College of Engineering Guidelines for the Promotion and/or Tenure of Faculty
For P&T Deliberations Occurring During the 2023-24 Academic Year

Revision/Review Date: 5/23/2023

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A.   Introduction

This document states the college-level guidelines for review of promotion and/or tenure requests within the College of Engineering (COE). These guidelines apply to tenure and promotion procedures for the following faculty tracks:

- Tenured and Tenure-Track Faculty (i.e. Teaching and Research Faculty)
- Collegiate Faculty
- Professors of Practice
- Instructors
- Research Faculty: Professorial Ranks

All other faculty and employee categories should follow the guidelines for internal promotions posted on the Human Resources website:

- https://www.hr.vt.edu/hiring-employee-transactions/transactions/promotion-internal.html

This document does not supersede requirements presented in the Faculty Handbook or posted by the University via the Provost's Office. Faculty should reference the following resources to understand all

policies that affect tenure and promotion decisions:

University-Level Guidance:
- The Faculty Handbook (https://faculty.vt.edu/faculty-handbook.html)
- The Provost's Website on Promotion and Tenure (https://faculty.vt.edu/promotion-tenure.html) containing promotion and tenure resources specific to the different faculty tracks.

College-Level Guidance:
- The COE Guidelines for Promotion and/or Tenure of Faculty (this document), describing the procedures for college-level review of tenure and promotion requests and the requirements that extend across all departments and faculty within COE. Particular attention should be given to section D of this document: *Appendix – Additional Guidance for Dossiers*
- The COE Website on Promotion and Tenure will serve as the location to post the COE Guidelines and any other college-specific resources for the P&T process. (https://eng.vt.edu/faculty-staff-resources/promotion-and-tenure-resources-for-coe-faculty.html)

Department-Level Guidance:
- Department-specific Guidelines for Promotion and/or Tenure describing the procedures for department-level review of promotion and/or tenure requests and any requirements that are unique to a candidate's department. Candidates should consult with their Department Head for copies of the correct department guidelines.

Relation of these Guidelines to the College Mission
The College Mission: Anchored by our land-grant identity and the university's motto Ut Prosim (That I May Serve), the College of Engineering educates and inspires students to be critical thinkers, innovators, and leaders. We create new knowledge, technologies, and sustainable solutions that address complex social and technical challenges.

Promotion and tenure expectations are related to faculty responsibilities that enhance this mission:
- Scholarship and research to create new knowledge, technologies, and sustainable solutions that address complex social and technical challenges;
- Teaching and advising to inspire students to be critical thinkers, innovators, and leaders; and
- Service in a variety of ways: internal contributions to the function of the university, external service within one's profession, and outreach to the community.

B.   Guidelines for Evaluation of Promotion and Tenure Requests

1. Committee Responsibilities and Membership
   The College of Engineering (COE) Promotion and Tenure (P&T) Committee is responsible for:
   - College-level review of:
     - Requests for promotion and/or tenure of the tenured and tenure-track faculty
     - Requests for promotion or reclassification[1] of non-tenured faculty in the following

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[1] Reclassification includes situations in which faculty request to switch from one faculty track to another, even when moving into a parallel or lesser rank. Examples include reclassification from Research Scientist to Research Assistant

faculty tracks:
- ▪ Collegiate Faculty
- ▪ Professors of Practices
- ▪ Instructors
- ▪ Research Faculty (primary appointment with an Academic Department)[2]
  - ○ Requests for initial appointment with tenure at associate or full professor rank
  - ○ Sanctions resulting from an unsatisfactory Post-Tenure Review (procedures covered under Section 3.5.4 of the Faculty Handbook)
- ● Creation and maintenance of the college-level guidelines for promotion and tenure
- ● Other tasks associated with promotion and/or tenure as requested by the Dean

The COE P&T Committee is a standing committee consisting of the following membership:

A. *Voting Members (25 total):*
- ● The 11 heads of the regular departments within COE and the Director of the Myers-Lawson School of Construction (12 total)
- ● Faculty representatives from each of the 11 regular departments plus one faculty from the Myers-Lawson School of Construction to be selected by a method of the department or school's choosing. All faculty representatives must be tenured. In the event that a faculty member becomes unable to serve on the college committee, the member's home department or school is responsible to select another qualified faculty to serve.
- ● A faculty representative selected by the Engineering Faculty Organization (EFO) who should be a tenured, full professor, not already serving as a department head or on a departmental P&T committee.

