

6-22-1988

# Promotion & Tenure Guidelines & Consideration

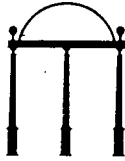
University of Georgia School of Law

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THE UNIVERSITY OF GEORGIA

SCHOOL OF LAW

MEMORANDUM

TO: Faculty

FROM: Julian McDonnell, Chairman  
Promotion & Tenure Committee

DATE: June 22, 1988

RE: Promotion & Tenure Guidelines & Consideration

I am attaching copies of:

(1) our Law School Criteria for Appointments, Promotions & Tenure last revised September 20, 1977;

(2) the University's Guidelines for Appointment, Promotion and Tenure as approved by the University Council on May 11, 1988.

I am distributing these materials now for two reasons. First, I seek to stimulate thought and discussion as to whether the Law School's criteria are in need of revision. Second, I would ask any faculty member who would like to be considered for promotion during the 1988-1989 academic year to let me know promptly of their desire to be considered.

JBM/per

Athens, Georgia 30602

UNIVERSITY OF GEORGIA SCHOOL OF LAW

Criteria

for

Appointments, Promotions and Tenure

April 9, 1970

Redrafted February 17, 1971

Revised September 20, 1977

The University of Georgia School of Law is continuing its drive to achieve excellence in legal education. Fundamental to the attainment of this goal is the recruitment and retention of an able and distinguished faculty. The following criteria for appointments, promotions and tenure have been developed and approved by the Law Faculty. While it is anticipated that they will be applied in a vast majority of cases, it is recognized that there may well be unusual situations which will compel deviation from them.

I. APPOINTMENTS

Assistant Professor - Original Appointment

- (1) Holder of at least the first degree in law (LL.B. or J.D.) with high rank from an AALS member school.
- (2) Law review or similar experience as a student (Managing Board position highly desirable).
- (3) Published note or similar original work in a recognized law review or law journal.
- (4) A year's experience as a clerk for a judge, as a practicing attorney, as a teaching assistant in a law school, or a year's graduate study.

Associate Professor - Original Appointment

- (1) Holder of at least the first degree in law (LL.B. or J.D.) with high rank from an AALS member school.
- (2) Law review or similar experience as a student (Managing Board position highly desirable).
- (3) Published two legal periodical articles or comparable original research works of recognized quality.
- (4) A minimum of four years' experience, consisting of at least two years' teaching experience with the remainder any combination of:

- a. Clerking for a judge.
- b. Practice at the bar.
- c. Graduate study.
- d. Public administration.
- e. Law-related research.

### Professor - Original Appointment

The general criterion for appointment to the rank of full professor is distinguished performance in legal education or at the bar with regional or national recognition in one's specialty.

- (1) A minimum of eight years' experience, comprised of any combination of:

- a. Clerking for a judge.
- b. Practice at the bar.
- c. Teaching law.
- d. Graduate study.
- e. Public administration.
- f. Law-related research.

(In unusual circumstances, where an original appointment to the rank of professor is to be recommended, outstanding performance at the bar over a substantially longer period of time may be accepted in lieu of a high rank in law school and law review experience.)

- (2) If a proposed appointee has been engaged in law teaching for a period of five years or more, he will be expected to have published books or articles of recognized quality on an average of at least one every two years and to have published at least one within the two years prior to the recommendation.
- (3) If a proposed appointee has been engaged in law teaching, he must have demonstrated superior ability as a teacher.

## II. PROMOTIONS

### To Assistant Professor

It is not contemplated that appointments to the rank of Instructor will be made; consequently, promotions to the rank of Assistant Professor may never be sought. If they are, the criteria for Original Appointment will apply.

### To Associate Professor

- (1) Proven ability as a teacher of law.
- (2) A minimum of four years' experience, consisting of at least two years' teaching experience with the remainder any combination of:
  - a. Clerking for a judge.
  - b. Practice at the bar.
  - c. Graduate study.
  - d. Public administration.
  - e. Law-related research.

- (3) Publication of at least two articles of recognized quality in a legal publication, researched and written after the award of J.D. or LL.B. degree. (Research time will be made available to facilitate the meeting of this criterion.)
- (4) Participation in service projects of the school, university, or organized bar, or other professionally related public service.

In general, candidates for promotion must have demonstrated real strength in the area of teaching and in the areas of research, service and professional activities.

#### To Professor

- (1) A minimum of eight years' experience, comprised of six years' teaching experience and any combination of:
  - a. Clerking for a judge.
  - b. Practice at the bar.
  - c. Graduate study.
  - d. Public administration.
  - e. Law-related research.
- (2) Publication of at least two articles of recognized quality in law reviews or law journals while serving as an associate professor.
- (3) Established reputation as an outstanding teacher.
- (4) Substantial participation in the service activities of the school, university or organized bar, or other professionally related public service.

### III. TENURE

The Regents' policies regarding the granting of tenure are as follows:

1. Only Assistant Professors, Associate Professors, and Professors who are normally employed full-time (as defined by Regents' policies) by an institution are eligible for tenure. Faculty members with adjunct appointments and aliens shall not acquire tenure.

The term "full-time" is used in these tenure regulations to denote service on a one hundred percent work load basis for at least three out of four consecutive academic quarters.

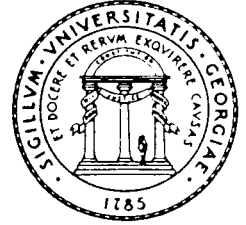
2. Tenure may be awarded, upon recommendation by the President and approval by the Board of Regents, upon completion of a probationary period of at least five years of full-time service at the rank of Assistant Professor or higher. The five year period must be continuous except that a maximum of two years interruption because of a leave of absence or of part-time service may be permitted; provided, however, that no probationary credit for the period of an interruption shall be allowed. A maximum of three years credit toward the minimum probationary period may be allowed for service at other institutions or for full-time service at the rank of

Instructor at the same institution. Such credit for prior service shall be defined in writing by the President and approved by the Chancellor at the time of the initial appointment at the rank of Assistant Professor or higher.

3. The maximum time that may be served at the rank of Assistant Professor or above without the award of tenure shall be seven years, provided, however, that a terminal contract for an eighth year may be proffered if an institutional recommendation for tenure is not approved by the Board of Regents. The maximum time that may be served in any combination of full-time instructional appointments (lecturer, instructor, or professorial ranks) without the award of tenure shall be ten years, provided, however, that a terminal contract for an eleventh year may be proffered if an institutional recommendation for tenure is not approved by the Board of Regents.

Aliens are excepted from these maximum time regulations (7 years) but an alien who would otherwise have become eligible for tenure had he/she been a citizen may be awarded tenure upon attainment of citizenship.

4. The maximum period of time that may be served at the rank of full-time Instructor shall be seven years.
5. Tenure or probationary credit towards tenure is lost upon resignation from an institution, or written resignation from a tenured position in order to take a non-tenured position, or written resignation from a position for which probationary credit toward tenure is given in order to take a position for which no probationary credit is given. In the event such an individual is again employed as a candidate for tenure, probationary credit for the prior service may be awarded in the same manner as for service at another institution.
6. Upon approval of the award of tenure to an individual by the Board of Regents, that individual shall be notified in writing by the President of his institution, with a copy of the notification forwarded to the Chancellor.
7. An annual report shall be made to the President by each unit of the institution on the status of its faculty. Numbers of tenured and non-tenured faculty, by rank, shall be furnished. Individuals who have been retained in a full-time faculty status at the institution for a period in excess of seven years without the award of tenure shall be identified by name and justification for such retention given. These reports shall be available for public inspection.
8. Notice of the intention not to reappoint a non-tenured faculty member shall be furnished, in writing, according to the following schedule:
  - (a) at least three months before the date of termination of an initial one-year contract;
  - (b) at least six months before the date of termination of a second one-year contract;
  - (c) at least nine months before the date of termination of a contract after two or more years of service in the institution.



May 31, 1988

To: Vice Presidents, Deans, Directors, and Department Heads

From: M. Louise McBee *M. Louise McBee*  
Acting Vice President for Academic Affairs

Re: Revised Guidelines for Appointment, Promotion, and Tenure

Attached are the revised Guidelines for Appointment, Promotion, and Tenure. The revisions were approved in accordance with University Bylaws by the University Council at its meeting on May 11, 1988. They are now effective and will govern the promotion cycle for the 1988-89 year. Colleges, schools, and departments which are currently engaged in processes associated with promotion and tenure recommendations should refer to the new document in order to follow the procedures outlined by it. Deans, directors, and department heads have a particularly significant responsibility to see that the procedures outlined by the Guidelines are followed to assure an orderly, effective, and fair promotion and tenure review process.

Let me call several changes to your attention -- refer to the Guidelines for the changes noted:

1. The preparation of the promotion dossier is the joint responsibility of the head of the promotion unit and the candidate. The candidate should review all materials except outside letters of evaluation. Material should not be added to the dossier after it leaves the promotion unit without the knowledge of the candidate (pp. 18-19).
2. The Guidelines stipulate that the only material which can be added after the dossier leaves the promotion unit is documentation that a scholarly or creative work has been accepted, published, or reviewed, except that a committee reviewing a dossier can request additional information if necessary. The document also indicates how material is to be added (p. 19).
3. A new two-stage review procedure has been developed for those schools that do not have departments or the equivalent (p. 21).
4. Procedures for appeals have been strengthened. Negative decisions can be appealed beginning with the promotion unit. Appeals of college level committees can be made to the University area committee. Please note that the first step of an appeal is back to the committee making the original decision. When a group is asked to reconsider its own decision, any vote or action taken after reconsideration will substitute for the vote originally taken by the

Memo to Vice Presidents, Deans,  
Directors, and Department Heads  
May 31, 1988  
page two

group. Given the sensitivity of appeals, it is important that all deans, directors, and department heads familiarize themselves with the details of this process (pp. 23-24).

