

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

Approved May 4, 2005
Revised April 26, 2012
Revised November 10, 2015
Revised April 11, 2017

Prepared by the ad hoc Tenure and Promotion Guidelines committee, 2004-2005
Douglas Birdwell, Eric C. Drumm (Chair), William R. Hamel,
George M. Pharr, and Larry Townsend

Revised by the ad hoc Tenure and Promotion Guidelines committee, 2014-2015
S. Babu, B.J. Blaylock, R. Kalyanaraman, A.J. Khattak, S.J. Paddison,
R.S. Sawhney, L.W. Townsend (Chair)

Revised by the Office of Faculty Affairs, with approval of the faculty, 2016-2017

I. Introduction

A. Purpose of document

1. To provide guidance about expectations to the probationary candidates and their mentors
2. To provide guidance to the candidate during preparation of their Dossier
3. To provide guidance to the departmental Tenure/Promotion committees during the departmental review process
4. To provide information to the administration and College Tenure/Promotion committee during the college review process
5. To provide guidance to the departmental faculties during the preparation and documentation of departmental expectations in their by-laws

B. Guiding Principles

1. Criteria are needed for the evaluation of candidates for tenure and promotion
2. Some criteria are more important than others
3. The assessment of junior faculty should be based on demonstrated accomplishment and potential for future growth. The assessment of senior faculty should be based on a sustained record of accomplishment, with emphasis on the record over the previous five years
4. The evaluation process must be fair and consistent across departments and from year to year
5. There is recognition that differences exist between departments and disciplines. Departmental expectations should be developed through comparisons with peer departments. The expectations outlined here are provided as guidance to the departments, and individual departmental expectations may exceed those provided here. Departmental expectations should be documented where called for in the tables, or included in the narrative summary.
6. There must be flexibility in the evaluation process, because candidates have different gifts and accomplishments. However, there are essential categories in which every candidate is expected to contribute.

II. Expectations for Tenure and Promotion

A. University

1. Relevant guidance regarding expectations 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, but adherence to the expectations described here is expected.

B. College

1. The guidance provided here distinguishes between two categories of tenure and promotion

Level I: Promotion to Associate Professor with tenure, or tenure at the rank of Associate Professor

Level II: Promotion to Full professor, or tenure at the rank of full Professor

2. The guidance provided in the form of 4 Tables
3. Table 1 Evaluation Criteria and their Relative Importance

- a) Essential Criterion (must be addressed in Dossier or COE Supplement)

(1) Criterion is deemed to be of vital importance. Significant activity is required and will be given the highest level of consideration in the evaluation process

- b) Desirable Criterion

(1) Criterion is deemed to be important. Significant activity should be documented. For Level I evaluation, these activities could enhance the dossier but are not expected. For Level II evaluation, activity in some but not all categories is expected

- c) Beneficial Criterion

(1) Activity is important and can be documented but contributions are not expected.

4. Table 2 Rationale and Expected Documentation for each of the Criterion in Table 1

5. Table 3 Typical examples of expectations for the “Essential” criteria

- a) In accordance with College of Engineering By-Laws, the faculty of each department will develop criteria for each of the categories identified as “Essential” in Table 1, and will periodically review them. The departments may also develop criteria for the “beneficial”

and “desirable “categories. These criteria must be included as part of the candidate’s dossier.

b) These evaluation criteria are provided to give departments guidance and encourage consistency across the college.

c) The evaluation criteria are not minimum or “threshold” values, but examples of achievement that may be regarded as acceptable

6. Table 4 Checklist of contents of the College of Engineering Supplement to the Dossier

7. Table 5 Summary Tables of Teaching Record, Research Record, Scholarship Record and Service Record to be included in the College of Engineering Supplement to the Dossier

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 4). All information in the supplement must be included in the order given in Table 4
3. Documentation addressing all “Essential” criteria (Table 1), that are not required to be included elsewhere in the Dossier
4. Documentation addressing “Desirable” and “Beneficial Criteria (Table 1) 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.