B. *Ex-Officio Members:*
- ● The college Dean and all Associate/Assistant Deans may serve as ex-officio members to advise the committee, facilitate the work of the committee, and participate in general discussions, but may not vote and may not be in attendance when final committee deliberations and voting occur.
- ● In accordance with Section 3.4.4.2 of the Faculty Handbook, the college representative to the University P&T Committee serves as a non-voting member. Selection of college representatives to the University P&T Committee is governed by Section 3.4.4.3 of the Faculty Handbook.

C. *Committee Chair:*
- ● A committee chair shall be elected from among the voting members of the committee at the start of each fall semester. The committee may also elect a co-chair to assist the chair. When a co-chair is elected, that person must be a voting member and must be from a

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Professor or reclassification from Assistant Professor of Practice to Collegiate Assistant Professor. Reclassification into a tenure/tenure-track position is not allowed. That can only occur through a formal search. Reclassification requests must occur within the normal P&T timeline. The candidate should use the dossier template appropriate for the faculty track they wish to transition to and all guidelines and expectations for that rank and track shall be applied.

[2] These guidelines apply to Research Faculty appointed primarily with an academic department. Research Faculty appointed primarily with a non-academic unit such as a research center should follow the review process described in the University Guidelines for Promotion of Research Faculty, Section II - C.2.

different department than the chair.
- The chair shall coordinate with the Dean's Office on the following tasks:
  o Ensuring that dossiers are available for committee review and that meeting dates are communicated to the committee members.
  o Delegating note-taking assignments to committee members.
  o Organizing subcommittees or special review committees for review of non-tenure promotion cases and initial appointments of higher rank candidates (see section B.1.E below).

Since the committee's review process should be independent from the Dean, the chair has final decision authority on all of these tasks.

D. *Subcommittees and Special Review Committees:*
- Subcommittees of the College P&T Committee may be formed for review of initial appointment of new faculty hires to positions with tenure. Such subcommittees will include at least three members with the majority of members to be faculty representatives. No members of the subcommittee may be from the department where the appointment will occur. The subcommittees must be at an equivalent rank of proposed appointment or higher (e.g. for appointment at the rank of Associate Professor with tenure, all subcommittee members must be at least an Associate Professor rank with tenure).
- Review of non-tenure-track faculty appointment and promotion requests shall be conducted by a subcommittee of the College P&T Committee, a special review committee, or some combination thereof. The members of non-tenure-track review committees must satisfy the following requirements:
  o No voting members may be from the candidate's department. However, the subcommittee must always consult with the Department Head and/or faculty representative from the candidate's department when questions arise concerning a review case.
  o One member should be a tenured faculty voting member of the College P&T Committee.
  o The other members must either be members of the College P&T Committee <u>or</u> selected from the same faculty track at the same rank or higher as that requested for appointment or promotion (e.g. for a promotion request to Associate Collegiate Professor, members of the college-level review committee must either be from the College P&T Committee or recruited from COE Collegiate Faculty who have achieved the rank of Associate Collegiate Professor or Collegiate Professor).
- The minimum size of a review subcommittee is three members. In such cases where a three-member subcommittee arrives at a non-unanimous vote on a candidate, the following procedure will be followed:
  o A meeting of the subcommittee will be convened to discuss the differences in vote. As appropriate, representatives from the candidate's department will be invited to participate in the discussion and provide additional information. The meeting will be convened and facilitated by the Chair or Co-Chair of the P&T Committee or an ex-officio Associate Dean. Voting members of the subcommittee will be provided a chance to change their vote.
  o When a meeting of the subcommittee does not resolve the vote differences, at least two additional members will be added to the subcommittee to increase the total vote to five.

- Subcommittee members serve voluntarily. When a solicitation for volunteers does not produce the required members or when disparities in volunteer service are determined, the chair or co-chair have the authority to designate subcommittee members from among the voting members of the full college committee.

2. Identification of Candidates.
   Candidates for promotion and/or tenure of all faculty tracks (tenured and non-tenured) are identified by the home department or school of each candidate and communicated to the Chair of the COE P&T Committee by the end of the first week of September of each year.

3. Dossier Preparation
   Candidate dossiers shall conform to the university dossier templates posted on the Provost's website at https://faculty.vt.edu/promotion-tenure.html and the supplementary guidelines stated in Section D of this document, *Appendix - Additional Guidance for Dossiers*.