5. Promotion unit heads who do not favor a candidate who has received a favorable vote in the promotion unit must designate another faculty member to write the cover letter for the dossier and to insert outside letters of evaluation (p. 18).

6. The tenure and promotion review processes have been combined. The same school, college and University level committees will consider both recommendations. Nevertheless, a complete dossier for promotion and for tenure must be prepared. The cover letter for tenure requires some of the same information and some different information than that of the promotion cover letter. The tenure dossier should also include a curriculum vitae and outside letters of evaluation. The same curriculum vitae and outside letters of evaluation can be used for each dossier. Candidates for tenure who are not also candidates for promotion can include letters of evaluation used for their promotion or appointment if they have been obtained within the last two years. Otherwise, new letters are advisable (p. 31).

7. Please note that the vote of the participating faculty is required in appointment, promotion, and tenure letters. The tenure vote should be taken separately from the promotion vote (although it can be taken in the same meeting) and reported in the cover letter in the tenure dossier and on the Recommendation for Tenure - Summary Information Sheet (pp. 18 and 30).

8. The outside evaluations are an important part of the process. Please note the requirements for selecting external assessors and include information about their qualifications in the dossier. Also, the new form for soliciting evaluations asks evaluators to indicate how long and in what capacity they have known the candidate (pp. 38-39).

9. The Guidelines now limit the number of years for which student evaluations of courses are required (p. 6).

10. The years of service, in accordance with Board of Regents policy, include the year in which the promotion or tenure recommendation is being considered (pp. 15, 40, and 42).

cc: President Charles B. Knapp  
Vice President William F. Prokasy



THE UNIVERSITY OF GEORGIA

GUIDELINES FOR

APPOINTMENT, PROMOTION

AND TENURE

Approved by University Council

May 11, 1988

The University of Georgia

Guidelines For

Appointment, Promotion, and Tenure

Second Edition: 1981  
Revised: 1988

The Committee to Advise the Vice President for  
Academic Affairs on the Revision of the Appointment,  
Promotion, and Tenure Guidelines

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## Acknowledgements

The ad hoc committee appointed to advise the Vice President for Academic Affairs on revising the Guidelines has recommended changes designed to clarify the procedures and to present them in a way that will make them more workable for promotion units, candidates, and the committees which review promotion dossiers. The Guidelines are now a product of several committees which have contributed to its development. This revision relies heavily upon the suggestions of members of promotion committees as they have worked with the Guidelines and on the experience of candidates for promotion, especially those who have used the appeals procedures in the previous document. The committee also wishes to acknowledge the contribution of Dr. Sidney E. Brown, Associate Vice President for Academic Affairs and a member of the committee, to its work. His repository of experience, acquired through many years of work with the promotion process at the University of Georgia, constitutes an unmatched source of information which the committee found very useful. The committee also acknowledges the excellent staff work of Juanita Jones, Nelda Whitsel, and Pam Wier.

## Equal Protection Assurance

In keeping with the University's commitment under the Affirmative Action Compliance Program, no person will be discriminated against on the basis of race, color, sex, national origin, religious belief, age, or presence of a handicap in any decision regarding appointment, promotion, or tenure. The department/division head, dean, and committees will base their consideration of a candidate on his or her qualifications in relation to the criteria listed in these Guidelines and use the procedures specified.

### Liability of Faculty Participating in Appointment, Promotion, and Tenure Decisions

The University System's Professional Liability Insurance covers faculty who participate in decisions concerning promotion and tenure. See the letter (6/30/80) from Vice Chancellor Shealy McCoy on file in the Office of the Vice President for Academic Affairs.

### Introduction to the Guidelines

The University of Georgia has important responsibilities in promoting the advancement of knowledge and the general welfare of people in Georgia, the United States, and, indeed, the world. University faculty have honorably discharged these responsibilities during the 200-year past and shall continue to do so in the years to come. Faculty members bear a central role in this historical process. As a result, the University must have a faculty capable of performing at the highest levels of teaching, inquiry, and service to the people, the University, and the scholarly disciplines.



Further, an excellent faculty makes it easier to attract other distinguished faculty and superior students to the University. Guidelines for appointment, promotion, and tenure that are fair, as well as fit and appropriate, are crucial to encouraging and recognizing faculty excellence.

#### The Work of the Committee

The Guidelines have been revised several times, most recently in 1981. The 1988 revision began in April, 1987, with the charge of Acting Vice President M. Louise McBee to "...clear up ambiguities in the language to make changes in the procedures which caused problems this year." The committee examined the Guidelines, focusing on this goal; in this task the committee relied heavily upon the experiences of faculty members who have served on promotion and tenure committees and of faculty members who had been considered by these committees as these had been relayed to the office of the Vice President for Academic Affairs. The committee also requested information from other comprehensive land grant universities about their tenure and promotion procedures.

In December, 1987, Dr. McBee expanded the committee's charge by asking it to examine the criteria for promotion directly, especially as applied to those whose assigned duties preclude accomplishments in two of the three traditional areas of faculty responsibility. The questions raised by this expansion of the charge are complex ones, but recommended changes provide a workable way for dealing with such cases, which are inevitable in a complex, comprehensive, land grant university.

The committee's goal has been to improve the Guidelines by clarifying ambiguities and addressing problem spots which have appeared over the years as the present process has been in effect. The improvement, however, preserves the integrity of the process which requires that University faculty exercise in a responsible way their duty to evaluate candidates for promotion and tenure to assure the quality of the institution while at the same time establishing fair and understandable procedures for those who will be evaluated by the process. The revision is an incremental one, which seeks to preserve the positive qualities of the process, which itself is the product of hours of work undertaken by many faculty members over many years.

## Fitness and Appropriateness of the Guidelines

The fitness and appropriateness of these Guidelines are important concerns. Fitness and appropriateness mean that the criteria for appointment, promotion, and tenure pertain to work that faculty members are assigned to do. Connecting the criteria to faculty work responsibilities requires efforts at the University-wide level and at the school/college level.

At the University-wide level, there are general criteria that follow (1) from the University's mission in today's world, namely, "to teach, to inquire into the nature of things, and to serve the people," and (2) from the fact that faculty are all participants in the local University community as well as members of communities of scholars in our own disciplines. That is, the general responsibilities of faculty at the University of Georgia are to engage in instruction, research or other creative activities, public service, University governance, and activities within one's discipline.

At the school and college level, it is clear that units have differing missions within the University-wide mission. Quite rightly, faculty work responsibilities are based on these particular school/college missions and, as a result, the characteristics of faculty work assignments differ among and within the schools and colleges. It follows then, for the criteria to be fit and appropriate, the respective units must start with the general University-wide criteria and work out applications suitable for their particular missions. In turn, appointment, promotion, and tenure of faculty within a school or college must be tied to its specific applications of the general University-wide criteria to its particular mission. That is, committees charged with implementing these Guidelines must use these specific applications, with appointment being based on potential for performing responsibilities named in the specific criteria, and promotion and tenure being based on excellence in performing those responsibilities.

## Fairness of the Guidelines

The fairness of these Guidelines is another important concern. Fairness means that the procedures for making decisions on a person's appointment, promotion, and tenure include safeguards against error. The person and the University both stand to gain from such procedural safeguards. The person is assured a just hearing. The University has the opportunity to teach by example the decency that human dignity is due.

To this end, these Guidelines codify the steps for guaranteeing equal opportunity to applicants for appointment and steps for providing advisement, careful decision-making, review, and appeal processes to candidates for promotion and tenure.

Part 1  
Appointment and Promotion

Criteria

Academic appointment, promotion, and tenure are based on candidates' being scholars. Scholarship is both a science and an art through which knowledge is extended by public demonstration of disciplined inquiry and creative effort. Scholarly work may be demonstrated by mastery of the state of the art in a field, recognition of theoretical or applied topics or problems suitable for study, acquisition of dependable information, application of systematic methods based on facts or hypotheses to provide critical analyses, originality of approach, and conceptualization of specific results in terms of general theory.

To repeat for emphasis: "At the University-wide level, we have general criteria that follow (1) from the University's mission in today's world, 'to teach, to inquire into the nature of things, and to serve the people,' and (2) from the fact that we are all participants in the local University community as well as members of communities of scholars in our own disciplines. That is, the general responsibilities of faculty at the University of Georgia are to engage in instruction, research or other creative activities, public service, University governance, and activities within one's discipline."

Criteria based on these general faculty responsibilities are as follows:

To fulfill the University's mission each candidate for promotion or tenure must: (1) show evidence of scholarship through publication or other creative works in his or her area of expertise and (2) attain a high level of performance in two of the three areas specified in the University's mission: instruction, research or other creative works, and public service.

In extremely rare cases, faculty who are assigned entirely to research and who are precluded from making significant contributions to instruction and are also precluded from making significant contributions to public service, such as those stationed at sites remote to the Athens campus, should be judged for promotion and tenure on their contributions to research (pp. 7-9), and the candidate's performance should be clearly exceptional. Each case should be requested and documented by the department/division head, approved by the dean, and verified by the appropriate vice president(s).

Since the public service mission of the University includes the components of instruction and research, persons assigned entirely in public service should be evaluated for promotion and tenure on performance documented by the sources listed under public service (pp. 9-11).