Table 1 Evaluation Criteria and their Relative Importance

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

		Level I Evaluation*	Level II Evaluation*
Teaching			
T-1	Classroom: Evidence of Teaching Innovation (course content /design/ breadth)	B	D
T-2	Classroom: Student evaluations (reflected by End-of-Course Evaluation scores)	E	E
T-3	Classroom: Peer Teaching Evaluation	E	E
T-4	Classroom: Teaching awards	B	B
T-5	Undergraduate student academic advising, student organizations advising	B	B
T-6	Mentoring: Faculty mentoring	N/A	B
Research			
R-1	Financial support of graduate students	E	E
R-2	Graduate student advising, consistent production of MS and PhD degrees	E	E
R-3a	Evidence of growing and vibrant externally funded research program	E	N/A
R-3b	Evidence of established and vibrant externally funded research program	N/A	E
R-4	Facilitation of interdisciplinary groups/teams	B	D
R-5	Management of multiple contracts/grants	B	D
R-6	Supervising undergraduate research projects	D	D
Scholarship			
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
Service			
Se-1	Peer review of papers or proposals	E	E
Se-2	University Citizenship (internal service to department, college, university)	B	E
Se-3	Professional activities leading to national exposure, such as service as officer, organization of meetings/symposia/conferences, or participation on national/international boards, review panels and journal editing	B	D
Se-4	Community engagement in the discipline	B	B
Awards			
A-1	Teaching Awards	B	B
A-2	Research/Scholarship Awards	B	B
A-3	Service Awards	B	B

*Note:

Level I Evaluation: Promotion to Associate Professor with tenure, or tenure at the rank of Associate Professor Level

II Evaluation: Promotion to full professor, or tenure at the rank of full Professor

**Table 2 Rationale and Expected Documentation for each of the Table 1 Criterion
("Essential" criteria in bold)**

Criteria		Rationale	Required Documentation
Teaching			
T-1	Classroom: Evidence of Teaching Innovation (course content /design/ breadth)	Teaching is the primary mission of the university and it is important to provide high quality instruction and current content	Syllabi of new, updated, relevant or revised courses. Documentation of innovative teaching methods.
T-2	Classroom: Student evaluations	Student feedback is an important aspect of teaching evaluation	Student evaluation scores from courses taught. For AY2016-17 and following: Questions 1-8 of End of Course Evaluations; for prior years: SAIS score for Instructor Effectiveness, Instructor Contribution, Instructor Knowledge)
T-3	Classroom: Peer Teaching Evaluation	Provide for comparison with departmental norms and expectations	Written report from peer evaluators including assessment of classroom observations, formatted as per UT and COE guidelines.
T-4	Classroom: Teaching awards	Superior teaching should be recognized	Awarding organization and date
T-5	Undergraduate student advising, student organizations advising	Activities outside the classroom are important	list
T-6	Mentoring: Faculty mentoring	Growth of junior faculty is important	List of faculty mentored
Research			
R-1	Financial support of graduate students	Important mission of the university, and a critical factor in sustaining an effective graduate program	List of student names, degree programs, research project, sources of funds, and duration of support
R-2	Graduate student advising, consistent production of MS and PhD degrees	Graduate education and research are important missions of the university	List of all students advised and name, title, date, and degree for completed theses and dissertations
R-3a	Evidence of growing and vibrant externally funded research program	Commitment to development of a successful funded research program is vital to the research mission of the university successful	List of proposals, with agency, topic, funding, duration, disposition, percentage of expenditures under faculty control
R-3b	Evidence of established and vibrant externally funded research program	Established and sustained research program is vital to the research mission of the university successful	Same as above R-3a
R-4	Facilitation of interdisciplinary groups/teams	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-5	Management of multiple contracts/grants	Organizational and leadership skills, and breadth of research are desirable	List
R-6	Supervising undergraduate research projects	Engaging undergraduate students in research is increasingly important for a research-intensive university	List students, titles and dates of research projects

