PROMOTION & TENURE DOSSIER WORKSHOP
OFFICE OF FACULTY AFFAIRS
TRAINING & DEVELOPMENT
February 29th & March 4th 2016
Promotion and/or Tenure Electronic Dossier Checklist
(The following is an expanded, annotated view of the dossier checklist found in Appendix G of the Guidelines for Appointment, Promotion and Tenure. When preparing a dossier, Appendix C in the Guidelines is also a very useful reference as it presents a descriptive outline of the dossier contents.)

Name ___________________________ Current Rank ___________________________

Department _________________________ School/College _________________________

Recommendation For: (check one)  ☐ Promotion & Tenure  ☐ Promotion Only  ☐ Tenure Only

Promotion to: (check one)  ☐ Assistant Professor  ☐ Associate Professor  ☐ Professor
☐ Clinical Associate Professor  ☐ Clinical Professor

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

AREA COMMITTEE: (check one)  ☐ Fine/Applied Arts  ☐ Health/Clinical Sciences  ☐ Humanities  ☐ Life Sciences
☐ Physical Sciences  ☐ Social/Behavioral Sciences  ☐ Professional/Applied Studies

Items in Dossier (ensure all items are included in the electronic dossier (pdf format) at each level of review)

(1) Letter of Transmittal (include area committee assignment)

- Short Letter
- Presents Dossier for Institutional Review
- List Candidate’s Name, Home Department(s), P&T Category, and Area Committee Assignment
- See Sample Transmittal Letter

(2) Table of Contents

- See Sample TOC
3) Section I: **UGA Recommendation for Promotion Form** (with all signatures & votes)

**UGA Recommendation for Tenure Form** (with all signatures & votes)

- Use [Quick Reference](#) to calculate years in rank, years at UGA
- Use faculty rank titles; do not use administrative titles
- Use total years employed at UGA (any position; not just faculty) without a break in service.
- Use total years teaching university/college-level courses for academic credit (not just UGA)
- Recommend: Be sure to circle **Yes** or **No**
- Options for form(s) if Joint Appointment
- Originals of both forms sent in hard-copy to your Dean's Office, then Office of Faculty Affairs

(4) Section II: **PTU Head Cover Letter(s)** (Separate letters for tenure & promotion, and separate deliberation document if negative PTU vote)

- **Guidelines**, see pp. 27, 29, 30, Appendix C-Section 2, & Appendix E-F
- Prep after PTU's evaluation (p.27); a synthesis of faculty judgement (p. 30)
- Candidate must be informed of results of the vote, including tally, within 3 working days of meeting (can be email) (p.29)
- Include summary of procedural steps followed by the PTU in reaching its vote, including relevant dates where appropriate; state that a quorum was present
- Any identification of external evaluators must be deleted before the letter is reviewed by the candidate (p. 30)
- Any factual errors in the dossier must be corrected via cover letter or candidate's response as dossier moves forward to next level of review (p. 30)
- If negative PTU vote, PTU Head, regardless of his/her vote, will summarize the deliberation for the PTU's negative vote as a separate document in the dossier (p. 30)

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**Dean's Cover Letter(s)** (Separate cover ltrs for tenure & promotion)

- **Guidelines** pp. 33-34, Appendix C-Section 2, & Appendix E-F
- Prepared after the school/college review committee votes and prepares written rationale.
## School/College Review Committee Written Rationale and Vote

- **Guidelines** pp. 32-33
- When reporting the vote, state that a quorum was present

### Candidate’s Letter(s) of Response (if included)

- Can correct any factual error in the dossier as it moves forward
- PTU Head’s Cover Letter – 5 working days to respond (p. 30)
- School/College Review Vote & Rationale – 7 working days to respond (p. 33)
- Dean’s Cover Letter – 5 working days to respond (p. 33)

### Supplemental documents... **Guidelines**, p. 30

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

### (5) Section III: Unit Criteria

- **Guidelines** p. 9
- Make sure unit criteria in the dossier are the same ones posted on Provost’s website.
- Any changes to the criteria must be accepted by Faculty, Dean & Provost

### (6) Section IV: Vita & Candidate’s Statement of “Major Accomplishments”

- Sections IV and V together should not exceed 25 pages. (p. 46)
- **Vita; Guidelines** p. 47

A summary of the candidate’s professional activities and achievements. Identify with an asterisk to the left of entries those media, exhibitions and performances that are of national or international standing.

