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POLICY AND PROCEDURE # 2017.4

Title: School of Engineering & Applied Science Reappointment and Promotion Policy for Academic General Faculty

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Applies to:

Academic General Faculty in the School of Engineering & Applied Science

Definitions:

The 2017 Provost policy PROV-004 includes standards for reappointment and promotion of salaried Academic General Faculty. The School of Engineering & Applied Science Promotion Policy for Academic General Faculty supplements PROV-004 (consult PROV-004 for policy details not covered in this document).

Reason for Policy:

Promotion decisions should be based on the extent and impact of the varied contributions the candidate has made and potentially will make to the School of Engineering & Applied Science and UVA. All Academic General Faculty, Tenured Faculty, and Tenure Track Faculty are held to the highest standards, though the criteria will vary according to faculty category and or track. The evaluation of an individual's contributions necessitates the collection of information and the preparation of documents by which the candidate's past performance can be assessed. Provost policy dictates that all members of the Academic General Faculty must undergo annual departmental performance review. For the School of Engineering & Applied Science, this includes annual review by the department's Peer Review Committee (PRC) and the Chair. This requirement applies not only to faculty in three-year appointments but also to those in one-year

contracts. In general, faculty evaluation is based on both quantitative and qualitative information in a fair and transparent process.

Policy Statement:

I. Faculty Areas of Activity

For the School of Engineering & Applied Science, we define four areas of faculty activity and list examples of activities and evidence of success below. The criteria for reappointment and promotion for each position will be primarily based on the level of excellence in the areas of activity in which that position engages. However, the boundaries between these areas are not crisp and the areas are mutually supportive: engaging in any of them strengthens and supports the other three.

A. Teaching

Teaching is the act of increasing the knowledge and ability of students of all levels through the delivery of instruction and mentoring in the broad context of education.

Activities that show evidence of educational engagement include, but are not limited to,

- teaching courses
- mentoring undergraduate and/or graduate students
- sponsoring and supporting student organizations, competitions, etc.
- supervising student research projects, such as capstone projects and theses
- supporting students from underrepresented groups

Evidence of educational excellence includes, but is not limited to,

- peer evaluations
- student evaluations
- letters from current/former students
- receipt of competitive scholarships or fellowships by advised students
- placement of students in prestigious internships and post-graduation positions
- attraction and retention of diverse students
- awards and honors received for excellence in delivering education.

B. Discipline Scholarship

Discipline scholarship is the act of expanding the boundaries of knowledge of a field through the performance and dissemination of research.

Activities that show engagement in discipline scholarship include, but are not limited to,

- proposal submissions for sponsored research
- engagement with research communities, practitioners, industry, startups, and society
- contributions to, and support of, disciplinary and/or interdisciplinary areas
- advising and training of Masters and/or Ph.D. students
- mentoring of undergraduate research trainees
- placement of students in prestigious internships and post-graduation positions
- development of new technology and systems
- collaborations with industry and national laboratories

Evidence of discipline scholarship excellence include, but are not limited to,

- peer evaluations
- letters from current/former advisees
- securing funding, including awards of competitive fellowships
- impacts on research communities, practitioners, industry, startups, and society
- contributions to the research in disciplinary and/or interdisciplinary areas
- graduation and success of Masters and/or Ph.D. students
- placement of advisees in prestigious internships and post-graduation positions
- writing and/or presenting of peer-reviewed papers
- impact of new technology and systems
- relationships with industry and national laboratories
- awards and honors received for excellence in research.
- publications considering issues of diversity
- publications co-authored by members of underrepresented groups.

C. Educational Scholarship

Educational scholarship is the act of expanding student education through the performance and dissemination of pedagogical, curricular, and assessment innovation and evaluation.

Activities that show engagement in educational scholarship include, but are not limited to,

- proposal submissions
- engagement with educational communities and society
- advising of students conducting educational scholarship
- development and assessment of teaching materials
- creation and assessment of the impact of new courses
- creation of new curricula, or modification of existing curricula, and the assessment of the impact associated with those curricula

- creation of new degree programs, or modification of existing degree programs, and assessment of the impact associated with those degree programs
- introduction of innovative instructional practices and assessment of their impact
- creation of new programs that support the educational mission (e.g., new advising processes) and assessment of the impact associated with those programs
- integrating professional experience with the academic mission of the school
- training and development of other educators
- mentoring researchers from underrepresented groups
- studying the value of educational practices for students of underrepresented groups.

Evidence of educational scholarship excellence include, but are not limited to,

- peer evaluations
- securing funding (internal or external), including awards of competitive fellowships
- impact on educational communities and society
- graduation and success of Masters and/or Ph.D. students
- writing and/or presenting of papers on education
- adoption of teaching materials by other faculty members
- impact of new or modified courses, curricula, or degree programs
- impact of innovative instructional practices and programs
- letters from current/former trained educators.
- awards and honors received for educational innovation
- publications considering issues of diversity
- publications co-authored by members of underrepresented groups.

D. Service

Service is the act of assisting the smooth functioning of the department, school, university, and broader academy.