Criteria		Rationale	Required Documentation
Scholarship			
Sc-1	Archival journal publications	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 (indicate graduate and undergraduate student coauthors and postdoc coauthors))
Sc-2	Oral or Poster Presentations at Conferences	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. (indicate graduate and undergraduate student coauthors and postdoc coauthors))
Sc-3	Citations	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 Google Scholar, and list of the top five cited papers with the number of citations for each. Comment on comparisons with standards in field
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)
Service			
Se-1	Peer review of papers or proposals	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 e.g. committee work, faculty governance, departmental administration search committees, graduate admissions)	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 roles and dates of service.
Se-3	Professional activities leading to national exposure, such as service as officer, organization of meetings/symposia/conferences, or participation on national/ international boards, review panels, journal editing	Professional service is an important responsibility and fosters professional growth	List of professional service commitments, including roles and dates of service.
Se-4	Community engagement in the discipline, involving collaboration between the university and larger societal communities (local, regional/state, national, global)	Engagement is a two-way partnership with community organizations that can enhance learning and discovery and lead to societal impact	List of community engagement activities, including roles, dates, and brief explanations of the broader impact of each activity

Awards			
A-1	Teaching Awards	Awards are a formal recognition of accomplishment from peers	List type of award, name, citation, date, awarding organization
A-2	Research/Scholarship Awards	Awards are a formal recognition of accomplishment from peers	List type of award, name, citation, date, awarding organization
A-3	Service Awards	Awards are a formal recognition of accomplishment from peers	List type of award, awarding organization name, citation, date

Table 3 Typical examples of expectations for the “Essential” criteria

		Level I Evaluation*	Level II Evaluation*
Teaching			
T-2	Classroom: Student evaluations (reflected by End of Course Evaluation scores)	Achieved ratings comparable to College Mean by the end of the probationary period	Ratings comparable to College Mean while accounting for differences between graduate and undergraduate courses, undergraduate lower division vs. upper division courses, and laboratory vs. lecture courses.
T-3	Classroom: Peer Teaching Evaluations	Evaluated as meeting expectations or has taken action to improve a lower rating	Evaluated as meeting expectations or has taken action to improve a lower rating
Research			
R-1	Financial support of graduate students from external funds	Continual support of multiple students in accordance with department guidelines	Continual support of multiple students in accordance with department guidelines
R-2	Mentoring: Graduate student advising, consistent production of MS and PhD degrees	One or more PhD students in the pipeline	Has graduated multiple PhD students in accordance with department guidelines
R-3a	Evidence of growing and vibrant externally funded research program	Multiple proposals submitted as PI, with some successful awards in accordance with department guidelines	
R-3b	Evidence of established and vibrant externally funded research program		Sustained record of externally funded research in accordance with department guidelines
Scholarship			
Sc-1	Archival journal publications	Average of one per year while at UT with evidence of growth to multiple publications per year by the end of the probationary period in accordance with department guidelines	Sustained record of multiple publications per year in accordance with department guidelines
Sc-2	Oral or Poster Presentations at Conferences	Average of one per year in accordance with department guidelines	Average of at least one per year in accordance with department guidelines
Sc-3	Citations	Report number (expectations are dependent upon discipline and experience)	Report number (Evidence of peer recognition, expectations are dependent upon discipline and experience)
Service			
Se-1	Peer review of papers or proposals	Evidence of experience by the end of the probationary period	Evidence of sustained activity (expectations are discipline dependent)
Se-2	University Citizenship (internal service to department, college, university e.g. committee work, faculty governance, departmental administration search committees, graduate admissions)		Evidence of significant service contributions to department, college, and university

*Note:

Level I Evaluation: Promotion to Associate Professor with tenure, or tenure at the rank of Associate Professor

Level II Evaluation: Promotion to full professor, or tenure at the rank of full Professor

