School Review Committee may take one of the following actions:
- Remand the case to the unit if such error can be corrected within the current promotion cycle, with instructions concerning how to proceed thereafter.
- (1) Find that the procedural error was fatal to the candidate's ability to achieve a fair evaluation of the record at the unit level or a record worthy of promotion. A finding of such fatal procedural error by a 2/3 majority vote of the eligible college/school review committee members will nullify a negative unit vote. The committee will then vote, based on all available information, including knowledge that a fatal procedural

error occurred, on the candidate's application for promotion. The resulting recommendation of the college/school review committee, based upon a simple majority vote of the participating eligible faculty, will be forwarded to the Vice President for Instruction and Provost in place of the nullified unit vote. A tie vote is interpreted as a negative vote.

- (2) With the candidate's participation and cooperation, supplement the record in any way necessary to allow for the fullest substantive and fair review possible.
- (3) Determine that any procedural error was harmless because it had no substantive impact on the candidate's application for promotion, in which case the committee may proceed to consider the substance of the candidate's application.

- e. Regardless of the outcome of the college/school committee vote (favorable or unfavorable) the dossier will be forwarded for a review by the Vice President for Instruction and Provost. In addition, the committee must record the rationale for its decision to affirm or reverse the lower-level decision. This rationale must be in writing and must be transmitted, along with the tally of the vote, to the candidate, who will have the opportunity to respond to the committee's rationale within five working days. The rationale of the college/school vote and any such response of the candidate will be included in the dossier for consideration by the Vice President for Instruction.
- f. *Role of the Dean.* All promotion decisions (including both positive and negative decisions) must be sent to the dean of the college/school for review. The dean (or their designee) will provide a thorough, independent evaluation of each candidate for promotion. By this means, the dean will achieve several important objectives of the promotion. These include: (1) ensuring consistency in the application of the standards for promotion within the college/school; (2) promoting fairness in the promotion process; and (3) seeing to it that candidates for promotion are central to the mission of the unit and college/school.

The dean (or their designee) will be ex-officio, non-voting member of the college/school review committee(s). After the vote has been taken at the college/school level, the dean (or their designee) will write a letter evaluating the candidate, introducing the dossier as it goes forward to the Office of Faculty Affairs for transmission to the Vice President of Instruction. The letter will include the vote of the appropriate faculty of the unit, as well as the vote of the college/school review committee. The candidate will have five working days to read and respond in writing to the dean's letter before the dossier moves forward to the Vice President of Instruction. To that end, the candidate must be given timely access to the dean's letter. The candidate's response will be included in the dossier as it moves forward.

## 6.7 Vice President for Instruction Reviews

All dossiers will be forwarded with the Dean's recommendation to Office of Faculty

Affairs by the fall deadline published for that year. The Vice President for Instruction will review the dossier (and may employ an appointed advisory committee in the process) and forward it to the President for final consideration. Negative decisions may be appealed as detailed below (Section 7).

## 7. Principle of Flow and Appeals

Lecturers or Senior Lecturers who receive a negative recommendation on promotion at the unit level may choose to allow the dossier to go forward with the unit recommendation to the appropriate Dean or Vice President to which their unit reports. This is consistent with the Principle of Flow as defined in the UGA Guidelines for Appointment, Promotion, and Tenure for Academic Rank Faculty.

Negative recommendations for promotion at the Vice President level may be appealed. Appeal requests should be submitted in writing by the candidate to the next level of review, with an informational copy to the appropriate Dean, within seven days after notification by letter of the negative recommendation. The candidate's appeal request should include a detailed explanation of the relevant circumstances and/or reasons justifying the appeal. This letter of request is the only new information allowed in the Appeals Process.

Appeals may be based either on significant inaccuracies in the record of accomplishment by the candidate as submitted in the dossier or on significant procedural irregularities, either in periodic review and advisement of the candidate or in the process of promotion review, as detailed in this document.

For promotion to Senior or Principal Lecturer, the appeal will be submitted to a separate committee appointed by the President and composed of faculty at or above the rank sought by the candidate (see Section 3, Ranks of Eligible Voting Faculty), who will then make a reappraisal of the candidate's record. The committee's recommendation will be submitted to the responsible administrator at the appeal level. The President will consider the appeal committee's recommendation before making a final decision.

## Appendix A. Dossier for Promotion of Lecturers and Senior Lecturers

The purpose of this dossier is to present evidence of the candidate's qualifications for promotion. The candidate for promotion should document their most important achievements in a teaching portfolio (see Section 5 below). The contents and organization of the dossier are described below.