Activities that show evidence of engagement in service include, but are not limited to,

- serving on and chairing committees at the department, school, and/or university level
- participating in activities at the department, school, and/or university level
- undertaking service assignments at the department, school, and/or university level
- serving in leadership roles at the department, school, and/or university level
- mentoring of colleagues
- undertaking the preparation at UVA for ABET and/or SACS accreditation review
- leadership roles in professional practice, public service, and/or entrepreneurial activities

- service in technical and professional societies and associations
- editorial work for professional journals
- engagement with educational and/or scholarly communities, and with society
- supporting and developing the service of others
- performing outreach targeting underrepresented groups.

Evidence of service excellence include, but are not limited to,

- peer evaluations
- letters from those serving with the candidate
- letters from those impacted by the service
- continued invitation to engage in service
- awards and honors received for service
- adoption of developed programs
- adoption of programs supporting members of underrepresented groups.

Academic General Faculty members, depending on rank and track, must demonstrate different levels of performance in the above four Faculty Areas of Activities as should be listed in the appointment letter and annual faculty reviews (see School of Engineering & Applied Science policy document 2017.7, section IV for further information on appointment letters). The requirements for reappointment and for promotion are discussed below in sections II and III. Any combination of disciplinary and educational scholarship may be used to fulfill that responsibility. It is important to note for promotion that a particular candidate does not need to excel in all four areas, or in all of the examples for a given area listed above. The specific focuses of each position are outlined in Table-1 below.

	Teaching	Educational Scholarship	Disciplinary Scholarship	Service
Professorial Teaching Track	Primary Focus	At least one of the two are required; both may be performed ¹		Expected
Professorial Research Track	not required, but may be performed		Primary Focus	Expected
Professorial Practice Track	varies by position (consult individual position description); primary focus is integrating professional experience with the academic mission of the School of Engineering & Applied Science			Expected
Lecturers	Primary Focus	not required, but may be performed		Expected of Senior and Distinguished Lecturers

Table-1 The specific activity focus of each position

II. Reappointments and Review

A. Reappointment of Assistant Professors and Lecturers

Reappointment reviews occur once every three years and may be more frequent during the first three years. The reappointment process for Assistant Professors and Lecturers should follow the timeline given in Table-2A.

After formation of the committee (step A in Table-2A) and identifying faculty members up for review, the reappointment review process proceeds (step B in Table-2A) with a request by the department P&T committee to the candidate to submit a letter arguing for reappointment and a dossier (see Appendix A), including a CV and any supporting materials. If the candidate wishes to pursue reappointment, the candidate submits the requested materials to the Department Promotion and Tenure Committee (step C in Table-2A). The Department P&T Committee can elect to choose a case-advocate to be responsible for assembling the information for the committee. The reappointment review process will include consideration of available annual faculty reports, the letters of appointment and reappointment, and the department's peer review committee evaluations.

¹ Per PROV-004, "Academic General Faculty Members on the teaching track may engage in scholarship that enhances their teaching as part of their primary responsibilities." This is not limited to educational scholarship; disciplinary scholarship also enhances teaching and should be included in evaluations if performed.

Action	Taken by	For Fall review	For Spring review
A. Beginning of committee work	Department P&T Committee	No later than August 25th	No later than January 25th
B. Request for materials from candidate	Department P&T Committee	No later than September 25th	No later than February 25th
C. Submission of materials by candidate	Candidate	No later than October 25th ²	No later than March 25th ³
D. Vote on reappointment	Department P&T Committee	No later than November 15th	No later than April 15th
E. Chair's recommendation to the dean	Chair	No later than November 25th	No later than April 25th
F. Dean's decision to renew or non-renew, Neither decision requires approval of the provost (non-renewal may only be given in accordance with PROV-004).	Dean		
G. Candidate informed of reappointment decision	Department P&T Committee, Chair, or designee	No later than December 1st	No later than May 1st
H. Official offer letter	Dean	As soon as HR provides necessary information	As soon as HR provides necessary information

Table-2A Reappointment timeline for AGF Assistant Professors and Lecturers

² The candidate will be given at least 4 weeks to submit the materials from the date of request.

³ The candidate will be given at least 4 weeks to submit the materials from the date of request.

The dossier (see Appendix A) will be similar to the tenure track faculty reappointment dossier, except

- it may exclude those elements that are not applicable to the particular candidate's track and appointment letter
- it should include the portion of the appointment letter defining the duties and expectations of the position.

This dossier will be reviewed by the Department P&T Committee for evidence of *progress* towards excellence as described above in sections I and II. A vote will be taken by the Department P&T Committee (step D in Table-2A). The chair will write her/his recommendation to the dean outlining the case, including the vote total of the Department P&T Committee (step E in Table-2). All faculty members up for reappointment must be notified of the decision of the P&T Committee in writing (step F in Table-2A). A decision to not reappoint can be appealed to the dean.

The term of appointment of Assistant Professors and Lecturers prior to the third year of employment may be one, two, or three years. Reappointments after the third year will be for three-year terms. PROV-004 indicates that exceptions to this practice must be approved both in writing and in advance by the provost. For the School of Engineering & Applied Science, such an exception is expected to be an unusual event.