   The candidate is responsible for preparing the dossier. Departments shall provide assistance in the form of a mentor to guide the candidate in dossier preparation or by offering a pre-review of the dossier prior to official submission. Candidates are also encouraged to attend workshops on the P&T process offered by the college and/or university.

   Letters of evaluation are added by reviewers at each subsequent stage of review and become part of the dossier. As the time between submission of the dossier for external review and college-level review often takes several months, an opportunity will be provided for candidates to submit a brief update of accomplishments that occurred during the interval when the candidate first submitted the dossier and the passing of the dossier from the Department level to the College level of review. This update will be provided to the Department Head who will then ensure that the updates are noted in their letter. The Department Head may elect to include the updates as an attachment to their letter.

4. External Review of Candidates
   Requirements for external review of dossiers are described in university promotion and tenure guidelines posted on the Provost's website (https://faculty.vt.edu/promotion-tenure.html) and more specifically in Section D, Appendix - Additional Guidance for Dossiers.

   External review is required for all promotion and tenure requests within the tenure-track faculty track and may be required for some non-tenured faculty promotion situations. The Faculty Handbook and applicable university-level, college-level, and department-level guidelines should be consulted to determine when external review is required. To satisfy university expectations, external review is required for the following non-tenured faculty promotions:
   - Promotion to Full Professor of Practice
   - Promotion to Collegiate Associate Professor
   - Promotion to Collegiate Professor (Full)
   - Promotion to Research Associate Professor
   - Promotion to Research Professor (Full)

   Per university requirements, the minimum number of external review letters for non-tenure-track

promotions is four.

At least two reference letters are required for instances of initial appointment with tenure and higher-level rank. This is most commonly acceptable when the candidate had a prior appointment at a peer-level institution at a professorial rank equivalent to that being suggested for the initial appointment in the College of Engineering. In situations where a candidate is being hired from a non-peer institution or in which tenure requires greater justification for any reason, additional letters should be secured (four are recommended). *The comments of external references must address the candidate's suitability for tenure and the rank suggested for initial appointment*.

5. <u>Deliberation, Voting and Committee Recommendation</u>
   Final deliberation of candidate promotion and/or tenure cases shall occur only among the voting members of the committee. The non-voting representative to the University P&T committee may be present to observe. The Dean and Associate/Assistant Deans may not be present for the final deliberations but may be present for initial discussions and consulted by the committee on matters of process, policy, historical precedent, or other general concerns at any time.

   Voting members may not vote on cases from their departments since each has already had an opportunity to vote or make a recommendation on those candidates. However, they may participate in discussions and be present to hear vote results.

   Members who have conflicts of interest with candidates have a responsibility to disclose such interests. The chair may request a member to recuse themselves from voting and participation in discussion of candidates where a conflict of interest exists. The Faculty Handbook explicitly bars faculty members from serving on any committee "evaluating a spouse, family member, or other individual with whom the faculty member has a close personal relationship" (Section 3.4.4). College of Engineering practice has also referred to the individual conflicts of interest list cited by NSF for review panels (see: https://www.nsf.gov/od/ogc/panelist_coi.jsp) under which COE excludes former PhD advisors and significant research collaborators from chairing P&T review committees of candidates or serving as review member depending on the nature and significance of the professional associations with the candidate. Uncertain conflict of interest situations may be taken up for discussion within the committee and determined by vote if necessary.

   Aside from the situations stated above, abstentions in voting are not allowed.

   The procedure for deliberation of tenure-track and tenured faculty cases shall follow these rules:
   - The committee will conduct candidate discussions and votes over at least two groups of meetings. The first group of meetings will be devoted to initial discussion of each candidate. The second group of meetings will be devoted to further candidate discussion as needed and completion of voting on each candidate's promotion and/or tenure request. For each of these meetings, the Dean and Associate/Assistant Deans may be present for the start of these meetings but there must be a time set aside for discussion without the Dean or Associate/Assistant Deans present (the final deliberations) and all voting must be conducted without the Dean or Associate/Assistant Deans present.
   - Prior to the first meeting, the Chair will designate a reader for each candidate who will introduce that candidate during the initial discussion of candidates. The introduction will

state basic information about the candidate (name, department, rank sought, whether or not tenure is sought, whether or not it is a mandatory year for the candidate, etc.) and provide a brief, objective overview of the candidate's accomplishments. The reader for each candidate should not be from the candidate's home department.

- Also prior to the first meeting, the Chair will designate committee members (voting and ex-officio) to take notes on each case for the purpose of composing the letters produced by the committee at the end of this process. Committee members will be assigned specific candidates to track. The Associate/Assistant Deans will help with this task when present but voting members should also be designated to ensure information is recorded during the final deliberations and voting and to finalize versions of each letter.