The candidate may use as supportive evidence for promotion and tenure outstanding contributions to the candidate's profession or discipline and to University governance.

The need for fitness and appropriateness requires that the general criteria be translated by each school or college into specific criteria, including weights and priorities, suitable for the unit's particular missions, i.e., the nature and the particular responsibilities it has within the University and within Georgia, the United States, and the world. In turn, these specific school/college criteria should be used in evaluating candidates' performance of the duties assigned to them by the division/department heads and approved by the deans, or the duties assigned to them by deans in schools which do not have departments and divisions.

### Contributions to Instruction

#### The Standard

Teaching is the communication of knowledge to students, the development in them of the knowledge and skills necessary to continue the quest for knowledge, and the training of students for entry into the professions and scholarly disciplines.

Because teaching in its various forms constitutes a central function of the University, our accountability to those who choose to study with us and to those who support us requires that we encourage and reward excellence in teaching. Our responsibilities require the services of teacher-scholars, not just nominally effective classroom lecturers. Teacher-scholars are those who fulfill the dual responsibilities of creative teaching and superior scholarship in their disciplines.

Faculty whose work assignments include instruction must be clearly excellent in teaching activities. It is important to emphasize the distinction between routine classroom performance and teaching excellence that draws upon the teacher's depth and breadth of scholarship.

#### Documentation

Evidence of teaching effectiveness may include, but is not limited to, some combination of the sources listed below. This evidence encompasses evaluations of a candidate's performance by students, peers, supervisors, or other appropriate judges.

1. Development of innovative courses, preparation of innovative teaching materials or instructional techniques, or creative contributions to a department's instructional program.

2. Information from student questionnaires carefully designed to reflect teaching excellence and creativity, rather than popularity. In such cases, complete information for all courses taught in the last three years which have been evaluated should be included unless a candidate is being considered for early promotion to associate professor, in which case information for two years is sufficient. Where possible, report the mean score on those items which provide summary evaluations of the course and instructor.
3. Compiled student comments that attest to a teacher's abilities to arouse student interest and to stimulate work and achievement by students. Comments should be reported in chronological order for each course taught which has been evaluated during the last three years, unless a candidate is being considered for early promotion to associate professor, in which case information for two years is sufficient.
4. Letters of evaluation from former students.
5. Peer evaluations by faculty colleagues who are familiar with the candidate's teaching or have taught their students in subsequent courses.
6. Accomplishments of the teacher's present and former students; i.e., information showing the students' success in learning the subject matter of the discipline and in pursuing it to a point of intellectual significance.
7. Performance of the teacher's students on uniform examinations or in standardized courses.
8. Students coming from other schools, particularly outside the United States, especially to study with the teacher.
9. Successful direction of individual student work, e.g., independent studies, theses or dissertations, special student projects, and informal student seminars.
10. Effective and diligent advisement of students in pursuing their chosen academic programs.\*
11. Textbooks, published lecture notes, or articles that reflect candidate's teaching contributions and scholarship.
12. Adoptions of candidate's textbooks, especially repeated adoptions, by reputable institutions.
13. Honors or special recognitions for teaching accomplishments.

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\*"Each institution shall have a program for the advisement of its students. Academic advisement is a primary responsibility of faculty and should be integrally related to the education process. Effective advisement shall be credited toward retention, tenure, and promotion. It should be a specific topic of faculty evaluation." Item C-29 of the Policies of the Board of Regents.

14. Selection for special teaching activities outside of the University, especially outside the United States, international assignments, e.g., Fulbright awards, special lectureships, panel presentations, seminar participations, and international study and development projects.
15. Membership on special bodies concerned with teaching, e.g., accreditation teams and special commissions.
16. Receipt of competitive grants/contracts to fund innovative teaching activities or to fund stipends for students.
17. Membership on panels to judge proposals for teaching grants/contracts.
18. Selection for teaching in special honors courses and programs.
19. Selection for membership on the Graduate Faculty.
20. Special invitations to testify before governmental groups concerned with educational programs.
21. Supervision of students being trained in clinical activities in practica: on campus in the Veterinary Hospital, Psychology Clinic, Reading Clinic, Special Education Clinics, and similar training/service units; off campus at the clinical pharmacy sites, hospitals, schools, mental health centers, and similar sites.
22. Presentation of papers on teaching before learned societies.

#### Contributions to Research or Other Creative Activities

##### The Standard

Research is "a studious inquiry or examination, especially critical and exhaustive investigation or experimentation having as its aim revision of accepted conclusions, theories, or laws in the light of newly discovered facts, or the practical applications of such new or revised conclusions, theories or laws." Other creative activities include the results of innovative works in the fine arts, for example: the production of original paintings, sculptures, ceramics, musical compositions, novels, plays, poetry, and films; and the development of plans for projects in architecture and landscape design. Other creative activities also include fresh interpretations in the performing arts of music, drama, and the dance.

Inquiry and originality are central functions of the University. We ought to discover new ideas, to fashion new interpretations of enduring ideas, and to participate in the application of these ideas. Consequently, faculty are expected to conduct research or engage in other creative activities appropriate to their disciplines and to the missions of their units, and they are expected to disseminate the results of their work through media appropriate to their disciplines.

Faculty whose work assignments include research or other creative activities should clearly demonstrate excellence in these endeavors. It is important to emphasize the distinction between routine production and creative excellence as adjudged by the candidates' peers at the University of Georgia and elsewhere.

## Documentation

Evidence of excellence in research or other creative activities includes, but is not limited to, the sources listed below. This evidence encompasses evaluations of the candidates' performance of such activities by peers and other important judges. In joint endeavors, the degree of each person's contribution should be identified.

1. Books, reviews, monographs, bulletins, articles, and other scholarly works published by reputable journals, scholarly presses, and publishing houses that accept works only after rigorous review and approval by peers in the discipline.
2. Exhibitions of art works at important galleries, selection for these exhibitions being based on rigorous review and approval by juries of recognized artists or critics.
3. Performances in prestigious recitals or productions, selection for these performances being based on stringent auditions and approval by appropriate judges.
4. Scholarly reviews of publications, art works, and performances of the candidate.
5. Citations of research in scholarly publications.
6. Reprints or quotations of publications, reproductions of art works, and descriptions of interpretations in the performing arts, these materials appearing in reputable works in the discipline.
7. Competitive grants and contracts to finance the development of ideas, these grants and contracts being subject to rigorous peer review and approval.
8. Membership on editorial boards reviewing publications, panels judging grant/contract proposals, juries judging art works, or juries auditioning performing artists.
9. Appointments as consultants to state, national, and international public and private groups engaged in scholarly and artistic endeavors.
10. Prizes and awards for excellence of work done, e.g., the Edwin Winfield Parks Memorial Prize given by the Society for the study of Southern Literature.
11. Development of, and where appropriate obtaining patents for, processes or instruments useful in solving important problems, e.g., computer programs and systems for processing of data and plant and/or animal germ plasm.
12. Membership on important scientific expeditions or membership on teams making artistic recordings of important events or engaging in the delivery of technology through involvement in development projects - especially outside of the United States in international assignments.
13. Awards of special fellowships for research or artistic activities or selection for tours of duty at special institutes for advanced study.

14. Invitations to testify before governmental groups concerned with research or other creative activities.
15. Selection for membership on the Graduate Faculty.
16. Presentation of research papers before learned societies.

### Contributions to Service

#### The Standard

Public service is the application of knowledge through research, teaching, and technical assistance to the solution of problems confronting today's ever-changing and increasingly complex society. It is principally involved in the identification, development, and rendering of service to individuals, communities, organizations, and public agencies in support of their own purposes and functions. Public service activities are basically oriented to the life-related and public-policy needs of society. Problem-centered, rather than subject-centered, they rely heavily upon the integration of subject matter from many disciplines with experiences in the world of work and adult life.

Providers of service have continuing, direct contact with citizens and officials in their own environment, and are deeply involved with local, state, national, and international leaders as they perform educational needs assessment, program development, training, consultation, and technical assistance. They furnish leaders and groups with objective research results and other resource information for decision-making. They design and conduct feasibility studies, field-test basic knowledge, develop procedural and technical manuals, and provide group instruction on and off campus. All of this activity requires a high level of study, organization of information, and written and oral presentations exhibiting clarity and directness of expression. Much of it has only an indirect relation to research in the pure sense, and seldom lends itself to publication in traditional academic journals.

The University of Georgia is a large and diverse institution charged with the responsibility of developing and carrying out an educational program of outstanding quality. A crucial element of that responsibility is a public service program responsive to the larger society that sustains the University.

Faculty whose work assignments are in public service must be clearly excellent in delivering that service. Again, the distinction must be made between routine performance and excellence in devising creative ways to serve the public.

#### Documentation

Evidence of the effectiveness of public service contributions includes, but is not limited to, the sources listed below. This evidence encompasses evaluations of candidates' performance of such activities by participants, peers, supervisors, and other important judges. In joint endeavors, the degree each person contributes should be identified.