Table 4 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
Teaching			
T-1	Classroom: Evidence of Teaching Innovation (course content /design/ breadth)	__ D __ S	
T-2	Classroom: Student evaluations (reflected by End of Course Evaluation scores)	__ D __ S	
T-3	Classroom: Peer Teaching Evaluation	__ D __ S	
T-4	Classroom: Teaching awards	__ D __ S	
T-5	Mentoring: Undergraduate student advising, student organizations advising	__ D __ S	
T-6	Mentoring: Faculty mentoring	__ D __ S	
Research			
R-1	Financial support of graduate students from external funds	__ D __ S	
R-2	Graduate student advising, consistent production of MS and PhD degrees	__ D __ S	
R-3a	Evidence of growing and vibrant externally funded research program	__ D __ S	
R-3b	Evidence of established and vibrant externally funded research program	__ D __ S	
R-4	Facilitation of interdisciplinary groups/teams	__ D __ S	
R-5	Management of multiple contracts/grants	__ D __ S	
R-6	Supervising undergraduate research projects	__ D __ S	
Scholarship			
Sc-1	Archival journal publications	__ D __ S	
Sc-2	Oral or Poster Presentations at Conferences	__ D __ S	
Sc-3	Citations	__ 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	
Service			
Se-1	Peer review of papers or proposals	__ 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	
Se-4	Community engagement in the discipline, involving collaboration between the university and larger societal communities (local, regional/state, national, global)	__ D __ S	
Awards			
A-1	Teaching Awards	__ D __ S	
A-2	Research/Scholarship Awards	__ D __ S	
A-3	Service Awards	__ D __ S	

Table 5. Summary Tables of Teaching Record, Research Record, Scholarship Record and Service Record to be included in the College of Engineering Supplement to the Dossier

TEACHING RECORD

Parameter			Academic Year (fall/spring/summer)					Department Expectation (/yr)	
			2012-2013	2013-2014	2014-2015	2015-2016	2016-2017		2017-present
Undergrad Courses	Number of Courses								
	Scores (Pre-2016 changes)	<i>Instructor's contribution to the course</i>							
		<i>Instructor's effectiveness in teaching material</i>							
		<i>Student's confidence in instructor's knowledge</i>							
	Scores (new End of Course Eval. form)	<i>Q1: Contribution</i>							
		<i>Q2: Atmosphere</i>							
		<i>Q3: Responsiveness</i>							
		<i>Q4: Learning Environment</i>							
		<i>Q5: Feedback</i>							
		<i>Q6: Challenging Learning</i>							
		<i>Q7: Class Sessions Organized</i>							
<i>Q8: Course Materials</i>									

Parameter			Academic Year (fall/spring/summer)					Department Expectation (yr)	
			2012-2013	2013-2014	2014-2015	2015-2016	2016-2017		2017-present
Graduate Courses	Number of Courses								
	Scores (Pre-2016 changes)	<i>Instructor's contribution to the course</i>							
		<i>Instructor's effectiveness in teaching material</i>							
		<i>Student's confidence in instructor's knowledge</i>							
	Scores (new End of Course Eval. form)	<i>Q1: Contribution</i>							
		<i>Q2: Atmosphere</i>							
		<i>Q3: Responsiveness</i>							
		<i>Q4: Learning Environment</i>							
		<i>Q5: Feedback</i>							
		<i>Q6: Challenging Learning</i>							
		<i>Q7: Class Sessions Organized</i>							
<i>Q8: Course Materials</i>									

RESEARCH RECORD

Parameter		Fiscal Year (July 1 –June 30)						Dept. Expectation (/yr)
		yr-yr	yr-yr	yr-yr	yr-yr	yr-yr	yr-present	
Graduate Students Supported (number)	MS							
	PhD							
Graduate Students graduated (number)	MS							
	PhD							
Individual Research Funding (based on budgeted %)	Awarded Funding (multi-year contracts listed only in year received)							
	Research Expenditures							

SCHOLARSHIP RECORD

Parameter		Calendar year						Department Expectation (/yr)
		year	year	year	year	year	year	
refereed publications (number)	Archival Journal							
	Conference Proc.							
Total Number of Citations (/yr) (WoS, GoogleScholar)								
H-Index (WoS, GoogleScholar)								
Number of Other Publications (books, chapters, reports, etc.)								
Presentations (number)	Oral	Invited						
		Contributed						
	Poster							

SERVICE RECORD

Parameter		Academic Year (Fall/Spring/Summer)					
		yr-yr	yr-yr	yr-yr	yr-yr	yr-yr	yr-present
Peer reviews (number)	Journal manuscripts						
	Grant Proposals						
Committee Service (chair, member)	Dept.						
	CoE						
	UTK						
Professional Activities (number)	Conference/Symposium Organization						
	Society Officer						
	Journal Editorship						
Community Engagement (number)	Activity #1 <add name>						
	Activity #2 <add name>						
	Activity #3 <add name>						