B. Reappointments of Associate Professor, Professor, Senior Lecturer, Distinguished Lecturer and AGF members with ECE |

Reappointments of Associate Professors, Professors, Senior Lecturers and Distinguished Lecturers will follow the same reappointment policy as AGF with Expectation of Continuous Employment except for the timing of the review. The reappointment review for these AGF members is based on the past annual performance reviews revealing a high level of performance. These AGF shall not be asked to provide materials for review beyond those included in the usual annual review process. The reappointment process is based on the review, and on the school requiring the faculty member's particular skills (see PROV-004). This reappointment review will be conducted by the departmental chair and follow a timeline shown in Table-2B.

1. The reappointment review of AGF Associate Professors, Professors, Senior Lecturers and Distinguished Lecturers without Expectation of Continuous Employment (ECE) will occur in the third year of their three-year appointment, with reappointment immediately after completion of their third year.
2. The reappointment review of AGF with ECE will occur in the second year of their three-year appointment, with reappointment before the start of the third year as described in PROV-004, section IX.E.

All AGF faculty who hold three-year appointments, whose appointment will not be

renewed, are entitled to twelve months of employment following that notice (see PROV-004, section IV for further details).

Action	Taken by	For Fall review	For Spring review
A. Request for materials from candidate	Chair	No later than August 25th	No later than January 25th
B. Submission of materials by candidate	Candidate	No later than October 25th	No later than March 25th
C. Chair's recommendation to the dean	Chair	No later than November 25th	No later than April 25th
D. Dean's decision to renew or not-renew (decision to not renew requires approval of the provost).	Dean		
E. Candidate informed of reappointment decision	Chair or designee	No later than December 1st	No later than May 1st
F. Official offer letter	Dean	As soon as HR provides necessary information	As soon as HR provides necessary information

Table-2B Reappointment timeline for Associate Professor, Professor, Senior Lecturer, Distinguished Lecturer and AGF members with ECE

C. School of Engineering & Applied Science P&T Committee Level Critique

Assistant Professors and Lecturers (and AGF whose first UVA hire was at the level of Associate Professor or Senior Lecturer) planning to go up for promotion in 1–3 years can submit a letter of intent to their chair requesting that their dossier be critiqued by the Department P&T Committee and the School of Engineering & Applied Science P&T Committee. This critique can be in the same cycle as the faculty member's reappointment process (in which case the Department P&T Committee will also perform a reappointment review), but it can also be out of cycle (in which case there is no reappointment review). The P&T Committee critique should analyze the potential for

promotion and provide guidance to the faculty member as to the perceived strength of the current dossier along with recommendations for improvement. The critique process is therefore similar to that for reappointment of tenure-track Assistant Professors after their third year. However, the P&T Committee's role is advisory, and not part of the reappointment *approval* process. As with tenure-track Assistant Professors, this School of Engineering & Applied Science P&T Committee critique is performed only once per faculty member. The School of Engineering & Applied Science P&T Committee level critique will follow the same timeline as described below for promotions in Section III, though the dean should deliver the committee's comments to the chair and candidate by the end of March.

III. Promotions

Academic General Faculty holding the rank of Assistant Professor or Lecturer may choose to be considered for promotion after serving six continuous years; per PROV-004 they may also choose to defer their promotion consideration until a later year. AGF may also be nominated for early review, just as tenure track faculty may undergo early review. The criteria for reappointment and promotion will be primarily based on the level of excellence in the focus areas of faculty activities described in Section I. Minimum allowed effort allocations for the different AGF positions is shown in Table-4. Promotion decisions should be based on the extent and impact of the varied contributions the candidate has made to the School of Engineering & Applied Science and UVA. The cases of Academic General Faculty, like those of Tenure Track and Tenured Faculty, will be held to the highest standards, though the criteria will vary according to faculty category and/or track. See Section VI below for additional details on the promotion of AGF members who were hired before the School of Engineering & Applied Science policy 2017.4 was approved. For the School of Engineering & Applied Science, leave time for approved health, family and professional issues will not be considered an interruption of their continuous service. Each promotion case will have a nominator who will write a summary letter to the dean's office for consideration by the School of Engineering & Applied Science P&T committee. The nominator is typically the chair of the department, or the chair's designee. However, in cases of self-nomination, the nominator can be another faculty member or the candidate. The normal annual period for the promotion process follows:

March 15: Academic General Faculty professors and lecturers must send a letter of intent to the department chair by March 15th indicating that the faculty member chooses to be considered for promotion. Academic General Faculty choosing to be considered for promotion after serving six or more continuous years will submit this letter of intent by March 15th.

Spring: The Department P&T Committee starts gathering information about eligible candidates (Assistant Professors and Lecturers who have sent a letter of intent, and Associate Professors with strong records of performance) for promotion. This information will include the Candidate's Dossier (see Appendix A), items 1-7.

Names of possible external letter writers (if applicable) are identified (See Appendix B).

Summer: External letters are requested. The targeted deadline for receiving the letters should be before the first of August (See Appendix B).

September 1: Faculty will have submitted their materials for promotion (to be included in the candidate's dossier - see Appendix A) to the Department P&T Committee by September 1.

Middle of September: The Department P&T Committee meets and reviews all of the material about the candidate, including letters. All faculty members eligible for promotion must be notified of the nominating decision of the Department P&T Committee in writing no later than the middle of September to allow for self-nominations. The chair forwards to the dean the names of candidates whose cases were nominated to go forward with the promotion process. The names of Academic General Faculty professors and lecturers who sent a letter of intent to the department chair to be considered for promotion, but who are not nominated by the Department P&T Committee must also be submitted to the dean along with an explanation of the reasons for the decision. Those candidates have the option to self-nominate.