1. Program and Project Development within Public Service
  - a. Descriptive and demographic data about participants in programs and projects, including geographic distribution of clientele.
  - b. Quality of programs and projects developed as documented by client evaluation.
  - c. Duration of programs and projects developed.
  - d. Awards and other recognitions given for programs and projects developed.
  - e. Impact or outcomes of programs and projects as reported by statements of clients, evidence of successful changes and improvement, contributions to knowledge and understanding, including any significant writing in terms of program outlines, prospectuses, proposals, project reports, and the like.
2. Program and Project Coordination within Public Service
  - a. Description of clientele involved in programs and projects, together with any significant demographic data.
  - b. Description and appraisal of any significant original contributions made to the coordination process which would be of general applicability at the University or elsewhere.
  - c. Quality of coordination of programs and projects as measured by clientele evaluation, evaluation by colleagues involved in coordination efforts, and judgments of immediate supervisors.
  - d. Significant written materials developed by the coordinator for use in the programs, such as promotional pieces, orientation presentations, process guides, and the like.
3. Instruction within Public Service
  - a. Description of clientele instructed, including significant demographic data.
  - b. Quality of presentations as measured by client evaluation.
  - c. Peer evaluation by professional colleagues familiar with the candidate's instruction.
  - d. Participant assessment of instructional performance.
  - e. Evidence of use of knowledge by persons instructed in areas related to the content of instruction.
4. Instructional Materials Developed within Public Service
  - a. Description of the clientele to whom the instructional materials were directed.
  - b. Quality of the instructional materials as measured by clientele evaluation.

5. Consultation and Technical Assistance within Public Service

- a. Description of clientele served, including significant demographic data.
- b. Concise summary of problems or needs for which consultation service was rendered.
- c. Quality of consultation work as evaluated by the clientele and/or peer groups.
- d. Impact or outcomes of the consultation service, including written materials produced for use, tests and techniques developed, and/or solutions developed.

6. Applied Research within Public Service

- a. Description of the clientele to whom the applied research was disseminated.
- b. Usages, solutions, or other outcomes of the applied research.
- c. Quality and impact of the written documents produced.
- d. Peer evaluation.

7. Other Public Service Activities

- a. Development and application of effective ways to identify problems and assess needs in a service area.
- b. People coming from other parts of the United States and from abroad to study the service provider's work and innovations.
- c. Reviews in appropriate media of the service provider's work and innovations.
- d. Development of, and where appropriate obtaining patents for, instruments and processes useful in solving persistent problems in a service area.
- e. Honors or special recognitions for service contributions.
- f. Selection for special service activities outside of the University, especially outside the United States, in international assignments.
- g. Selection for membership on special bodies concerned with service, e.g., the National Advisory Committee of Federal Farm Income Tax or the Integrated Pest Management Task Force.
- h. Receipt of grants and contracts to finance development and delivery of service innovations, these grants and contracts being competitive and subject to rigorous peer review and approval.
- i. Selection for membership on panels judging grant/contract proposals for service innovations.
- j. Performance of clinical activities in the Veterinary Hospitals, Psychology Clinics, Reading Clinics, Clinical Pharmacy Sites, Special Education Clinics, and other clinical settings.

## Contributions to University Governance

## The Standard

University governance includes activities required to study University needs, to decide procedures for meeting those needs, and to implement those decisions.

The University of Georgia is a complex social organization. Its effectiveness and harmony require the conscientious participation of many people. Faculty members are responsible for contributing to the myriad processes that move the University forward in carrying out its mission.

Again, we must distinguish between routine performance and high-level contributions to collegial endeavors.

## Documentation

Evidence of contributions to University governance includes, but is not limited to, the sources listed below. This evidence encompasses evaluations of candidates' performance of such activities by co-workers in the groups, committee heads, and administrative supervisors.

1. Selection for membership, and leadership roles, in the University Council, the Graduate Council, and the senates or executive committees of the respective schools/colleges.
2. Selection for membership, and leadership roles, in departmental, divisional, school/college, and University ad hoc and standing committees.
3. Outstanding performance of administrative responsibilities at the division/department, school/college, or University-wide level.
4. Selection for special assignments such as representing the University at national and international meetings.
5. Books, articles, and speeches pertaining to governance in higher education, these works being published by reputable journals, scholarly presses, and publishing houses which accept works only after rigorous review and approval by peers.

### Other Professional Contributions

#### The Standard

Other professional contributions are activities within one's discipline. They include work within professional associations and learned societies and assistance to one's colleagues in the discipline.

In addition to being members of the local University community, faculty are members of national and international communities of scholars in their respective disciplines. These scholarly communities are important in fostering communication and collective action and, thus, they play an important role in advancing new knowledge in the disciplines and scholars' growth in the disciplines.

Faculty can make important contributions to their disciplines. Again, there is a distinction between innovation and leadership in professional activities and routine attention to organizations' activities.

#### Documentation

Evidence of contributions to one's discipline includes, but is not limited to, the sources listed below. This evidence encompasses evaluations of candidates' performance of such activities by other members of, and leaders in, the organizations.

1. Election to offices in professional associations and learned societies.
2. Service on important state, national, and international committees in professional organizations.
3. Presentation of papers and lectures at conventions and other professional meetings.
4. Editorial work for professional journals, e.g., writing book reviews for publication and service as editors and associate editors.
5. Service as consultants on problems appropriate to the discipline.

## Requirements for Ranks

Requirements for each rank are presented below for three dimensions: degree, years in rank,\* and levels for the criteria.

### Instructor

The instructorship is one entry-level position for the University. Requirements include the following.

Degree. Candidates usually do not have the terminal degrees\*\* appropriate for their disciplines.

Years in Rank. Candidates do not need a minimum number of years in a lower rank.

Levels for the Criteria. Candidates should show promise of moving toward excellence in the criteria appropriate to their work assignments.

### Assistant Professor

The assistant professorship is the primary entry-level position for the University. Several requirements follow.

Degree. Candidates must have the terminal degrees appropriate for their disciplines.

Years in Rank. Candidates do not need a minimum number of years in a lower rank.

Levels for the Criteria. Candidates should show promise of moving toward excellence in the criteria appropriate to their work assignments.

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\* Prior service as faculty at other colleges/universities or prior service in other appropriate professional activities may qualify for consideration in meeting the requirements for years in rank but is not automatically applicable.

\*\* Terminal degree refers to the highest degree awarded in a discipline. The doctorate is the terminal degree for almost all disciplines within the University except for a few areas such as the studio arts and the performing arts.

### Associate Professor

The associate professorship is the middle rank at the University. Once this rank is attained and a faculty member has served the probationary period, he or she is eligible to be considered for tenure.

Degree. Candidates must have the terminal degrees appropriate for their disciplines.

Years in Rank. Under usual circumstances, candidates must serve at least four years as assistant professor, including the year in which the promotion will be considered at the University level, before they are eligible for promotion to associate professor. Candidates may be recommended for early promotion (i.e., with less than four years in rank) if they are especially meritorious.

Levels of the Criteria. Candidates must show clear and convincing evidence of emerging stature as regional or national authorities unless their work assignments specifically have been otherwise. They will not have achieved the stature required of professors in the criteria appropriate to their work assignments, but they should have achieved sufficiently to offer convincing evidence that they do, indeed, possess the requisite potential. One critical sign of this potential is the demonstration by candidates of a sense of consistency and growth in their work and a likelihood of continuing excellence.

### Professor

The professorship is the top rank at the University covered by these Guidelines.

Degree. Candidates must have the terminal degrees appropriate for their disciplines.

Years in Rank. Under usual circumstances, candidates must serve at least five years as associate professor, including the year in which the promotion will be considered at the University level, before they are eligible for promotion to professor. Candidates may be recommended for early promotion (i.e., with less than five years in rank) if they are especially meritorious.

Levels of the Criteria. Candidates must show clear and convincing evidence of high levels of attainment in the criteria appropriate to their work assignments and the missions of their units. Unless the candidates' assignments are specifically regional, they should demonstrate national or international recognition in their fields and the likelihood of maintaining that stature.

## Procedures for Appointment

### The Division/Department

When a full-time position is to be filled, the division/department head, or dean in a school without departments, should appoint a search and screening committee. Members of the search and screening committee should perform their duties according to Affirmative Action Guidelines. In summary, they should:

- prepare a job description,
- prepare an advertisement,
- place the advertisement in national media appropriate for the discipline,
- screen applicants for the position,
- in consultation with the tenured faculty of the unit, identify a pool of applicants\* who are qualified for the position, and
- arrange interviews,\*\* if appropriate, for persons in the pool of qualified applicants.

The division/department head, or dean of schools without departments, should select one of the pool of candidates presented by the search and screening committee. The division/department head should forward to the dean a dossier containing the information outlined in Appendix A.

### The Dean and Vice Presidents

The dean should review the dossier and if he or she approves, forward it to the appropriate vice president. If the faculty member will have any fraction of contract time assigned to research or service, the dossier should go to the Vice President for Research or the Vice President for Services for approval before it goes to the Vice President for Academic Affairs. If the Vice President for Academic Affairs approved the appointment, the dossier should be forwarded to the President.

### The President

If the President approves the appointment, the candidate's dossier with a presidential recommendation should be forwarded to the Chancellor's office. No appointment is final until it is approved by the Board of Regents.

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- \* In addition, at the request of the dean, the screening committee should submit credentials of candidates for the professorship, and sometimes the associate professorship, to an ad hoc screening committee which will determine whether the candidates do indeed have the qualifications for that rank. The Vice President for Academic Affairs appoints this ad hoc screening committee. Further, if Graduate Faculty status for associate professors or professors is desired at the time of appointment, a written request should be made to the Vice President for Academic Affairs so that appropriate action will be taken.
  - \*\* Applicants for positions of department heads or higher and professors must be interviewed by the Vice President for Academic Affairs.