### **Section 1: Recommendation for Promotion Form**

Use the Recommendation for Promotion Form for the Lecturer Track (see Appendix C).

### **Section 2: Unit Head Cover Letter for Promotion**

Summarize the evidence supporting the candidate's promotion. Include the information specified below. The cover letter shall be the principal letter of evaluation from the promotion unit. The letter should also include the unit head's recommendation to support or not support the promotion application.

- A. *Background*. List the candidate's position and key professional accomplishments. Use the offer letter and any addendums to guide the emphasis on particular areas.
- B. *Summary of the Candidate's Achievements*. Summarize the candidate's professional accomplishments and the quality of these contributions to the unit and/or university as they relate to the requirements for the requested rank (p. 1) and the candidate's teaching effectiveness (p. 6). Anchor these comments with references to the pages of the dossier where the evidence is presented.
- C. *Assessment of the Candidate's Stature*. Evaluate the candidate's stature within the unit and/or college/school. Again, anchor these comments with references to the pages in the dossier where the evidence is presented.
- D. *Need for Services*. Demonstrate a continuing and long-range need for the candidate. Show how the duties assigned to the candidate are essential to the unit fulfilling its mission at present and in the future.

### **Section 3: Unit Criteria**

In some cases, academic units may elect to supplement this document with unit criteria. If so, then these criteria should be considered in promotion decisions.

### **Section 4: Curriculum Vitae (eight page maximum) and Candidate's Statement of "Major Accomplishments" (two page maximum)**

The curriculum vitae should include the standard education and work history of the candidate and should include professional contributions, awards, grants, and/or other recognitions. The curriculum vitae should also indicate the candidate's time in rank, allocation of effort, and expected responsibilities as indicated in the Offer Letter and/or addendums throughout the period under review, and clearly demonstrate relevant assignments including service, research, administrative, and/or other responsibilities for which time was allocated. See Appendix B for a suggested format for the CV.

As the primary responsibility of the Lecturer track is classroom instruction, the "Major Accomplishments" document should describe significant instructional accomplishments and activities during the time under consideration for promotion. Additional service, research, and/or administrative accomplishments/activities should be included if indicated in the Offer

Letter and/or addendums throughout the period under review,

### **Section 5: Teaching Portfolio**

The Teaching Portfolio should document the candidate's achievements since appointment or promotion to present rank in relation to the Offer Letter and any addendums. Evidence should include relevant examples, such as those listed in Section 5.3 that reflect teaching effectiveness. Below is a framework for the Teaching Portfolio and a listing of elements that should be included in it. Section 5 of the dossier should be no more than 15 pages.

- Statement of Teaching Philosophy (five page maximum)
- Evidence of Teaching Effectiveness (ten page maximum; see section 5.3)
- Service to the University, the Profession or Society (if applicable)
- Research, Scholarship or Other Creative Activities (if applicable)

### **Section 6: Offer Letter and Third-Year Review**

The Promotion Dossier should include the Offer Letter that indicates allocation of effort throughout the period under review and clearly demonstrates relevant instructional assignments and other responsibilities for which time was allocated. Changes or significant shifts in allocation of effort, roles, and/or responsibilities during the period covered should be identified. If the promotion includes a change in professional responsibilities, the proposed new responsibilities and expectations should be included. The candidate's promotion unit Third Year review final report should be included.

## Appendix B. Recommended Vita Format

In an effort to produce a more uniform reporting procedure, the following outline is recommended for the vita in promotion dossier. At a minimum, the vita should reflect responsibilities and expectations as specified in the Offer Letter and any addendums to the Offer Letter.

### 1) Academic History

1. Name
2. Present rank:                      Recommended rank:
3. Allocation of effort (% time) assignments
4. Administrative title (if any)
5. Graduate Faculty status
6. Highest degree, the institution, the date
7. List of academic positions in chronological order with titles and inclusive dates
8. Other professional employment (current and previous), dates
9. Post-graduate awards (fellowships, lectureships, etc.)