Early November: The nominator must submit the dossier to the dean's office by the deadline for submission (normally around the first of November) for consideration by the School of Engineering & Applied Science P&T Committee. See Appendix A for information required and format of the dossier.

February 1: The dean delivers recommendations on promotion and tenure to the provost. Each candidate is informed about the dean's recommendation in a timely manner to allow for an appeal.

The promotion dossier will be similar to the tenure track faculty promotion dossier, except

- where items are not applicable to the particular candidate's track, the subheadings will be used along with the comment "not applicable."
- it should include the portion of the appointment letter defining the duties and expectations of the position.

This dossier will be reviewed and voted on by the School of Engineering & Applied Science P&T Committee using criteria specified below.

A. Early Review

For the School of Engineering & Applied Science, in exceptional cases, candidates may be considered for early promotion, as permitted by PROV-004. Candidates choosing to be considered for early promotion will submit their letter of intent by March 15th of the given year.

B. Professorial Academic General Faculty

1. Assistant Professor Promotion to Associate Professor

For the School of Engineering & Applied Science, promotion to associate professor is based on substantial achievement and excellence. A faculty member is also expected to be emerging as a leader in their departments with leadership roles in service and professional activities. Evidence of scholarship excellence can vary by field and generally includes interactions with students as noted in Section I.

- Academic General Faculty Members on the research track have emphasis of evaluation in the primary focus area of “Disciplinary Scholarship”, and will also be evaluated on “Service.” If the faculty member engaged in other Areas of Faculty Activities, as indicated in their appointment letter, those areas will be evaluated as well. Faculty on the research track must establish a substantial record of research scholarship and service leadership with a strong regional and growing national reputation.
- Academic General Faculty Members on the teaching track have an emphasis of evaluation in the primary focus area of “Teaching” and will also be evaluated on “Service” and “Scholarship.” Faculty on the teaching track must have attained a local or regional reputation as a superior educator.
- Academic General Faculty Members on the practice track are not hired at the Assistant Professor level in the School of Engineering & Applied Science.

The promotion dossier for an Associate Professor candidate requires at least eight external letters to be requested and at least six letters submitted (Appendix B). The candidate will submit a list of external references, and the nominator will select at least four from the candidates list, and add at least an additional four external references, chosen to obtain a balanced and objective evaluation of the candidate.

2. Associate Professor Promotion to Professor

For the School of Engineering & Applied Science, promotion to professor is based on a high level of sustained achievement and excellence and substantial scholarship. Evidence of scholarship excellence can vary by field. A faculty member is also expected to be a leader in their department and school with leadership roles in service, and also strongly engaged in professional activities. There is no limit on the number of candidates a department can nominate in a year.

- Academic General Faculty Members on the research track have emphasis of evaluation in the primary focus area of “Disciplinary Scholarship”, and will also be evaluated on “Service.” If the faculty member engaged in other Areas of Faculty Activities, as indicated in their appointment letter, those areas will be evaluated as well. Faculty on the research track must have established a substantial record of research scholarship and service leadership with a strong national and growing international reputation.

- Academic General Faculty Members on the teaching track have an emphasis of evaluation in the primary focus areas of “Teaching” and will also be evaluated on “Service” and “Scholarship.” Faculty on the teaching track must have attained a strong regional, national, or international reputation as a superior educator, as well as a strong level of continued service to the university.
- Academic General Faculty Members on the practice track have an emphasis on integrating professional practice with one or more aspects of the university’s academic mission. Specific areas of focus will vary by position, and should be specified in the faculty member’s appointment letter. A strong level of internal and/or external service is expected. Faculty on the practice track must have established recognition for regional, national, or international achievements in their relevant professional field(s).
- Failed promotion review to Professor is not itself evidence of inadequate performance for future annual reviews or reappointments.

The minimum effort allocation basis in teaching, scholarship and service for promotion of professorial AGF members is shown below in Table-3 (see School of Engineering & Applied Science policy 2017.7, Table-4)⁴.

	Teaching	Scholarship	Service
Professorial Teaching Track	minimum 60% (higher if stated in the appointment letter)	minimum 10% (higher if stated in the appointment letter)	minimum 10% (higher if stated in the appointment letter)
Professorial Research Track	minimum 0% (higher if stated in the appointment letter)	minimum 60% (higher if stated in the appointment letter)	minimum 5% (higher if stated in the appointment letter)
Professorial Practice Track	as stated in the appointment letter	as stated in the appointment letter	minimum 5% (higher if stated in the appointment letter)

Table-3 Effort allocation basis for promotion evaluation of professorial AGF members

⁴ The actual percentages can be adjusted outside of these ranges with permission of the Provost in special cases.

The promotion dossier for a candidate Professor requires at least eight external letters to be requested and at least six letters submitted (Appendix B). The candidate will submit a list of external references, and the nominator will select at least four from the candidates list, and add at least an additional four external references, chosen to obtain a balanced and objective evaluation of the candidate.

