

Approved November 15, 2005

**Guidelines for the Promotion of Research Faculty**  
UT College of Engineering

A supplement to the

**Guidelines for the Tenure and Promotion Review Process**  
UT College of Engineering

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## **I. Introduction**

### ***A. Purpose of document***

1. To provide guidance about expected accomplishments for promotion of research faculty.
2. To provide guidance to the candidate during preparation of the Dossier.
3. To provide guidance to the departmental and College Tenure/Promotion Committees during the review process.

### ***B. Guiding Principles***

1. The guiding principles stated in the Guidelines for the Tenure and Promotion Review Process also apply to promotion of research faculty.

## **II. Expectations for Promotion**

### ***A. University***

1. Relevant guidance regarding the promotion process is provided in the Board of Trustees policies, the Faculty Handbook, and the Manual of Faculty Evaluation. The guidance in this document is subordinate to the above documents. However, the above documents do not specifically address promotion of research faculty; and the University has determined that this should be handled at the College level.

### ***B. College***

1. The general comments provided in the College of Engineering Guidelines for the Tenure and Promotion Review Process also apply to promotion of research faculty. However, many of the specific criteria noted for tenure-track faculty are not relevant to research faculty. Thus, the tables provided in that document have been modified herein to reflect only items relevant for research faculty
2. Each Department will develop research faculty promotion guidelines that are consistent with the Guidelines for Tenure and Promotion Review Process. The major difference from the tenure and promotion guidelines is that research faculty will be evaluated only on research-related activities. Relevant evaluation criteria will include:
  - a) Research criteria
  - b) Scholarship criteria
  - c) Service criteria (especially those that are research related)
  - d) Awards, teaching, other criteria

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**III. College of Engineering Supplement to the Dossier**

***A. Preparation of Dossier***

1. The Dossier is to be prepared in accordance with the Board of Trustees policies governing tenure and promotion, and the requirements in the Faculty Handbook and the Manual for Faculty Evaluation. Care should be taken by the candidate, the department Tenure and Promotion Committee, and Department Head to assure adherence to these procedures.
2. In the event of conflicts, the above documents apply.
3. This document outlines additional items to be included in the College of Engineering Supplement to the Dossier. This supplement should be included as an appendix to the dossier.

***B. Contents of the College of Engineering Supplement to the Dossier***

1. The College Summary Form.
2. Checklist of Contents of the College of Engineering Supplement to the Dossier (Table R4). All information in the supplement must be included in the order given in Table R4.
3. Documentation addressing all “Essential” criteria (Table R1) that are not required to be included elsewhere in the Dossier.
4. Documentation addressing “Desirable” and “Beneficial” Criteria (Table R1) may be included.
5. The candidate’s three most significant publications/contributions should be identified.
  - a) A copy of these contributions should be included in the College Supplement to the Dossier.
  - b) These contributions are to be part of the package forwarded to external referees.

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**Table R1. Evaluation Criteria and their Relative Importance**

E =Essential (must be reported in dossier) D= Desirable B = Beneficial

		Level I Evaluation*	Level II Evaluation*
<b>Teaching</b>			
T-x	Teaching-related activities.	B	B
<b>Research</b>			
R-1a	Financial support of graduate students from external funds.	E	E
R-1b	Percent of salary recovery for last five years, by year.	E	E
R-2a	Evidence of growing and vibrant externally funded research program.	E	N/A
R-2b	Evidence of established and vibrant externally funded research program.	N/A	E
R-3	Facilitation of interdisciplinary groups/teams.	B	D
R-4	Management of multiple contracts/grants.	B	D
<b>Scholarship</b>			
Sc-1	Archival journal publications.	E	E
Sc-2	Oral or Poster Presentations at Conferences.	E	E
Sc-3	Citations.	E	E
Sc-4	Refereed conference proceedings/ publications.	D	D
Sc-5	Invited presentations.	B	B
Sc-6	Other scholarly work (textbooks, monographs, patents, software, etc.)	B	B
<b>Service</b>			
Se-1	Peer review of papers or proposals.	E	E
Se-2	University Citizenship (internal service to department, college, university).	B	B
Se-3	Professional activities leading to national exposure, such as service as officer, organization of meetings/symposia/conferences, or participation on national/international boards or review panels.	B	D
<b>Awards</b>			
A-1	Research/Scholarship Awards.	B	B

\*Note: Level I Evaluation: Promotion to Associate Professor  
 Level II Evaluation: Promotion to full Professor