- Discussion will begin with the candidates for promotion to Professor, followed by candidates for promotion to Associate Professor. Candidates being considered only for tenure will be discussed next. Within categories, candidates will be considered alphabetically by last name. However, two candidates from the same department will not be considered in succession.

- All members of the P&T Committee may participate in discussions, except that the Dean and Associate/Assistant Deans may not participate in the final deliberations. Voting members may not vote on cases from their departments since each has already had an opportunity to vote or make a recommendation on those candidates.

- For those being considered for promotion to Associate Professor, a negative vote for promotion automatically means a negative vote for tenure. The College P&T Committee will not be asked to vote separately for promotion and tenure for these candidates.

- At the conclusion of the first round of discussions, each case will be rated by anonymous electronic poll to determine which cases require further discussion. Substantive comments must be provided with negative ratings to indicate matters that require attention. The results of this process and comments will be read to the committee members before the committee adjourns. Unanimously positive cases do not require additional discussion prior to voting in the second group of meetings.

- For cases that require additional discussion, the second group of meetings will provide an opportunity for the department representatives to provide additional information on each candidate, and for the committee members to ask questions and make comments. The order of discussion will be the same as the first group of meetings.

- At the conclusion of discussion during the second group of meetings, the Chair will excuse the Dean and Associate/Assistant Deans from the meeting. The Chair will then initiate final deliberations for any and all candidates as requested by the committee members.

- Once final deliberations are concluded a vote will be conducted by anonymous ballot for promotion and/or tenure of each candidate. Comments are required for negative votes. Following the vote, the results for each candidate will be read to the committee along with any provided comments. For a candidate to receive a positive recommendation from the committee, a nominee must receive "yes" votes from at least two-thirds of those eligible to vote on that case.

- The chair of the committee will then charge the committee members to finalize letters for each candidate. The letters will be addressed to the Dean and state:
  o A summary of the discussion that occurred with concerns represented by dissenting votes clearly indicated.
  o The division of the vote.

- o The final recommendation of the committee.
- Letters will be placed on a shared drive for all committee members to review and comment on. Following an appropriate review period, the letters will be finalized with the chair or a designated committee member providing the signature for each letter.

Candidates for promotion within the non-tenure track faculty tracks (e.g. instructors, research faculty, professors of practice, collegiate faculty, etc.) will be considered separately by a subcommittee of the COE P&T Committee, a special review committee, or some combination thereof. The subcommittee shall be convened by the COE P&T Committee Chair or an ex-officio member of the Dean's Office in coordination with the Chair.

Committee members are reminded that these deliberations are strictly confidential. As such, the content of the conversations and the results of votes, should not be discussed with persons not serving on the College P&T Committee and especially should not be discussed with the candidates for promotion and/or tenure. Section 3.4 of the Faculty Handbook reaffirms this requirement.

6. <u>Time Line</u>
   Department P&T committees are responsible for determining and publishing the timeline of their P&T review process. This information will include:
   - the date that the dossier must be submitted by candidates;
   - the dates when external letters are solicited and requested to be returned;
   - the date(s) when the department committee will convene to review candidate dossiers;
   - the date when the department committee must complete their letters summarizing the results of their reviews and submit those to the Department Head;
   - the date when the Department Head must complete their reviews and submit letters summarizing the results to the COE Dean's Office; and
   - any dates at which the candidate should notify the Department Head of further accomplishments completed since the time of first dossier submission.

   The general academic year timeline for work by the College P&T Committee is:
   - June, 1st week – Guidelines for the next academic year shall be distributed to the College P&T Committee. (JUNE 5-9)
   - September, 1st week – Charge meeting. Department representatives will indicate approximately how many candidates should be expected for review. Important changes in process will be presented and discussed. (SEPT. 4-8)
   - December, 2nd week – Departments will provide a final list of all candidates for promotion and/or tenure including tenured, tenure-track, and non-tenure-track faculty. Dossiers due to the Dean's Office for review of format and completeness. (DEC. 11-15)
   - December, 3rd week – The list of all candidate cases will be distributed to the College P&T Committee and dossiers will be made available on a shared drive. (DEC. 18-22)