C. Lecturer Academic General Faculty

1. Lecturer Promotion to Senior Lecturer

For the School of Engineering & Applied Science, promotion to Senior Lecturer is based on demonstrated excellence in education. Lecturers have an emphasis of evaluation in the primary focus area of “Teaching.” If the faculty member engaged in other Areas of Faculty Activities, as indicated in their appointment letter, those areas will be evaluated as well.

The promotion dossier for a Senior Lecturer candidate requires at least six letters to be requested and at least four letters submitted (Appendix B). All may be internal to the university, though at least two must be from outside of the candidate’s department. The candidate will submit a list of internal and/ or external references, and the nominator will select at least three from the candidates list, and add at least an additional three, chosen to obtain a balanced and objective evaluation of the candidate.

2. Senior Lecturer Promotion to Distinguished Lecturer

For the School of Engineering & Applied Science, promotion to Distinguished Lecturer is based on a high level of sustained excellence in education and substantial service. There is no limit on the number of candidates a department can nominate in a year. Senior Lecturers have an emphasis of evaluation in the primary focus area of “Teaching,” and will also be evaluated on “Service.” If the faculty member engaged in other Areas of Faculty Activities, as indicated in their appointment letter, those areas will be evaluated as well. For the School of Engineering & Applied Science, promotion to Distinguished Lecturer requires external reputation. Failed promotion review to Distinguished Lecturer is not itself evidence of inadequate performance for future annual reviews or reappointments.

The minimum effort allocation basis in teaching, scholarship and service for promotion of lecturer AGF members is shown below in Table-4⁵.

⁵ The actual percentages can be adjusted outside of these ranges with permission of the Provost in special cases.

	Teaching	Scholarship	Service
Lecturer	minimum 60% (higher if stated in the appointment letter)	minimum 0% (higher if stated in the appointment letter)	minimum 0% (higher if stated in the appointment letter)
Senior Lecturer	minimum 60% (higher if stated in the appointment letter)	minimum 0% (higher if stated in the appointment letter)	minimum 10% (higher if stated in the appointment letter)
Distinguished Lecturer	minimum 60% (higher if stated in the appointment letter)	minimum 0% (higher if stated in the appointment letter)	minimum 10% (higher if stated in the appointment letter)

Table-4 Effort Allocation basis for promotion evaluation of lecturer AGF members

The promotion dossier for a Senior Lecturer candidate requires eight letters. At least two letters must be external. Up to six letters may be internal, of which no more than three may be from faculty within the candidate's department. The candidate will submit a list of internal and external references, and the nominator will select three internal and one external from the candidates list, and add an additional four, chosen to obtain a balanced and objective evaluation of the candidate.

IV. Procedures for Reappointment and Promotion

A. External Promotion Letters

A description of external letters for promotion is found below in Appendix B.

B. Promotion and Tenure Committees

The description of the School of Engineering & Applied Science P&T Committees is found in a separate document: School of Engineering & Applied Science Promotion and Tenure Committees Policy. The School of Engineering & Applied Science Promotion and Tenure Committees Policy is a document that is common to both the School of Engineering & Applied Science Promotion Policy for Academic General Faculty, and the School of Engineering & Applied Science Promotion and Tenure Policy for Tenure Track and Tenured Faculty.

V. School of Engineering & Applied Science Policy on Expectation of Continued Employment (ECE)

Faculty hired prior to January 3, 2017 are eligible for Expectation of Continued Employment per PROV-004. Faculty who are eligible for ECE, and choose to be reviewed, should be reviewed prior to the conclusion of their fifth year of continuous employment (as stated in PROV-004). Faculty choosing not to be reviewed at that time must become ECE ineligible by submitting a letter as documented in PROV-004 IX.D. Since the ECE review process normally occurs in the 5th year, while the promotion evaluation to Associate Professor or Senior Lecturer normally occurs in the 7th year or later, and because PROV-004 does not state that the granting of ECE also grants promotion, for the School of Engineering & Applied Science, ECE and promotion reviews are not connected.

A. ECE Review Process

The ECE review process will involve the following process and criteria.

1. The candidate's ECE dossier will consist of annual faculty reports, peer evaluation reports, the candidate's CV, a candidate's research and/or teaching statement, service statement (if applicable), appointment letter(s), and a nominator letter (no more than five pages). External letters will not be requested as part of the ECE dossier.
2. The criteria for obtaining ECE are
 - i. The faculty member's annual performance reviews affirm that their performance remains at a high level
 - ii. The faculty member is engaged in each Area of Faculty Activity (see School of Engineering & Applied Science policy 2017.4, section I) indicated in their appointment letter, with emphasis on each proportional to their assigned percentage of effort.
 - a. For Assistant Professors, evidence of scholarship is emerging and suggestive of a future active level of scholarship. Evidence and type of scholarship can vary by field and track and may include interactions with students, as noted in Section I of the School of Engineering & Applied Science policy 2017.4.
 - b. If Teaching is included, evidence of teaching excellence is emerging and suggestive of a future of effective, exemplary instruction.
 - c. If Service is included, an active level of service is expected. Leadership in service is not a requirement for ECE, but meaningful contribution is. Some evidence of service outside of the AGF faculty member's department is expected (this could be realized by service outside of the University).
 - iii. Given the record of performance from the candidate's dossier is strong, is there reason to expect that the faculty member appointment would be renewed in future years?