### 2) Instruction

1. Courses Taught, including title, enrollments, and credit hours
2. Development of new courses
3. Supervision of Graduate Student Teaching or Research, including degree objective, graduation date, current placement of student
4. Graduate Student Advisory Committee Membership
5. Supervision of Undergraduate Research, including thesis status, period of supervision, current placement of student
6. Internship supervision
7. Instructional Grants Received (dates, dollar amounts [total & amount to the candidate], investigator status)
8. Recognitions and Outstanding Achievements (teaching awards, prizes, fellowships, awards won by your students etc.)
9. Academic Advising
10. Professional development

### 3) Scholarly Activities/Creative Work (as applicable)

If joint endeavors are listed on the CV, faculty should briefly describe how authorship order is assigned in their discipline. Scholarly outputs appropriate to the discipline and as specified by the PTU criteria, should be listed. Peer-reviewed and invited items should be identified as such with asterisks or other markers as defined in the CV by the candidate.

1. Publications (Indicate number of pages for books or chapters).
  - (a) Books authored or co-authored (in print or accepted) distinguish original editions and revisions
  - (b) Books edited and co-edited (in print or accepted) distinguish original editions and revisions
  - (c) Chapters in books (in print or accepted)

- (d) Monographs (longer than articles, in print or accepted)
  - (e) Journal articles (in print or accepted)
  - (f) Bulletins or reports (in print or accepted)
  - (g) Abstracts (in print or accepted)
  - (h) Book reviews (in print or accepted)
  - (i) Patents
  - (j) Works submitted but not yet accepted
  - (k) Any other (e.g., popular articles)
  - (l) Creative contributions other than formal publications
2. Grants received (dates, amounts [total & amount to the candidate], principal investigator, co-principal investigator, or co-investigator status)
  3. Recognitions and outstanding achievements (teaching awards, prizes, fellowships, etc.)
  4. Supervision of student research (including number of theses and dissertations supervised)
  5. Convention papers/Proceedings
  6. Presentations
    - a. Invited seminars/lectures
    - b. Conference talks
    - c. Poster presentations
- 4) Public service (as applicable)
1. Extension,
  2. International programs,
  3. Local community services and relations, and
  4. To governmental and nongovernmental agencies
- 5) Professional service (as applicable)
1. Service to professional societies, governmental organizations or nongovernmental agencies
  2. Editorships or editorial board memberships for journals or other learned publications
  3. Ad hoc manuscript reviewer
  4. Grant review panel member
  5. Ad hoc grant reviewer
  6. External evaluator of promotion/tenure dossier
  7. Service on departmental, college, or University committees
  8. Special administrative assignments
  9. Service to student groups and organizations
  10. Service to support units such as libraries, computing services and health services

## Appendix C. Recommendation for Promotion Form for Lecturer Track

### Promotion and/or Reappointment of Lecturers, Senior Lecturers, and Principal Lecturers Dossier Checklist

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

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

**Recommendation For:** *(check one)*

Promotion and Reappointment  Reappointment Only (SL & PL)  Do Not Reappoint

**Promotion to:** *(check one)*

Senior Lecturer  Principal Lecturer

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

<b>Items in Dossier</b> <i>(Ensure all items are included in the electronic dossier (pdf format) at each level of review)</i>	√ or N/A
<b>Table of Contents</b>	
<b>Section 1: UGA Recommendation for Promotion Form</b>	
<b>UGA Recommendation for Reappointment Form</b>	
<b>Section 2: Unit Head Cover Letter(s) for Promotion</b>	
<b>Dean's Cover Letter(s) (not a part unit level dossier)</b>	
<b>College/School Review Committee Written Rationale and Vote (not a part unit level dossier)</b>	
<b>Candidate's Letter(s) of Response <i>(as applicable)</i></b>	
<b>Section 3: Unit Criteria (as applicable)</b>	



<b>Section 4: Curriculum Vita and “Major Accomplishments”</b>	
Curriculum Vita (eight page maximum) Candidate’s Statement of “Major Accomplishments” (two page maximum)	
<b>Section 5: The Teaching Portfolio</b> Statement of Teaching Philosophy (three page maximum) Evidence of Teaching Effectiveness (ten page maximum) Service to the University, the Profession or Society (if applicable) Research, Scholarship or Other Creative Activities (if applicable)	
<b>Section 6: Letter of Offer</b> ( <i>include statement of any approved changes in assignment</i> )	
<b>Third-Year Review</b> ( <i>for Lecturers only</i> )	
<b>Optional Section 7*: Brief Statement of Qualifications of Each External or Internal Evaluator</b>	
<b>Identification of Evaluation Letters from Candidate’s List vs Unit’s List</b>	
<b>Sample Letter Requesting Evaluation</b> ( <i>optional</i> )	

NOTE: Do not submit appendices for university level review.

\*As applicable, external and internal review requirements specified by unit criteria.