   Tenured and Tenure-Track Promotion and Tenure Reviews:
   - January, 2nd week, Tuesday – First meeting of the College P&T Committee. Discussion of tenured and tenure-track candidate cases begins. (JAN. 9)
   - January, 2nd week, Friday – Second meeting of the College P&T Committee, to complete initial discussion of tenured and tenure-track candidates and/or proceed to final

deliberations and voting. (JAN. 12)
- January, 3rd week, Tuesday – Third meeting of the College P&T Committee (optional). Additional discussion as needed and completion of voting on all tenured and tenure-track cases. Time will be set aside after voting to debrief the committee for suggestions on process improvements. (JAN. 16)
- January, 4th week, Tuesday – Letters from the College P&T Committee are finalized. (JAN. 23)
- February 1 – Deadline for tenure-track and tenured faculty dossiers to be submitted from the College to the Provost for university-level review. (THURS. FEB. 1)

Research Faculty Promotion Reviews:
- January, 1st week – Subcommittee members identified for research faculty reviews. (JAN. 1-5)
- January, 3rd week, Wednesday – Deadline for research faculty subcommittee reviews. (JAN. 17)
- January, 4th week – Additional discussion of research faculty promotions (as needed). (JAN. 22-26)
- January, 5th week, Monday – Research faculty subcommittee letters finalized. (JAN. 29)
- February 1 – Deadline for research faculty dossiers to be submitted from the College to OVPRI. (THURS. FEB. 1)

Instructional Faculty Promotion Reviews:
- February, 1st Monday – Subcommittee members identified for instructional faculty reviews. (FEB. 5)
- February, 2nd week, Friday – Deadline for instructional faculty subcommittee reviews. (FEB. 16)
- February, 3rd week – Additional discussion of instructional faculty promotions (as needed). (FEB. 19-23)
- February, 4th week, Monday – Instructional faculty subcommittee letters finalized. (FEB. 26)
- March 1 – Deadline for instructional faculty dossiers to be submitted from the College to the Provost for university-level review. (FRI. MAR. 1)

In addition to this timeline, the College P&T Committee shall maintain a monthly standing meeting for the purposes of completing ad-hoc work that may arise such as revisions to the P&T guidelines, organization of off-cycle review work, or other matters that fall under their purview.

7. Mentoring
All departments shall specify their procedures for mentoring of new faculty as well as mentoring opportunities for established faculty in their P&T Guidelines. The college's role in mentoring of faculty shall be to track significant metrics of faculty performance, provide annual workshops on the P&T process, and coordinate college-level onboarding processes.

8. Peer Evaluation of Teaching
Periodic peer evaluation of teaching is required. Any peer review conducted for promotion and tenure purposes since the candidate's last P&T review should be included in the dossier. At least two peer evaluations of teaching shall be conducted during the probationary period for tenure-

track faculty and must be included in the dossier. Departments shall specify their procedures for peer evaluation and publish these in their P&T guidelines.

9. Pre-Tenure Probationary and Progress Toward Promotion Reviews
    At least two pre-tenure probationary reviews are recommended prior to the mandatory year for tenure review. Such reviews must be substantive and thorough and documented in writing with a copy, signed by the probationary faculty to acknowledge receipt, retained in the department file.

10. Pre-Tenure / Pre-Promotion Teaching Release
    Departments will specify their expected teaching loads and any teaching release procedures for pre-tenure and pre-promotion faculty in their P&T Guidelines.

11. Joint Appointments
    While Faculty may have joint appointments between two departments, faculty may only be tenured in one (the "tenure home"). At the time of hire, the Terms of Faculty Offer (TOFO) should explicitly state the tenure home of the faculty member as well as the division of appointment between all departments to which the faculty member will be jointly appointed. The following adjustments to the promotion and tenure process are allowed:
    - The tenure home department P&T committee may adjust the composition of its P&T committee to allow representation from jointly appointed departments. The letter from the P&T committee must explain any adjustments made to the composition of the P&T committee including a list of the voting members and their departments. Past COE practice has used joint committees with the following composition for review of a candidate's dossier when there is a 50-50 split in appointment between two departments:
        o   This committee will consist of either five or six members.
        o   There will be five members if equal representation between the two departments is possible by including a member who is jointly appointed between the two departments involved.
        o   Otherwise, there will be six members, three from each department.
        o   Each department may conduct discussions of the candidate's case within their separate department P&T committees. Information from such discussions will be relayed by the representatives from that department to the joint committee.
        o   Positive consensus on a P&T decision requires a simple majority in affirmation with no member abstaining.