3. The Department P&T Committee will review the ECE case and its vote will be recorded and included in the ECE dossier. If the vote is affirmative, and if the department chair concurs, the chair will submit the dossier to the dean's office along with their letter of recommendation. The School of Engineering & Applied Science P&T Committee will next examine the ECE case and its vote will be included in the ECE dossier. If the dean chooses to recommend reappointment with ECE, the dean will then submit a recommendation to the provost that the faculty member be reappointed with ECE. As per PROV-004, "the award of ECE requires the affirmative written approval of the provost; absent such written approval, the faculty member does not serve with ECE."
 - i. If the provost decision is to approve ECE, and the review takes place in the fifth or sixth year of employment, then AGF members serve with ECE with the first reappointment after the sixth year of employment.
 - ii. If the provost decision is to approve ECE, and the review takes place after the sixth year, then ECE takes effect with the next reappointment.
 - i
 - iii. If the department ECE review is not positive, or if the chair does not recommend ECE, or if the dean does not recommend ECE, or if the provost does not approve ECE, notice of non-reappointment, or the intention not to recommend reappointment, must be given in writing using the processes defined in PROV-004, section IV, B and C. The school may not re-appoint that faculty member to the same position.

B. ECE Review Timeline

The ECE review process should follow the timeline given in Table-5 which shows a fall review schedule (for a spring decision). If agreed upon by the dean and the provost office for special cases, a spring review schedule can also be used.

Action	Taken by	ECE Review
A. AGF faculty member notification to department chair of intention to undergo ECE review	Candidate	No later than August 1
B. Chair request for materials from Candidate	Department Chair	No later than August 15th
C. Submission of materials by candidate	Candidate	No later than September 15th

D. Department P&T Committee ECE review and vote. If the vote is affirmative, then the Department Chair evaluates the case	Department P&T Committee	No later than October 15th
E. If the Chair recommends ECE, Chair's recommendation to the dean	Department Chair	No later than November 1
F. School of Engineering & Applied Science P&T Committee evaluates the ECE case, and vote	School of Engineering & Applied Science P&T Committee	No later than January 15th
G. If the Dean recommends ECE: Dean's letter to the Provost	Dean	No later than February 1
H. The award of ECE requires the written approval of the Provost: Provost recommendation	Provost	Typically in the spring
I. ECE is only awarded with the affirmative written approval of the provost.		

Table-5 ECE review timeline for AGF

C. The Reappointment and Contract Non-Renewal of faculty with ECE

1. Reappointment of faculty with ECE
See Section II.B.
2. Contract Non-Renewal of faculty with ECE
The language of PROV-004 is specific on the timeline for the process of warning and non-renewal of an AGF with ECE. Notably, section 9.E states “At any time, if the annual performance review reveals that the faculty member’s performance is not at a high level, the school will provide written guidance regarding concerns about performance and stipulate that future reappointments are contingent upon significant improvement in performance.” Such warnings are therefore triggered by a deficient annual review.

In contrast, the provost PROV-004, II.E and III.F policy on non-renewal of faculty without ECE states if “The faculty member’s performance falls below the high standards required by the school: At any time, or if the annual performance review or interim evaluations reveal that, the faculty member’s performance is not at a high level, the school will provide the faculty member with written guidance that documents the deficiencies in performance, stipulates that future reappointments are contingent upon significant improvement in performance...”

Such warnings can therefore be triggered at any time for AGF members without ECE.

VI. Transitioning to this Policy

A. Gap between ECE policies

If a faculty member should have begun their ECE review between PROV-004 taking effect in January 2017 and this amended the School of Engineering & Applied Science 2017.4 policy becoming effective in 03-05-2019; and if that faculty member did not go up for review during that time and did not voluntarily waive their right to review per PROV-004 IX.D; then that faculty member may opt to go up for ECE review under this 03-05-2019 amended the School of Engineering & Applied Science 2017.4 policy. Such effected faculty must notify their chair of their intention to undergo ECE review no later than August 1, 2019.

B. AGF professors in the teaching track

If an AGF professor in the teaching track is being reviewed for promotion, and the faculty member was employed in their current position prior to the School of Engineering & Applied Science 2017.4 policy becoming active on August 8, 2017, they will be reviewed for scholarship according to the scholarship effort allocation in their appointment letters (if no effort allocation is noted in their appointment letters, then they will be reviewed according to their scholarship allocation in their annual reports). For employment after this date, they will be reviewed with the expectation of a minimum 10% performance in scholarship (or higher if found in their appointment letters).

C. Promotion reviews after job retitling

In 2017, some AGF members had their title changed into a professorial track as part of the changing definitions of tracks associated with the adoption of PROV-004. When such faculty come up for promotion, the candidate can choose to have their combined time before and after retitling considered together as all being part of the same position.

VII. Guidelines for Senior Leadership Hires

For hires into senior leadership positions, the evaluation should take evidence of leadership into account, and typical rank and tenure expectations regarding teaching, service, and scholarship should be adjusted in light of prior leadership roles and the responsibilities those roles entail.

Appendices

Appendix A. Candidate's Dossier

The following candidate's dossier is required for reappointment cases of Assistant Professors and Lectures (see sections II.A and II.B) and for all critique (see section II.C) and promotion cases (see section III). Each AGF member may exclude those elements in the dossier that are not applicable to the particular candidate's track and hiring description; such exclusions will not be counted against the faculty member. A summary of the most recent appointment letter, describing the faculty member's specific duties, will be included in the dossier.