## Procedures for Promotion

The procedures for promotion extend over five activities: advising faculty on promotion, initiating the promotion process, making recommendations from the promotion units, performing reviews of the dossier and the promotion-unit decision, and considering appeals. Generally, activities should be scheduled in a way appropriate for faculty on academic year schedules, if indicated, and in a way that the process can be completed in time for the promotion recommendations to be forwarded to the President by March 1.

### Advisement About Promotion

When a new faculty member is employed, the head of the promotion unit\* should give him or her these written Guidelines and fully discuss them with the person. The head of the promotion unit should specifically advise the person that each candidate for promotion or tenure must: (1) show evidence of scholarship through publication or other creative works in his or her area of expertise and (2) attain a high level of performance in two of the three areas specified in the University's mission: instruction, research or other creative works, and public service.

In extremely rare cases, faculty who are assigned entirely to research and who are precluded from making significant contributions to instruction and are also precluded from making significant contributions to public service, such as those stationed at sites remote to Athens campus, should be judged for promotion and tenure on their contributions to research (pp. 8-10), and the candidate's performance should be clearly exceptional. Each case should be requested and documented by the department/division head, approved by the dean, and verified by the appropriate vice president(s).

Since the public service mission of the University includes the components of instruction and research, persons assigned entirely in public service should be evaluated for promotion and tenure on performance documented by the sources listed under public service (pp. 12-14).

The candidate may use as supportive evidence for promotion and tenure outstanding contributions to the candidate's profession or discipline and to University governance.

If the person's assigned workload does not allow time for satisfying these mandates, then the person and the head of the promotion unit should adjust the workload until the appropriate assignments are forthcoming.

Every instructor, assistant professor, and associate professor should have an annual review of his or her progress toward promotion. This should be done in conjunction with the annual review of all faculty members.

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\*Usually, a department or division is a promotion unit. The entire school is the promotion unit in schools without division or departments. However, each college or school may define its promotion unit or units.



## Initiation of the Promotion Process

The promotion process may be initiated by the head of the promotion unit or by appropriate faculty within the promotion unit.\*

After he or she has completed the required time in rank, a faculty member may request consideration for promotion and provide evidence to support that request. At such a request, the head of the promotion unit should convene the appropriate faculty within the promotion unit. This group should review the candidate's record and vote whether to recommend the candidate for promotion.

A candidate requesting consideration for promotion and who has been denied promotion to the given rank in a previous year must be reconsidered and voted upon in the new promotion cycle beginning with the promotion unit.

Documentation of the candidate's readiness for promotion should be organized into a dossier. Appendix C has the outline for this dossier. It is recommended that there be college-wide or university-wide workshops on preparing dossiers. Faculty attendance at these workshops should be voluntary.

The preparation of the dossier is a cooperative endeavor. The candidate should prepare the basic documentation. For this activity, he or she should have reasonable use of the promotion unit's resources such as secretarial service, use of the copying equipment, and any other service or material which would normally be provided by the promotion unit in preparing a dossier. The head of the promotion unit should edit the dossier to insure it is in appropriate form and write the cover letter required in Section 2 of the dossier. In addition, the head of the promotion unit should obtain and insert the letters of external evaluation required in Section 5 of the dossier. Appendix D has the suggested form for requesting letters of external evaluation.

Special Situations. It may happen that the head of the promotion unit is of a rank lower than full professor, or that the head may disagree with an affirmative vote of the appropriate faculty in a promotion unit. In such cases, the head of the unit shall delegate to another appropriate faculty member the responsibility for editing the dossier, writing the cover letter, and obtaining/inserting the letters of external evaluation.

If the promotion unit vote is negative and the candidate desires to appeal the decision, the promotion unit head in consultation with the candidate, shall designate an appropriate faculty member to edit the dossier, write the cover letter, and to obtain and insert the letters of external evaluation. The promotion unit head will be responsible for stating the unit's decision in the dossier.

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\*Here and subsequently, appropriate faculty within the promotion unit means faculty of higher rank than the candidate, i.e., associate professors and professors make decisions on an assistant professor's promotion to associate professor, and professors make decisions on an associate professor's promotion to professor.

Except for the confidential letters of external evaluation,\* the candidate should make a final review of the dossier to be certain that the documentation is accurate. He or she should have the opportunity to correct misinformation or add omitted relevant information. Any material subsequently added to the dossier must go through the same channels as did the dossier originally, i.e., the candidate,\* through the head of the promotion unit to the dean, and then to the appropriate review committee. If material is submitted after the dossier leaves the college or school, it should be sent to the Office of the Vice President for Academic Affairs, after being routed as indicated above. Normally, unless requested by a committee reviewing the dossier, nothing can be added to the dossier by the candidate or promotion unit after it is submitted to the Office of the Vice President for Academic Affairs, except for documentation that a scholarly or creative work has been accepted, published, or reviewed.

If the faculty member has a joint appointment in two academic departments, then either department may initiate consideration for promotion and prepare the dossier. The dossier should be made available to the faculties of the two departments concerned.

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\*Confidential letters collected for appointment, promotion, and tenure considerations are information separate and apart from faculty personnel files. The candidate may not see them.

### Recommendation by the Promotion Unit

The appropriate faculty within the promotion unit should decide whether the vote shall be secret or recorded.\* However, the total number of ayes, nays, and abstentions must be noted.

To forestall any possibility of the vote not being truly representative, at least two-thirds of those eligible to vote and in residence must be present whenever the candidate's qualifications are being considered and voted upon. It is the responsibility of the head of the promotion unit to insure that a quorum is present.

A simple majority of faculty voting is required to decide whether the candidate is recommended or not recommended for promotion. As soon as possible after the meeting, the head of the promotion unit should inform the candidate about the results of the voting.

In cases of joint appointments in two promotion units, the recommendation should go forward to the Vice President for Academic Affairs as the joint recommendation of the schools or colleges concerned. If there is disagreement at the promotion unit level or between the two schools or colleges concerned, then the dossier should go forward to the Vice President for Academic Affairs for transmittal to the university-level review committees. The university-level review committees in deliberations should take into account the weight that should be attached to the votes or decisions made within each school or college.

### Reviews

There should be three levels of review of the dossier and the promotion unit's decision. The purpose is to insure that the criteria, requirements, and procedures have been correctly observed.

Review committee members from the promotion unit of the candidate should abstain from voting at all higher levels of review. Similarly, members who have a personal or professional relationship with the candidate that would preclude an unbiased vote should abstain from voting.

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\*Recorded means that each person reveals his or her vote at the time of voting how he or she voted, i.e., aye, nay, or abstain.

School/College Review Committee. The first review is at the school/college level.\* The school/college committees will consider the people the promotion units recommend for promotion and appeals. A simple majority is necessary for the school/college committees to overturn the recommendations of the promotion units as well as appeals. A simple majority consists of a majority of the members present less any who are required to abstain.

Members of the school/college committees must be active in their disciplines and recognized at the level of the ranks on which they are making decisions. The committees should be formed as follows:

In the colleges and the schools that have departments/divisions, the deans should select the committee members. These members should elect the persons to chair their deliberations.

To ensure at least a two-stage review prior to being considered at the University level in schools that do not have departments,\*\* an appropriate faculty committee to review a candidate's qualification should be established. This committee shall be responsible for the kind of initial screening of candidates performed by departments in larger schools. The recommendation for or against promotion by this committee shall be reviewed then at the school level by the full faculty entitled to vote on promotion to the rank recommended for the candidate. A simple majority is sufficient for the school promotion committee to overturn the recommendation of the initial committee. Both votes should be reported in the candidate's dossier.

Each school/college review committee should transmit its recommendations to the dean. The dean will review the material and forward the positive recommendations to the Vice President for Academic Affairs with his or her positive or negative recommendations.

University Review Committees. The second and third reviews are at the university level. The university review committees are the Advisory Area Committees and the Advisory Review Committee. These two committees should consider positive school/college recommendations. A two-thirds majority is necessary for the University review committees to overturn the recommendations of the previous committee. A two-thirds majority consists of two-thirds of the members present less any who are required to abstain.

Advisory Area Committees. Promotion nominations are reviewed by an appropriate Advisory Area Committee of senior faculty members. Seven or more

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\*Normally, each school/college will have one review committee. The exception is the College of Arts and Sciences which may have more than one.

\*\*Environmental Design, Forest Resources, Law, Social Work.

committees, depending on the number of nominations received, are appointed to screen the following areas:

Fine and Applied Arts  
Humanities  
Life Sciences  
Health and Clinical  
Sciences

Physical Sciences  
Social and Behavioral  
Sciences  
Professional and Applied  
Studies

Each committee consists of seven senior faculty members appointed from the university's teaching, research, and service faculty. Members of the committee must be active in their disciplines and recognized at the level of the ranks on which they are making decisions. Deans are requested to furnish the Office of the Vice President for Academic Affairs with lists of highly competent individuals who are appropriate for serving on the Area Committees. The head of the promotion unit which originates the nomination in consultation with the candidate will decide, with the approval of his or her dean, which Advisory Area Committee he or she recommends to evaluate the candidate's dossier. (A department need not route all of its candidates through the same Area Committee.) Each Advisory Area Committee will elect its own chairperson. The members of each Advisory Area Committee should decide whether their votes should be secret. However, the total number of ayes, nays, and abstentions must be noted. Committees may obtain any additional information which they feel will be helpful in evaluating the nominations. This includes telephone calls or correspondence with external authorities. The committee may also set up ad hoc advisory committees to evaluate individual nominations.