    - The Department Head of the tenure home department will write the Department Head's letter for the candidate. However, the Department Head is encouraged to confer with the Department Head(s) of any jointly appointed department(s). When the Department Head confers with another Department Head on the review of a candidate, that collaboration should be noted in the letter as well as the specific feedback provided by other Department Heads.
    - These modifications are not necessary for courtesy appointments (appointments in another department with a 0% budget commitment).
    - When such modifications in the P&T review process are to be applied, they should be clearly articulated in a memorandum of understanding (MOU) between the departments that the faculty member is jointly appointed to.

C. **Expectations and Indicators for Promotion and/or Tenure**

1. General Expectations
   a. *Tenured and Tenure-Track (T/TT) Faculty*
      Tenured and tenure-track faculty are principally responsible for maintaining a strong research program, publishing scholarly work, advising graduate students, teaching, and service. Promotion and tenure of tenured and tenure-track faculty is dependent on demonstrated ability to sustain funded research that can support graduate students and produce scholarship-worthy results. The quality of scholarship must be validated through peer-review and acceptance by high-quality venues of dissemination (journals, conferences, and/or other recognized means). Success in advising graduate students is evidenced through the history of graduating MS and PhD students (or just PhD students for candidates from departments that do not have MS programs or only small MS programs) and the accomplishments of those students. Tenured and tenure-track faculty must also demonstrate effective teaching, engagement in professional service, and engagement in university, college, or departmental service and/or university outreach. Candidates for promotion and/or tenure should also satisfy the criteria stated in Section 3.4.4 of the Faculty Handbook.

      The candidate for promotion to *Associate Professor with Tenure* (or a candidate who is already at a rank of Associate Professor and is only seeking *Tenure*) should demonstrate strong performance in the aforementioned areas with a trajectory suggesting further success and impact in their research field. The successful candidate's dossier should contain evidence of an appropriate record of scholarship, success in research funding, effective mentoring of PhD and MS students to graduation or near graduation, effective teaching at the undergraduate and/or graduate level, engagement with professional service in their field, and engagement at some level with university service or outreach. Additionally, the accomplishments of the candidate must be validated by letters of external evaluation.

      The candidate for promotion to *Professor (Full)* should demonstrate continued success in the aforementioned areas with leadership in their research field, noted impact from their research, and external recognition of their research accomplishments. The dossier should highlight accomplishments since the last promotion, particularly recent scholarship, research funding, and successful mentoring and graduation of PhD and MS students (or just PhD students for candidates from departments that do not have MS programs or only small MS programs) along with continuous improvement of teaching and leadership activities in their professional and internal service. Additionally, the accomplishments of the candidate must be validated by letters of external evaluation.

   b. Non-Tenure-Track Instructional Faculty (Collegiate Faculty, Professor of Practice, and Instructor Tracks)
      The primary responsibility of all instructional faculty is to provide excellent teaching and to support the teaching mission of the college and university through pedagogical and curricular improvement, contributions to meaningful co-curricular and experiential opportunities for students, and strategic activities that enhance recruitment, retention, graduation, and/or post-

graduate placement of diverse and talented students. Excellence in teaching should be demonstrated by strong student and peer evaluations, supplemented by other indicators such as data demonstrating significant impact on student learning; validation through internal and external teaching awards; and/or testaments from the Thank-a-Teacher program, exit surveys, or other voluntary student comments. If properly credentialled, instructional faculty may teach graduate-level courses. Non-teaching responsibilities should similarly demonstrate a link between the activities of the candidate with student success either directly or indirectly.

Additional expectations specific to each instructional faculty track include:
- *Professors of Practice* should facilitate a bridge between the student experience and professional practice, either in the classroom or through co-curricular opportunities. This faculty track is also expected to participate in service and/or outreach and should maintain a connection to their professional field. Professors may participate in research although that is not a mandatory expectation of the role.

  The candidate for promotion to *Associate Professor of Practice* should demonstrate excellent teaching and impactful contributions with potential for future impact in areas beyond their normal instructional duties including, but not limited to, service, outreach, curricular or co-curricular development, or scholarship. The successful candidate's dossier should contain evidence of excellent teaching, engagement with their professional field, and some set of activities beyond typical course instructional duties that contributes to student experience (examples of such work include: providing opportunities for undergraduate research, advising a student organization, fostering industry sponsored student projects, or developing new and significant curricular enhancements). Evidence of teaching excellence must be indicated by more than just SPOT ratings.