The dossier content and format outlined here applies to both promotion (see section III) and critique (see section II.C). It is both the candidate's and the nominator's responsibility to accurately present the case, including all pertinent evidence to support the promotion.

The dossier must adhere to the following organization; all items are required of all candidates unless otherwise noted:

1. Nominator's Letter (no more than 5 pages). The nominator's letter will discuss the candidate's accomplishments in research, teaching, and service/leadership. In addition, the letter will also include (i) a discussion of the candidate's annual reviews (both those from the Peer Review Committee and the Chair) since the time of the candidate's reappointment or last promotion, and (ii) in the case of promotion cases, the vote and recommendation of the Department P&T Committee.
2. Candidate's Research Statement (no more than 3 pages); not required for lecturers. This statement should describe the candidate's research and should give the reader insight into the candidate's work and its significance. It should provide context, including the impact of the research within the candidate's field/fields and beyond.
3. Candidate's Teaching Statement (no more than 3 pages); not required for faculty on the research or practice tracks. This statement should describe the candidate's teaching philosophy, goals, strategies, successes and innovations. The candidate should give a critical assessment of teaching experience and methods, which should be framed by discussion of successes and failures. The statement should also discuss any actions taken to improve teaching and the results. Any evidence of commitment to diversity, under-represented minorities and women in STEM fields through teaching, research, mentoring, outreach, and program development will be included. The candidate's future approach and plans in teaching should also be included.
4. Candidate's Service, Leadership and Diversity Statement (no more than 2 pages). This statement should describe the candidate's efforts in service, leadership and diversity and their impacts. This description includes service, leadership and diversity both within and beyond the university.
5. Candidate's Complete Curriculum Vitae. The CV should include the following items, each

organized in a reverse chronological order:

- a. Starting date (including year and month) of UVA professional appointments and previous professional employments.
- b. The date and place of undergraduate and graduate degrees and postdoctoral training.
- c. Honors and awards received.
- d. A list of publications and scholarly work (not required for lecturers) separated into categories: archival peer reviewed journal articles, archival peer reviewed conference proceedings, books, book chapters, and other categories as appropriate:
 - Each publication listing must include the complete list of authors, with student coauthors advised by the candidate underlined and the candidate's name in bold, title of publication, name of the Journal/Conference, date of publication, page numbers/article number and the impact factor of the journal.
 - For conference papers, the selectivity/impact of each paper should be given, for example, by giving the acceptance rate of the conference.
- e. The candidate's h-index and citation count (not required for lecturers), according to Google Scholar, Web of Science or some other citation organizations.
- f. A list of graduate students (not required for lecturers) directed or being directed (separated into Doctoral, Master's of Science, and Master's of Engineering), their status, including year of the most recent major milestones (qualifying exam, proposal, projected defense date), and the placement of the students after graduating.
- g. A list of undergraduate student researchers (not required for lecturers) who were involved in a significant manner in the candidate's research with or without a thesis.
- h. A list of visitors and postdoctoral fellows supervised, if any.
- i. A list of external research grants and contracts, including proposals currently under review (not required for lecturers). The listing must include the name of the sponsoring institution, the amount of the award, the duration of the award (including years and months), the candidate's role (e.g., PI, Co-PI and Senior Personnel), and the amount of total funding and the amount targeted for the candidate.
- j. A list of presentations organized by keynote and invited presentations, with the inviting organizations and institution/department and date indicated.
- k. A list of issued patents, filed patents and disclosures and formal copyrights awarded or pending (not required for lecturers).
- l. A list of internal service/leadership performed since joining UVA. Service will be categorized as Department, School, or University.

- m. A list of professional services, identifying leadership roles in service assignments such as conference organizer roles and journal editorial board.
6. Lists of and links to three (or five in the case of promotions to full professors) publications or other scholarly contributions that candidates consider their most significant work; the impact of these selected publications should be discussed in the candidate's letter (not required for lecturers).
7. A Teaching Portfolio (not required for research or practice track) consisting of the following:
 - a. A chart or list of every course taught at UVA since coming to UVA or since the last promotion at UVA. The listing for each course will include the course number and title, the number of students enrolled, and the overall course and instructor ratings and the response rate on the student evaluations.
 - b. A complete set of student evaluations including student comments of each course taught at UVA.
 - c. Additional materials that helps to document the candidate's accomplishments in teaching, advising, and mentoring students.
8. Peer evaluation letters (See Appendix B), of a number and type outlined for each promotion path in Section III. For reappointment, letters are not needed.
9. Student letters. Four letters from graduate and/or undergraduate students will be included.
10. Annual chair evaluations, Peer Review Committee evaluations, and any P&T evaluations/recommendations since hiring at UVA or since the candidate's last promotion will be included.
11. Signed waiver form (optional under Federal law; if waiver form is not signed, the letter writers will be so notified).

The dossier must follow the above outline, in the order specified above, and include the subheadings identified above. Where items are not applicable, the subheadings will be used along with the comment "not applicable." Instructions for the construction of the electronic dossier are to be provided by the Dean's Office. The nominator must insure that the candidate's dossier for promotion is complete and up-to-date when forwarded to the dean.