**Table R2. Rationale and Expected Documentation for each of the Table R1 Criterion (“Essential” criteria in bold)**

Criteria		Rationale	Required Documentation
<b>Research</b>			
R-1a	<b>Financial support of graduate students from external funds.</b>	Important mission of the university, and a critical factor in sustaining an effective graduate program.	List of student names, degree programs, research project/source of funds, and duration of support.
R-1b	<b>Percent of salary recovery for last five years, by year.</b>	Research faculty members are hired to conduct funded research, and salary recovery is an expectation.	Table showing percentage of salary recovery each year for the past five years.
R-2a	<b>Evidence of growing and vibrant externally funded research program.</b>	Commitment to development of a successful funded research program is vital to the research mission of the university.	List of proposals, with agency, topic, funding, duration, disposition, percentage of expenditures under faculty control (for multiple investigator contracts, some measure that reflects the actual contribution (not just research expenditures).
R-2b	<b>Evidence of established and vibrant externally funded research program.</b>	Established and sustained research program is vital to the research mission.	Same as above R-2a.
R-3	<b>Facilitation of interdisciplinary groups/teams.</b>	There is a strong trend for financial support of Interdisciplinary research.	List of participation in team initiatives, including team members, organizations and documentation of benefits or results.
R-4	Management of multiple contracts/grants.	Organizational and leadership skills, and breadth of research are desirable.	List.
<b>Scholarship</b>			
Sc-1	<b>Archival journal publications.</b>	Peer validation of research quality and significance is important, and archival publications are the ultimate vehicle for dissemination of scholarly work.	List in full citation format including all authors, dates, the title, and journal information.
Sc-2	<b>Oral or Poster Presentations at Conferences.</b>	Visibility in the national and international scientific and engineering community is important.	List dates, title, and conference information, and if a proceeding paper was published, provide citation as appropriate.
Sc-3	<b>Citations.</b>	Citations are a measure of the impact of scholarship and visibility.	Total number of citations and number of papers cited, (from ISI Web of Science), and a list of the top five cited papers with the number of citations for each.
Sc-4	Refereed conference proceedings/ publications.	Peer validation of near-term research, and national and international visibility is desirable.	Same as Sc-1.
Sc-5	Invited presentations.	This is an indication of recognition in the scientific and engineering community.	List title, date, venue, organization.
Sc-6	Other scholarly work (textbooks, monographs, patents, software, etc.)	There are important scholarly contributions made in areas other than those distinguished above.	Identify with a brief summary of importance with the candidate’s contribution explicitly indicated (except for patents).

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<b>Service</b>			
<b>Se-1</b>	<b>Peer review of papers or proposals.</b>	Participation in the peer review process is an important responsibility and fosters professional growth.	List of journals, conferences, funding agencies.
Se-2	University Citizenship (internal service to department, college, university).	Although university service is a requirement of all faculty members, this should not be a high priority for Tenure Track faculty.	List of university service activities, including dates of service, leadership roles, and if applicable, any significant accomplishments resulting from the activity.
Se-3	Professional activities leading to national exposure, such as service as officer, organization of meetings/symposia/conferences, or participation on national/ international boards or review panels.	Professional service is an important responsibility and fosters professional growth.	List of professional service commitments, including dates of service, leadership/chair roles.
<b>Awards</b>			
A-1	Research/Scholarship and other Awards.	Awards are a formal recognition of accomplishment from peers.	List type of award, name, citation, date, awarding organization.

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**Table R3. Typical Examples of Expectations for the “Essential” Criteria**

		<b>Level I Evaluation*</b>	<b>Level II Evaluation*</b>
<b>Research</b>			
<b>R-1a</b>	<b>Financial support of graduate students from external funds.</b>	Continual support of multiple students.	Continual support of multiple students.
<b>R-1b</b>	Percent of salary recovery for last five years, by year.	100% recovery except for any “buyout” for performance of essential departmental services.	100% recovery except for any “buyout” for performance of essential departmental services.
<b>R-2a</b>	<b>Evidence of growing and vibrant externally funded research program.</b>	Multiple proposals submitted as PI, with some successful awards.	
<b>R-2b</b>	<b>Evidence of established and vibrant externally funded research program.</b>		Sustained record externally funded research.
<b>Scholarship</b>			
<b>Sc-1</b>	<b>Archival journal publications.</b>	Average of one per year while at UT with evidence of growth to multiple publications per year within first six years.	Sustained record of multiple publications year.
<b>Sc-2</b>	<b>Oral or Poster Presentations at Conferences.</b>	Average of one per year.	Average of at least one per year.
<b>Sc-3</b>	<b>Citations.</b>	Report number (expectations are dependent upon discipline and experience).	Report number (Evidence peer recognition, expectations are dependent upon discipline and experience).
<b>Service</b>			
<b>Se-1</b>	<b>Peer review of papers or proposals.</b>	Evidence of activity.	Evidence of sustained activity (expectations are discipline dependent).
<b>Se-2</b>	<b>University Citizenship.</b> (internal service to department, college, university).		Evidence of significant service contributions.

\*Note:

Level I Evaluation: Promotion to Associate Professor

Level II Evaluation: Promotion to full Professor

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**Table R4. Checklist of Contents of the College of Engineering Supplement to the Dossier  
("Essential" criteria in bold must be included)**

		Documentation provided in Dossier (D) or Supplement (S)	If provided in Dossier, indicate Section
<b>Research</b>			
R-1	<b>Financial support of graduate students from external funds.</b>	__ D __ S	
R-2a	<b>Evidence of growing and vibrant externally funded research program.</b>	__ D __ S	
R-2b	<b>Evidence of established and vibrant externally funded research program.</b>	__ D __ S	
R-3	Facilitation of interdisciplinary groups/teams.	__ D __ S	
R-4	Management of multiple contracts/grants.	__ D __ S	
<b>Scholarship</b>			
Sc-1	<b>Archival journal publications.</b>	__ D __ S	
Sc-2	<b>Oral or Poster Presentations at Conferences.</b>	__ D __ S	
Sc-3	<b>Citations.</b>	__ D __ S	
Sc-4	Refereed conference proceedings/ publications.	__ D __ S	
Sc-5	Invited presentations.	__ D __ S	
Sc-6	Other scholarly work (textbooks, monographs, patents, software, etc.)	__ D __ S	
<b>Service</b>			
Se-1	<b>Peer review of papers or proposals.</b>	__ D __ S	
Se-2	University Citizenship (internal service to department, college, university).	__ D __ S	
Se-3	Professional activities leading to national exposure, such as service as officer, organization of meetings/symposia/conferences, or participation on national/international boards or review panels.	__ D __ S	
<b>Awards</b>			
A-1	Research/Scholarship and other Awards.	__ D __ S	