  The candidate for promotion to *Professor of Practice (Full)* should demonstrate continued excellent teaching, impactful contributions beyond their normal course instruction, and have achieved distinction with some level of external prominence. The successful candidate's dossier should contain evidence of continued performance in the same areas listed for promotion to Associate Professors of Practice along with recognition of regional or greater impact and letters of external evaluation that validate the candidate's performance. Evidence of teaching excellence must be indicated by more than just SPOT ratings.

- *Collegiate Faculty* should focus on excellence in teaching and student learning which could include pedagogical innovation, curricular reform, promotion of teaching excellence beyond themselves, or contributions to more holistic student development initiatives. Collegiate faculty must engage in scholarship of teaching and learning and/or disciplinary topics, however, the Faculty Handbook does allow their scholarship to be defined more broadly than is expected for teaching and research faculty (see the "scholarship" portion of section 5.1.5). This faculty track is also expected to participate in service and/or outreach and should maintain a connection to their professional discipline. Collegiate Faculty are not expected to develop an extensive externally-funded research program.

The candidate for promotion to *Collegiate Associate Professor* should demonstrate excellent teaching and impactful contributions to pedagogy, curriculum, co-curricular student activities, and/or promotion of teaching excellence with potential for greater impact in the future. The candidate must have produced scholarship and must have strong contributions to service. The successful candidate's dossier must have evidence of such performance. Evidence of teaching excellence must be indicated by more than just SPOT ratings. The accomplishments must be validated by letters of external evaluation.

The candidate for promotion to *Collegiate Professor (Full)* should demonstrate continued excellent teaching with meaningful impact to the college's teaching mission taking the form of pedagogical innovation, improvements in curricular or co-curricular activities of the college, and/or promotion of teaching excellence to the broader faculty community. The successful candidate's dossier must have evidence of such performance. Evidence of teaching excellence must be indicated by more than just SPOT ratings, and the cumulative record should indicate that a high level of teaching potential has been achieved. The candidate's scholarship should have achieved regional or greater impact. The accomplishments must be validated by letters of external evaluation.

o *Instructors* have primarily instructional positions and may include other duties such as advising students, developing curriculum, and/or fulfilling other tasks associated with achievement of a department's instructional mission. Instructors should engage in professional development activities appropriate to their position. Contributions outside of the classroom such as exemplary advising, curricular contributions, or significant service shall also be considered in promotion considerations when the instructor's normal duties extend beyond instruction.

The candidate for *Advanced Instructor* should demonstrate excellent teaching and a commitment to meaningful professional development indicating potential for growth of their instructional skills. Evidence of teaching excellence must be indicated by more than just SPOT ratings. Evidence of other contributions should be included in the dossier.

The candidate for *Senior Instructor* should demonstrate excellent teaching, continued professional development, and achieved recognition as an instructional leader at a department, college, university, or external level. Evidence of teaching excellence must be indicated by more than just SPOT ratings. Evidence of other contributions should be included in the dossier.

c. *Non-Tenure-Track Research Faculty: Professorial Ranks*
The primary responsibility of the professorial research faculty is to conduct research including securing grants, acting as Co- and Principal Investigators, and producing scholarship in their field. Professorial research faculty may also advise graduate students and serve on graduate committees. They may teach courses but this is not a requirement of the position. Any teaching duties must be appropriately funded from an instructional budget and approved by appropriate

supervisors (see Sections 6.1.5 and 6.2.1 of the Faculty Handbook). Research conducted by research faculty should be at a high level with an ability to lead personnel, manage large projects, successfully analyze and interpret results, and produce high-quality scholarship capable of establishing an accomplished external reputation.

The candidate for promotion to *Research Associate Professor* should be capable of conducting independent research, securing and conducting significant grants as Principal Investigator, and be able to lead a group of researchers to complete a project. The successful candidate's dossier should contain evidence of an ability to secure and manage grants demonstrating the potential to independently conduct large-scale research. The record of scholarship should indicate that the candidate is a substantial contributor to high-quality peer-reviewed articles, papers, and/or other modes of research dissemination. The candidate must also have established regional or greater prestige in their field of research and must be actively involved in professional development and engaged in professional societies related to their field.

The candidate for promotion to *Research Professor (Full)* should have a record of conducting independent research, securing and conducting significant grants as Principal Investigator, and leading a group of researchers to complete a project. The successful candidate's dossier should contain evidence of a successful grant record with a significant personal share of research and roles as a PI. The record of scholarship should be robust with notable contributions as a leading author. The candidate must also have established national or greater prestige in their field of research and must be actively involved in professional development and should be engaged in leadership roles in professional societies related to their field.