The School of Engineering & Applied Science P&T Committee accepts a one-time update to the dossier, if necessary. This update should be delivered no later than the end of the third week of November, and will only contain factual information such as acquisition of new funding, newly accepted publications, and specific examples of professional recognition.

Appendix B. External Letters

When soliciting letters, the instruction sent to letter writers should clearly emphasize the nature and requirements of the General Faculty position, duties and promotion. International letters are not required for Academic General Faculty. Details regarding letters for promotion of lecturers are found in Section 2.B above. The instruction set to letter writers should clearly emphasize the nature and requirements of the Academic General Faculty position and promotion and include links to the School of Engineering & Applied Science policy documents on Academic General Faculty.

1. Template for initial (email) ask (External):

<Date>

To: <email address>

Subject: Request for Evaluation

Dear Professor YYY,

<Professor/Lecturer X> is being considered for promotion to <Associate Professor/Professor Senior Lecturer/Distinguished Lecturer > as an Academic General Faculty member (tenure-ineligible) in the Department of XXX at the University of Virginia. Promotion decisions are very important to the department, school, and university. An important part of our evaluation will be based on letters from experts such as yourself in <Professor X's field/teaching>. I am writing to find out if you would be available and willing to review <Professor/ Lecturer> X's accomplishments. The evaluation letter would be due by xx xx, 20xx.

I hope you are available to write the evaluation, and I would greatly appreciate your letting me know in the next two weeks if you are able to do so. If you are available, I will send further instructions and copies/link of <Professor/ Lecturer> X's material.

Sincerely,
etc...

2. Template for formal requested letter

Dear Professor YYY,

Thank you for agreeing to write a letter evaluating the work of Academic General Faculty <Professor Teaching-Track/Research-Track/ Lecturer> X as < he/she > is being considered for promotion to Academic General Faculty <Associate Professor/Professor Senior Lecturer/Distinguished Lecturer>. Please note that X is not a tenure-track faculty member and is

not being considered for tenure. You can access the Promotion Policies for Academic General Faculty of the School of Engineering and Applied Science at the University of Virginia (UVA) by clicking on the link so that you can review the criteria for promotion in UVA's School of Engineering and Applied Science for non-tenure-track faculty.

To assist you in writing this evaluation, I <have enclosed/provided links to> the following materials: Professor/Lecturer X's Curriculum Vitae and research/teaching statements and most recent appointment letter. If you have any questions or would like additional materials, please let me know. To the extent possible, please include the following in your letter of evaluation:

- A brief statement describing the context of your knowledge of <Professor/ Lecturer> X
- An evaluation of Professor/Lecturer X's performance in their areas of faculty activities (refer to Section I in the School of Engineering & Applied Science Promotion Policy for Academic General Faculty document, and to the candidate's appointment letter) <for professorial cases only, include the following phrase> and achievements and impact on <for teaching track include: education in> his/her field, An indication whether Professor/Lecturer X should be promoted to <Associate Professor/Professor in the research-track/research-track/ Senior Lecturer/Distinguished Lecturer> based on the criteria of UVA's School of Engineering and Applied Science.

Although you may not be familiar with Professor X's research/teaching and research/teaching and service, we would be grateful if you would share any comments that you have on these activities.

In order to meet the School and University deadlines, I will need your letter by <Date>.

Please note that, under University of Virginia policy, the identity of authors of letters of evaluation that are included in the personnel review files are to be held in confidence. Professor X has signed the form to waive his/her right to access letters of reference. To the extent permitted by law, we will treat your response as confidential and make it available only to those involved in the review process.

The Department is aware that requests such as this are time-consuming, and I am very grateful to you for taking on this task. If you have any questions, or will have any difficulty responding in time, please call me at 434 -xxx-yyyy or send e-mail to <ZZ@virginia.edu>.

Thank you for agreeing to do this. I look forward to hearing from you.

Sincerely,
etc...

3. Template for requesting letters from students

Dear <student name>,

The Department of XXX is considering the promotion of Academic General Faculty X to Academic General Faculty <Associate Professor/Professor/Senior Lecturer/Distinguished Lecturer >. Part of the process requires letters from students whom <Professor/ Lecturer> X has interacted with, including as a teacher, mentor, research adviser, interest group adviser, etc. We are interested in learning about your experience with <him/her> and the impact on your education, professional and personal development, and goals. Where applicable, please address <Professor/ Lecturer> X's demonstrated ability to provide timely feedback, communicate clear expectations, explain complex concepts, and treat students fairly.

I am writing to ask if you would be willing to write a letter for <Professor/ Lecturer> X. I would like to receive the letters no later than <October 1 or DATE>. If you are able write such a letter, please let me know by replying to this email at your earliest convenience.

I realize that requests such as these represent an imposition on your valuable time and will indeed be grateful if you are willing to assist us in this important review process. If you need any other information, please let me know. Thank you in advance for your consideration, and I look forward to hearing from you.

Regards,
etc...

Effective Date: This policy was voted upon and approved unanimously by the School of Engineering & Applied Science Leadership Council on 8 August 2017. The policy is effective as of 8 August 2017.



William Epling, Chair
School of Engineering & Applied Science Leadership Council

8 August 2017