It is not the primary purpose of the members of an Area Committee to serve as experts in all of the disciplines represented by candidates the committee is considering. Their major function is instead to assess the strength of the substantive evaluation of the candidate that has been made by his or her department, and by outside experts in his or her discipline, so as to determine whether this prior evaluation meets the standards embodied in the Guidelines. The Area Committee will also attempt to gauge the candidate's overall contribution, thereby complementing the substantive evaluation at the college and/or departmental level.

An individual member of an Advisory Area Committee is free at any time to reveal his or her membership on a committee. After promotion evaluations are completed the membership of University Advisory Area Committees will be published.

Advisory Review Committee. The Advisory Review Committee consists of the elected chairpersons of the Advisory Area Committees, the Dean of the Graduate School, the Vice President for Academic Affairs, the Vice President for Research, and the Vice President for Services. The Vice President for Academic Affairs should chair this committee. This committee reviews positive and negative recommendations of the Area Committees with the aim of achieving uniformity of quality standards among the discipline areas represented.

The Advisory Review Committee transmits its recommendations to the Vice President for Academic Affairs. The Vice President for Academic Affairs forwards his or her recommendation to the President.

The members of the Advisory Review Committee should decide whether their votes should be secret. However, the total number of ayes, nays, and abstentions must be noted.

If a school/college review committee overturns the recommendation of a promotion unit, members should provide a written statement of reasons. Similarly, the University Review Committees should supply written bases for overturning a recommendation of a school/college committee. This information should be transmitted through appropriate channels to the candidate.

### Appeals

At any level of the promotion process beginning with the promotion unit's vote, when a decision is made against a candidate's promotion, the candidate is to be given a record of the total vote and a written statement of the reasons for the negative decision. The statement of deficiencies should be reasonably specific.

A candidate receiving a negative vote should request the group rendering that decision to reconsider before taking an appeal to the next higher group. Sufficient bases for such a request for reconsideration are:

- omissions in the evidence presented to the decision-makers; or
- inaccuracies in the evidence presented to the decision-makers; or
- procedural irregularities, including inadequacies, as evidenced by the record concerning advisement and periodic review; or
- a failure to apply to the particular case the standards of the department, school, college, or University of the application of different standards in the particular case than those about which the candidate was advised.

When a group is asked to reconsider its own decision, any vote or action taken after reconsideration will substitute for the vote originally taken by the group. If such a vote or action results in a negative decision, then the decision may be appealed if sufficient bases exist. Such an appeal may be taken through successive levels of the promotion (and tenure) process. In any case, both negative and positive decisions of the Advisory Area Committees will be reviewed by the Advisory Review Committee.

For the purpose of appeals, the Advisory Review Committee shall constitute the highest level. The Advisory Review Committee may be requested to reconsider its own negative decision. A request for reconsideration should be delivered in writing to the Office of the Vice President for Academic Affairs within seven working days after the dean has been notified of the candidate's disapproval. Appeals from final negative decisions of the Advisory Review Committee lie directly with the Vice President for Academic Affairs.

Appeals within the promotion (and tenure) process shall be taken without prejudice to any right the candidate may have under the Board of Regents' by-laws or the candidate's right to bring a complaint in the University's Consolidated Grievance Procedure, except that no such grievance may be brought until the candidate has exhausted the appeals procedure within the promotion (and tenure) process. Once the appeals process has been exhausted, then, if grounds exist, the candidate may bring a grievance in the University Consolidated Grievance Procedure according to the rules set out therein.

A candidate who brings an appeal shall state the grounds and supporting evidence for the appeal in writing and may appear personally before the group hearing the appeal.

The group hearing the appeal at a subsequent level shall review the record on which the negative decision was based, the statement of deficiencies, and the candidate's statement of reasons for the appeal. It shall be the duty of the group hearing the appeal to determine if there were any material omissions or inaccuracies in the evidence considered, or any material procedural irregularities, or any failure to apply the appropriate standards to the particular case. The group hearing the appeal is to consider the record carefully but, with respect to substance, it is to refrain from substituting its judgment for that of the group whose decision is under review.\* A two-thirds majority of an Advisory Area Committee or the Advisory Review Committee hearing an appeal is required to overturn a negative decision by a lower group. A two-thirds majority consists of two-thirds of the members present less any who are required to abstain. The members of the group hearing appeals should decide whether the votes shall be secret or recorded. However, total number of ayes, nays, and abstentions must be noted.

If the reviewing group finds that there exist material omissions or inaccuracies in the evidence, or material procedural irregularities, or a failure to apply the requisite standards in the particular case, then the reviewing group shall report its findings to the candidate, the group that made the negative decision, and the Vice President for Academic Affairs, along with such recommendations as seem appropriate to the reviewing committee. Such recommendations may include the recommendation that the case be further reconsidered by the group that made the negative decision, or that the Vice President take some other form of action.

If the reviewing group decides to affirm the negative decision, it shall so state, and it shall report the vote tally to the candidate, the group that made the negative decision, and the Vice President for Academic Affairs. If a candidate appeals an appellate decision to the Vice President for Academic Affairs, written notice of such an appeal is to be filed with the Vice President for Academic Affairs. This notice shall contain a concise statement of the grounds for appeal. The Vice President shall proceed with the appeal in such a manner as is deemed appropriate.

In the appellate process, appeals must be taken and decisions rendered in a timely fashion in order to prevent postponing a promotion decision to the next year.

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\*This distinction between procedural issues and substantive issues is an important one. It means that groups hearing appeals may only judge whether omissions, inaccuracies, procedural irregularities, or variations in standards were present. They may not judge whether the candidate meets the criteria for promotion (tenure) and the requirements for the ranks.

Procedures for Changing the Status of  
Instructors and Temporary Assistant  
Professors

Promotion of Instructors Who Have Received the  
Terminal Degree

Promotion recommendations for instructors who have received the doctorate should not be forwarded through the promotion process. Promotion from instructor to assistant professor is subject to the same requirements that govern new appointments at the assistant professor level. The minimum requirement is the terminal degree appropriate for the candidate's academic discipline. When an instructor has received the terminal degree, the dean's recommendation for promotion, accompanied by the "Recommendation for Promotion - Summary Information" (Appendix E) should be forwarded to the Vice President for Academic Affairs within the normal time frame for consideration at the April meeting of the Board of Regents. After the customary administrative review and approval within the University, the recommendation should be forwarded to the Board of Regents for consideration.

Change of Status of Temporary Assistant Professors

A person who is very close to completing the requirements for the terminal degree may be employed as a temporary assistant professor provided that all Affirmative Action Guidelines are followed. When the person receives the terminal degree, the temporary assistant professor rank may be changed to the assistant professor rank by administrative action. That is, the division/department head transmits the appropriate documentation to the following for their respective actions: the dean, the Vice President for Research, or the Vice President for Services if any fraction of time is assigned to research or service, the Vice President for Academic Affairs, the President, and the Board of Regents.



## Part 2

### Tenure

#### Definition

Academic tenure is a status that is granted to college and University faculty members after a probationary period in the profession. It protects them from dismissal except for cause as determined by formal hearings. Unlike promotion, which is a reward for achievements, tenure is a status that serves the best interests not only of the individual but of the University itself in its role as an instrument of a democratic society. In our society we regard truth and the search for truth to be of paramount importance; and society, through enlightened self-interest, provides the academy as a place for discovering and publishing the truth as scholars see it.

Freedom to seek the truth has attracted to universities our finest minds. If faculty should choose to work in a different contest, accepting the trammels of the marketplace, they well could achieve higher material benefits. Instead, they have preferred the freedom to think, to study and investigate, and to publish the results of their study and investigation.

Tenure in universities provides the distance from certain forces and pressures that scholars require for discovering and publishing the truth. In his Nobel Laureate address, Czeslaw Milosz noted the importance of the opposition of reality and illusion, of truth and falsehood. He pointed out that "to embrace reality in such a manner that it is preserved in all its old tangle of good and evil, of despair and hope, is possible only thanks to distance, only by soaring above it...."

Tenure in the academy serves as a distancing factor which provides separation and perspective. It does not guarantee that scholars will see truth, but it establishes the status from which truth can be seen. In a world in which it is very hard to maintain distance, tenure is a necessary but not sufficient condition. It is one of the means - an essential means - by which the University seeks to fulfill the mission assigned to it in and by a democratic society. It serves society's aspiration that scholars should have freedom to say and write what they think.

## Criteria

It follows that the criteria for tenure will differ from those that are used in deciding on appointment and promotion, although many of the same materials may be used. The basic qualifications should have been established at the time of the person's appointment and promotion. The nature of these qualifications is addressed in the University's statements on appointment and promotion. Furthermore, two fundamental considerations must be addressed: (1) the University's continuing and long-range need for what the candidate for tenure may be expected to do; and (2) the difficulty or impossibility of finding a replacement who is better qualified.

It is then the responsibility of those who judge candidates for tenure to determine whether they are likely to continue to be active and productive scholars and teachers over the extended period of time that tenure supposes. Candidates must have a record of exemplary performance in the discharge of their obligations in teaching, research or other creative activities, and service, as well as in their participation in professional activities and University governance. The committees that decide on tenure will require the evidence from the past in order to determine what the future may hold. With that perspective, they will consciously weigh the quality of past achievement in order to judge what future performance will likely be.

## Regulations

Tenure resides at the institutional level. Institutional responsibility for employment of a tenured person is to the extent of continued employment on a 100% workload basis for three out of four consecutive academic quarters until retirement, dismissal for cause, or release because of financial exigency.