- **Vita; Administrative Guidelines, Item I. (copied below with minor modifications)**

In an effort to produce a more uniform reporting procedure, particularly as it affects publications, the following curriculum vitae format is recommended by some units:

1. **Academic history**
   - Name
   - Present rank, recommended rank, proportion time assignments
   - Tenure status
   - Administrative title (if any)
   - Graduate Faculty status
   - Highest degree, the institution, the date
- List of academic positions in chronological order with titles and inclusive dates
- Other professional employment (current and previous), dates
- Post-graduate awards (fellowships, lecturerships, etc.)

2. Resident instruction and continuing education summary of facts (e.g., courses of instruction, enrollments, academic advising, etc.)

3. Scholarly activities
   a. Publications (include all categories listed below; if there are no entries for a particular category, state "none"; indicate number of pages for books or chapters)
      - Books authored or co-authored (in print or accepted) distinguish original editions and revisions
      - Books edited and co-edited (in print or accepted) distinguish original editions and revisions
      - Chapters in books (in print or accepted)
      - Monographs (longer than articles, in print or accepted)
      - Journal articles (in print or accepted)
      - Bulletins or reports (in print or accepted)
      - Abstracts (in print or accepted)
      - Book reviews (in print or accepted)
      - Works submitted but not yet accepted
      - Any other (e.g., popular articles)
      
      Note: mark with an asterisk those publications which have gone through stringent editorial review; mark with a double asterisk those publications which were invited and which carry prestige and recognition

   b. Creative contributions other than formal publications
   c. Grants received (dates, amounts, principal investigator or co-principal investigator)
   d. Recognitions and outstanding achievements (prizes, fellowships, etc.)
   e. Areas in which research is done
   f. Supervision of student research (including number of theses and dissertations supervised)
   g. Editorship or editorial board member of journals or other learned publications
   h. Convention papers

      Note: mark with an asterisk those which have a published counterpart; mark with a double asterisk those papers which were especially invited (i.e., keynote papers).

4. Public service Public services performed:
   - extension,
   - international programs,
   - local community services and relations, and
   - to governmental and nongovernmental agencies

5. Other services. This would include, for example, service on departmental, college, or University committees and special administrative assignments; service to student groups and organizations and to support units such as libraries, computing services and health services

Each of the above categories should have a heading entry and, as will be the case, if there are no entries to be made in the categories, enter "none." This will assure that each category is attended to and that there is a common mode of presenting information.

- **Statement of Major Accomplishments; Guidelines p. 47** (two page max)

  "The candidate should add to the end of the vita a letter no longer than 2 pages that describes the candidate’s major accomplishments and assesses the impact of each." Should be a persuasive and interpretive piece of writing; not one that simply lists achievements already presented in the Vita. This is the candidate’s opportunity to make the case that his/her dossier includes clear and convincing evidence that the University and PTU criteria for the desired rank and/or tenure have been met."
(7) Section V: Achievements

- Section V should not exceed 12 pages; Sections IV and V together should not exceed 25 pages.

- **Guidelines** p. 47-48; Achievements in:
  1. Teaching,
  2. Research, Scholarship & Other Creative Activities
  3. Service to Society, the University & the Profession

- Should address at least those areas in which the candidate has had work assignments (i.e. their allocated time or effort), since appointment or last promotion.

- Provide data summaries & cross reference with Vita as much as possible to avoid redundancy within the dossier.