## Employment Status

At the University of Georgia, only associate professors and professors are eligible for tenure. The award of tenure is limited to these two academic ranks only and shall not be construed to include honorific appointments. In addition, at the University of Georgia, instructors and assistant professors are not eligible for tenure.\* This should not be interpreted to mean a change in tenure status for assistant professors who were tenured before the effective date of these guidelines.

Only associate professors and professors who are normally employed full-time by the University are eligible for tenure. "Full-time" denotes service on a 100% workload basis for at least three out of four consecutive academic quarters. Faculty with temporary or visiting appointments are not eligible for tenure and are bound by the time limits specified below. Persons with adjunct appointments are not eligible for tenure, nor are they bound by the time limits specified below.

## Time Limits

Seven years shall be the maximum time that may be served as lecturer, instructor, or assistant professor. Seven years shall be the maximum time that may be served as associate professor or professor without the award of tenure, provided however, that a terminal contract for an eighth year may be proffered if the Board of Regents does not approve an institutional recommendation for tenure. The maximum time that may be served in any combination of full-time instructional appointments (lecturer, instructor, or professorial ranks) without the award of tenure shall be ten years, provided, however, that a terminal contract for an eleventh year may be proffered if an institutional recommendation for tenure is not approved by the Board of Regents.

Non-tenured faculty are employed on a year-to-year basis. They may be terminated with timely notice by the appropriate procedures.

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\*Will require Board of Regents approval.

Probationary Period

The candidate must complete a probationary period of at least five years of full-time service at the rank of assistant professor or higher. The five-year period must be continuous except that a maximum of two years interruption because of a leave of absence or part-time service may be permitted; provided, however, that no probationary credit for the period of an interruption shall be allowed.

A maximum of three years' credit toward the minimum probationary period may be allowed for service at other institutions or for service at the rank of instructor or lecturer at the University of Georgia. Such credit for prior service should be defined in writing by the President and approved by the Chancellor at the time of the initial appointment at the rank of assistant professor or higher.

Tenure, or probationary credit towards tenure, is lost upon resignation from an institution, or written resignation from a tenured position in order to take a non-tenured position, or written resignation from a position for which probationary credit toward tenure is given in order to take a position for which no probationary credit toward tenure is given. In the event such a person is again employed in a position eligible for tenure, probationary credit for the prior service may be awarded in the same manner as for service at another institution.

## Procedures for Awarding Tenure

The procedures\* for awarding tenure extend over four activities: initiating the tenure process, making recommendations from the academic units, performing reviews of documentation and the academic units' decisions, and considering appeals. Generally, activities should be scheduled in a way appropriate for faculty on academic year schedules, if indicated, and in a way that the process can be completed in time for the tenure recommendations to be forwarded to the President by April 1.

### Initiation of the Tenure Process

The tenure process must be initiated by the head of the person's academic unit or by tenured faculty of the academic unit at the appropriate rank, i.e.,

- tenured associate professors and professors for awarding tenure to associate professors, and
- tenured professors for awarding tenure to professors.

A faculty member who has served the probationary period may request consideration for tenure and provide evidence to support that request. At such a request, the head of the academic unit shall convene the tenured faculty who would make the decision concerning tenure. This group shall decide whether to agree to the request and consider the person for tenure.

Documentation of a person's readiness for tenure includes the person's vita, a cover letter from the head of the academic unit, and a Recommendation for Tenure - Summary Information Sheet. Appendix F has an outline for the cover letter; Appendix G, for the Tenure Summary Sheet.

The preparation of documentation is a cooperative endeavor. The candidate should prepare the vita. The head of the academic unit should prepare the cover letter and the Tenure Summary Sheet. The dean(s) will review the material and forward the positive recommendations to the Vice President for Academic Affairs with his or her positive or negative recommendation. The dean(s) must also document: (1) the University's continuing and long-range need for what the candidate for tenure may be expected to do; and (2) the difficulty or impossibility of finding a replacement who is better qualified.

The candidate should make a final review of the documentation to be sure it is accurate. He or she should have the opportunity to correct misinformation or add omitted relevant information.

If a faculty member has a joint appointment in two academic units, then either unit may initiate consideration for tenure and prepare the documentation. The documentation should be made available to the appropriate tenured faculties of the two academic units concerned.

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\*These procedures do not cover Regents-approved academic administrators who do not have academic tenure when they are appointed as administrators. These faculty are covered by the Special Policy presented subsequently.

### Recommendation by the Academic Unit

Recommendation for promotion and recommendation for tenure are separate processes and require separate votes. However, the same procedures are used for each activity. These procedures are specified on page 20 of these Guidelines.

### Reviews

The same committees at the college or school and University levels which review promotion decisions will also review recommendations for tenure. The purpose is to insure that the tenure criteria, regulations, and procedures have been correctly observed.

Each review committee shall consider tenure recommendations after it has considered promotion recommendations. Separate votes on each are required.

Members of the review committees must be active in their disciplines and recognized at the level of the ranks on which they are making decisions.

### Appeals

The procedures for appeal of tenure decisions shall be the same as the procedures for appeal of promotion decisions. See pages 23-24 of these Guidelines.

## Special Policy: Academic Tenure for

### Academic Administrators

This special policy provides for academic tenure for faculty who serve as academic administrators. It does not provide for their tenure as administrators. It applies only to (1) academic administrators who carry Regents' appointments as administrators and (2) who are administrators when their probationary periods end.

Academic administrators have faculty ranks and departmental affiliations. These persons must be academically competent so that they can attack problems with first-hand knowledge and so that they can merit the professional respect of their academic colleagues.

In some cases, academic administrators are chosen from the tenured faculty within the University. Although they do not have tenure as administrators, they do retain their academic tenure as faculty.

Other times, academic administrators are chosen from candidates outside the University. These newcomers, of course, do not have academic tenure as faculty.

- They must serve the probationary period.
- They must be nominated by the tenured faculty of the home departments at the appropriate rank on the basis of their academic value - their qualifications and their records of exemplary performance.

However, these newcomers to the University serving as administrators may face special hazards.

- They may incur enmities as a result of their administrative actions - especially when they have been particularly employed to remedy problem situations.
- They may not be able to maintain a high record of exemplary performance because their administrative duties take their attention, time, and energy from scholarly pursuits.

For these reasons, tenured faculty at the appropriate rank in the home division/department should vote on an administrator's eligibility for academic tenure at the time the person is being considered for employment. Only a person receiving this academic tenure nomination should be hired. Subsequently, the Tenure Review Committees should consider this academic tenure nomination after the person has served the probationary period required by the Regents' Policies on Academic Tenure.

Appendix A

Outline: The Dossier For Appointment

Use the dossier to document the candidate's qualifications for appointment as clearly as possible. Present sufficient evidence but do not pad the dossier.

The contents of the dossier and the way to organize them are described below.

Section 1: Cover Letter

In the cover letter, summarize the evidence supporting the candidate's appointment.

A. Background

Give the purpose of the appointment in relation to departmental and University needs. List the duties the candidate is expected to fulfill.

Give the vote of the faculty participating in the recommendation. List the total number of ayes, nays, and abstentions in the vote of the participating faculty.

B. Generalizations About the Candidate's Achievements

Make generalizations about the candidate's potential or accomplishments in (a) instruction, (b) research or other creative activities, (c) public service, (d) University governance, and (e) other professional activities. Anchor these generalizations with cross-references to the pages of the dossier where the evidence is presented.

C. Assessment of the Candidate's Stature

Make generalizations about the candidate's regional, national, or international stature among those of his or her specialty and time within the discipline. Again, anchor these generalizations with cross-references to pages in the dossier where the evidence is presented.

D. Search Procedures

Describe the method and the extent of the search made for the candidate.

Section 2: Vita

Summarize the candidate's professional activities and attainments in conventional vita form.



### Section 3: Achievements

Document the candidate's achievements in relation to the criteria on pages 5-16 of these Guidelines. Supply reprints of the candidate's publications during the last five years.

### Section 4: External Evaluations

Obtain four letters from authorities who can provide a critical, detailed evaluation of the candidate's work. As a rule, do not solicit letters from the candidate's former major professor, close associates, or friends. Obtain letters from disinterested individuals who know the candidate professionally and preferably through his or her publications, presentations, or artistic creations and performances. Request a critical evaluation of the candidate; do not solicit supporting letters. Make all letters received a part of the candidate's appointment file. Use the suggested letter presented in Appendix B. If necessary, substitute a verbatim transcript of a telephone conversation in lieu of a letter.

### Section 5: Appointment Materials

These include: University System of Georgia Recommendation for New Appointment, personnel report, budget amendment, degree certification, patent agreement, Summary of Affirmative Action Record, and Applicant Clearinghouse Position Vacancy Announcement. Submit other employment papers such as security questionnaire, insurance, withholding statements, etc., directly to Personnel Services Division.

Appendix B

Suggested Letter of Request for Evaluation  
for Appointment

Dear \_\_\_\_\_:

The University of Georgia is considering the appointment of \_\_\_\_\_ to the rank of \_\_\_\_\_. On such appointments we seek expert advice from outside our faculty as well as within it. You have been recommended to us as particularly able to evaluate \_\_\_\_\_'s qualifications for this position. We would appreciate your candid opinion of (his, her) qualifications and any other information you can provide that will help in making a wise decision. We are especially interested in the following:

1. \_\_\_\_\_'s professional competency.
2. The quality and significance of (his, her) professional publications (artistic productions/performances).
3. (His, Her) national reputation and relative standing in (his, her) field.
4. If your own institution had a position available in the candidate's area of competence, would (he, she) be given favorable consideration for such a position? Would your response to (him, her) be negative, lukewarm, generally favorable, or enthusiastic?
5. (His, Her) teaching ability, if known.
6. (His, Her) general desirability as a faculty member.
7. (His, Her) ability to work with people.