- May be organized around the PTU criteria; i.e. can present/summarize relevant performance for each criterion in turn

(8) Section VI: Letter of Offer and Third-Year Review

- **Guidelines** pp. 48

- OK to strike out salary or other personal information

- Be sure to include a statement explaining any changes in assigned duties since initial appointment

- Third-year review only required for promotion to Associate Professor (p. 25)

- If candidate responded to 3rd year review, the response becomes part of the review so must also be included in the dossier
(9) Section VII:  

1. Brief Statement of Qualifications of Each External Evaluator

2. Identification of Evaluation Letters from Candidate’s List vs PTU’s List

3. Sample Letter Requesting Evaluation (optional)

4. External Letters of Evaluation

- **Guidelines** p. 28; p. 48-49
- At least 4 letters, with at least 2 from candidate’s suggested list and 2 from a list developed by PTU Head.
- Letters may not come from candidate’s former major professor, former students, close associates or friends.
- All solicitation letters should be based closely on the template in Appendix D (p. 49-50). Although optional, good to include a sample solicitation letter in the dossier in case any questions from higher level review committees.
- All letters that are received must be included in the dossier.


- Candidates given prior credit towards their tenure probationary period may include accomplishments from the period of prior credit.

- Effective dossiers – organized, clear, concise (good use of summaries; lack of redundancy) accurate, and adhere to Guidelines.

- Examples of problems reported by review committees that weaken dossiers:
  - CV does not clearly indicate candidate’s contribution if co-authored.
  - Too long
  - Need documentation of teaching
  - Need more representative student evaluations
  - Clearly specify work assignment (service, instruction, research) in a consistent location (cover letter, vita). If service is 0%, specify the 0% assignment even if achievements in this area.
  - Specify candidate’s role/share in group grants/collaborations
COLLABORATIVE PROCESS FOR DOSSIER DEVELOPMENT:

- Preparation and verification of the contents of the dossier is a cooperative endeavor between the PTU Head & candidate, with candidate having the final say about the dossier’s contents, with exception of external letters (p. 27)

- **Candidate:**
  - Vita
  - Major Accomplishments (1-2 pages)
  - Evidence for Section V Achievements
  - Provide list of 3-6 potential external evaluators & up to 3 exclusions
  - Proofread the dossier
  - The candidate may correct errors of fact.
  - If the candidate disagrees with an opinion expressed in cover letter, he/she may issue a written response but cannot “correct” the opinion.
  - Should not have access to external letters.

- **PTU Head:**
  - Accuracy of vita and other documentation
  - Section I – P&T Summary Forms
  - Cover Letter(s) (separate cover letters for promotion & tenure)
  - Separate document if negative PTU vote
  - Supply PTU Criteria
  - Write/compile Achievements section
  - Supply offer letter and third year review report
  - Solicit letters of evaluation & write description of evaluators’ qualifications
  - Oversee preparation and submission of dossier to the PTU and the school/college.

APPENDICIES: Do not submit appendices for university level review. However, you can connect to an external website for additional information and resources. If do so, suggest including one link in Major Accomplishments Section.
SUBMISSION TO OFFICE OF FACULTY AFFAIRS FROM DEAN’S OFFICE:

- Dossiers Due mid-October 2016
- This deadline includes dossiers for the following ranks: Academic, Clinical, Academic Professional & Lecturer
- Conduct thorough review of dossier contents against the checklist prior to submission
  - Use Quick Reference to confirm Years in Rank
- Electronic Dossiers uploaded via eLCNew
  - Step-by-step instructions for upload
  - PDF File(s) in order of dossier checklist
  - Use required naming structure
  - Ensure all additional letters, including candidate’s response(s) included in dossier
- Submit Original Docs to OFA by dossier deadline (detailed instructions here):
  - Master Cover Letter with a complete list/report of all promotion/tenure candidates
  - Electronic Dossier Checklist completed for each candidate based on review of the electronic dossier being submitted
  - Original Promotion and/or Tenure Recommendation Form(s) with all signatures, votes, approval status.

REFERENCES:

- Promotion & Tenure Page, Office of Faculty Affairs (includes all of the following docs)
  - UGA Guidelines for appointment and promotion of all faculty ranks
  - Quick Reference (for calculating years in rank)
  - Criteria for Promotion and Tenure listed by Unit
  - Administrative Guidelines
  - Application deadline memos
  - eLC-New Dossier submission procedures
  - Dossier Checklist
  - Recommendation for Promotion & Tenure Forms
  - Workshop Materials

- UGA Academic Affairs Policy Manual, Section 1: Faculty

QUESTIONS:

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