Your reply will be kept in confidence. If you believe that another person can better comply with this request, we would welcome your suggestions about whom we should contact.

Thank you for your assistance in this matter.

Sincerely,

## Appendix C

### Outline: The Dossier for Promotion

Use the dossier to document the candidate's qualifications for promotion as clearly as possible. Present sufficient evidence but do not pad the dossier. Put only summaries in the dossier. Put raw data in clearly marked exhibits in a set of exhibits to accompany the dossier.

The contents of the dossier and the way to organize them are described below.

#### Section 1: Regents Summary Sheet

Supply the Recommendation for Promotion-Summary Information form. Follow the outline presented in Appendix E.

#### Section 2: Cover Letter

In the cover letter, summarize the evidence supporting the candidate's promotion. The cover letter shall be the principal letter of evaluation from the promoting unit's faculty.

##### A. Background

List the candidate's work assignments since appointment or promotion to the presently held rank giving the proportions of time allocated for instruction, research or other creative activities, public service, and administration.

Give the vote of the faculty participating in the recommendation. List the total number of ayes, nays, and abstentions in the vote of the participating faculty.

##### B. Generalizations About the Candidate's Achievements

Make generalizations about the candidate's professional accomplishments in: (a) instruction, (b) research or other creative activities, (c) public service, (d) University governance, and (e) other professional activities. Anchor these generalizations with cross-references to the pages of the dossier and the exhibits in the set of exhibits where the evidence is presented.

##### C. Assessment of the Candidate's Stature

Make generalizations about the candidate's regional, national, or international stature among those of his or her specialty and time within the discipline. Again, anchor these generalizations with cross-references to the pages in the dossier and the exhibits in the set of exhibits where the evidence is presented.

Section 3: Vita

Summarize the candidate's professional activities and attainments in conventional vita form.

Section 4: Achievements

Document the candidate's achievements in relation to the criteria on pages 4-15 of these Guidelines. In this process, summarize raw data such as ratings, letters, publications, reviews, and so on. Again, put the raw data in clearly marked exhibits in a set of exhibits. Clearly cross-reference each exhibit to the pages of the dossier it supports.

A. Achievements in Instruction

Describe the candidate's work assignments for instruction since appointment or promotion to the presently held rank including the percent time allocations, the courses taught and their enrollments, and the amount of assistance given to the candidate. Then, document the candidate's achievements by presenting evidence for pertinent sources of evidence as listed on pages 5-7 of these Guidelines and other appropriate sources of evidence.

B. Achievements in Research and Other Creative Activities

Describe the candidate's work assignments for research or other creative activities since appointment or promotion to the presently-held rank including the percent time allocations and the amount of assistance given to him or her. Then, document the candidate's achievements by presenting pertinent sources of evidence as listed on pages 7-9 of these Guidelines and other appropriate sources of evidence. Identify with an asterisk to the left of the entry those media, exhibitions, and performances which are of national or international standing.

C. Achievements in Public Service

Describe the candidate's work assignments for public service since appointment or promotion to the presently-held rank including the percent time allocations and the amount of assistance given to him or her. Then, document the candidate's achievements by presenting pertinent sources of evidence as listed on pages 9-13 of these Guidelines and other appropriate sources of evidence.

D. Achievements in University Governance

Document the candidate's achievements by presenting pertinent sources of evidence as listed on page 12 of these Guidelines and other appropriate sources of evidence. If the candidate has part of his or her work load assigned to administration, specify the time allotments since appointment or promotion to the presently held rank and describe assistance furnished to him or her.

E. Other Professional Achievements

Document the candidate's achievements by presenting pertinent sources of evidence as listed on page 13 of these Guidelines and other appropriate sources of evidence.

Section 5: External Evaluations

Obtain four letters from authorities outside the University who can provide a critical, detailed evaluation of the candidate's work. Briefly state the qualifications for each person evaluating the candidate. Select external assessors very carefully and provide them with full documentation such as a vita and reprints. Obtain letters from disinterested individuals who know the candidate professionally and preferably through his or her publications, presentations, or artistic creations, or performances, and who are able to judge the candidate's national reputation and relative status in the field. Do not solicit letters from the candidate's former major professor, former students, close associates, or friends. Request a critical evaluation of the candidate; do not solicit supporting letters. Make all letters received a part of the candidate's promotion file. Use the suggested form of letter presented in Appendix D. If necessary, substitute a verbatim transcript of a telephone conversation in lieu of a letter.

Give the names and addresses, and a brief statement of the qualifications, of three outside specialists in the candidate's field who know the candidate's work and who can be contacted if necessary. These specialists are in addition to those from whom letters of evaluation are requested. Contacting any of the outside specialists shall be at the option of the committees evaluating the candidate.

Appendix D

Suggested Letter of Request for Evaluation  
for Promotion

Dear \_\_\_\_\_:

The University of Georgia is considering the promotion of \_\_\_\_\_ to the rank of \_\_\_\_\_. On such promotions we seek expert advice from outside our faculty as well as within it. You have been recommended to us as particularly able to evaluate \_\_\_\_\_'s qualifications for this rank. We would appreciate your candid opinion of (his, her) qualifications, and any other information you can provide that will help in making a wise decision. We are especially interested in the following:

1. Indicate briefly how long and in what capacity have you known the candidate.
2. \_\_\_\_\_'s professional competency.
3. The quality and significance of (his, her) professional publications (artistic productions/performances).
4. (His, Her) national reputation and relative standing in (his, her) field.
5. If your own institution had a position available in the candidate's area of competence, would (he, she) be given favorable consideration for such a position? Would your response to (him, her) be negative, lukewarm, generally favorable, or enthusiastic?

Your reply will be kept in confidence. If you believe that another person can better comply with this request, we would welcome your suggestions about whom we should contact.

Thank you for your assistance in this matter.

Sincerely,

Appendix E

Recommendation for Promotion-Summary  
Information

Name \_\_\_\_\_ Social Security # \_\_\_\_\_

Highest degree earned \_\_\_\_\_ Age \_\_\_\_\_

Present rank and title \_\_\_\_\_

Number of years in present rank at the University of Georgia (including current academic year) \_\_\_\_\_

Number of years at the University of Georgia (including current academic year) \_\_\_\_\_

Total number of years of teaching experience \_\_\_\_\_

Rank and title recommended \_\_\_\_\_

Number of years of probationary credit toward tenure (for promotions to Assistant Professor only) recommended for prior service at the rank of Instructor \_\_\_\_\_

Type of tenure track: (circle one) 1. Tenured 2. Nontenured-on tenure track  
3. Nontenured-not on tenured track 4. Nontenured-nontenured position

Documentation (Summary)

1. Achievements in instruction
2. Achievements in research or other creative activities
3. Achievements in public service
4. Achievements in University governance
5. Other professional achievements

Summary of the action of the Promotion Review Committees

	Vote		
	Yes	No	Abstain
School/College Review	_____	_____	_____
University Review Committee	_____	_____	_____

Institution University of Georgia

Date \_\_\_\_\_ President \_\_\_\_\_

Outline: The Cover Letter for Tenure

Use the letter to document the candidate's readiness for tenure. Include the information specified below. Append the candidate's vita.

A. Background

List the candidate's work assignments since appointment or since promotion to associate professor giving the proportions of time allocated for instruction, research or other creative activities, public service, and administration.

Give the vote of the faculty participating in the recommendation. List the total number of ayes, nays, and abstentions, in the vote of the participating faculty.

B. Probation

Specify the number of years of full-time service the candidate has completed. Specify how much, if any, credit toward the minimum probationary period the candidate has been granted for service elsewhere or for service at the rank of instructor at the University of Georgia.

C. Qualifications and Record of Exemplary Performance

Make generalizations about the candidate's qualifications for the academic rank he or she is to be tenured in and the specific duties he or she is assigned to do.

Make generalizations about the exemplary nature of the candidate's record in: (a) instruction, (b) research or other creative activities, (c) public service, (d) University governance, and (e) other professional activities.

D. Need for Services and Replacement Difficulty

Demonstrate a long-range and continuing need for the candidate's service in conjunction with the difficulty or impossibility of replacing him or her. Show how the duties assigned to the candidate are essential to the unit's fulfilling its mission at present and in the future. Present evidence that the candidate is either the only person qualified to discharge those duties or equally well qualified among persons available.



Appendix G

Recommendation for Tenure-Summary  
Information

Name \_\_\_\_\_ Social Security # \_\_\_\_\_

Highest degree \_\_\_\_\_ Age \_\_\_\_\_

Present rank and title \_\_\_\_\_

Recommended for promotion this academic year: Yes \_\_\_\_\_ No \_\_\_\_\_

Total number of years at the University of Georgia \_\_\_\_\_

Years of probationary credit granted \_\_\_\_\_

Documentation (Summary)

1. Qualifications and record of exemplary performance in (a) instruction, (b) research or other creative activities, (c) public service, (d) University governance, and (e) other professional activities.
2. Need for services and replacement difficulty.

Summary of action of the Tenure Review Committees

	Vote		
	Yes	No	Abstain
School/College Review Committee	_____	_____	_____
University Review Committee	_____	_____	_____
Institution	_____ University of Georgia _____		

Date \_\_\_\_\_ President \_\_\_\_\_