2. Detailed Expectations and Indicators
   The purpose of this section is to describe the expectations, as well as performance indicators (and associated evidence), used to support evaluation for promotion and/or tenure for the faculty tracks within the College of Engineering (COE): tenured/tenure-track faculty, collegiate faculty, professor of practice, instructor, and research professor tracks.
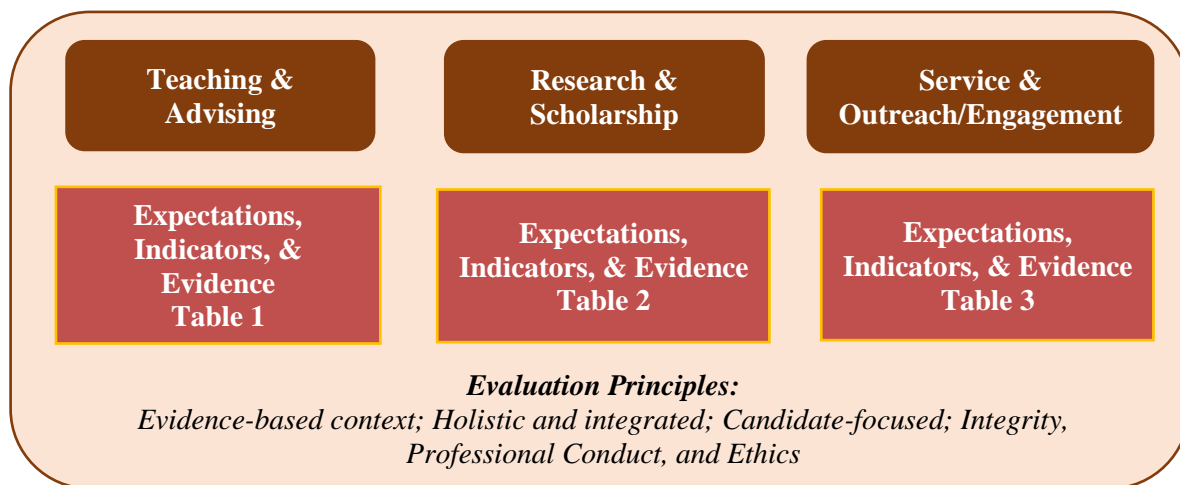
   For the purpose of this section, the following definitions apply:
   ● **Performance Category:** An area of overall performance for a faculty member for which their efforts can be evaluated with distinct, generally-accepted performance indicators. The set of categories altogether encompasses the breadth of activities expected for faculty in a land-grant university: Teaching & Advising, Research & Scholarship, and Service & Outreach/ Engagement.
   ● **Expectation:** Statement representing what a faculty member should achieve relating to a performance category to be successful in the promotion and/or tenure process.
   ● **Performance Indicator:** Measures of performance in specific areas that provide information and insight about quantity, quality, productivity, effectiveness, and/or impact of a faculty member's work that can be tracked at the individual level and/or aggregated to a Department, College, or University level to represent unit performance. By itself, an indicator does not have a targeted value for the specified area of performance.
   ● **Evidence:** The information extracted from a performance indicator (or set of indicators) used to evaluate whether expectations have been met.

- **Target:** A numerical value identified for a performance indicator representing a desired level of performance for faculty in the unit; this may be based on historical data, current operational needs in the unit, and/or strategic planning to define the desired future state. Note that it is not the practice of the COE P&T Committee to set numerical targets for P&T performance indicators because of the complex, varied, and inter-related paths for holistic success that exist.

Expectations for promotion and/or tenure are based on evidence related to performance indicators in the categories of Teaching & Advising, Research & Scholarship, and Service & Outreach/ Engagement. It is important to note that not all expectations or performance indicators may apply to all faculty members, even within a given faculty track. The College of Engineering has a history of rigorously assessing faculty performance for decisions regarding promotion and/or tenure based on material in the candidate's dossier, which is reviewed in a holistic and integrated manner. While the cumulative achievements of a faculty member are evaluated, including those at other institutions (e.g., university, industry, or government institutions), in other types of faculty positions at Virginia Tech, or prior to the last promotion, particular attention is given to performance and achievements after appointment at Virginia Tech or after the last promotion.

The needs of a Department may dictate that individual faculty members are asked to distribute their efforts in distinct ways. Expectations will depend upon duties assigned to the faculty as indicated in the terms of faculty offer provided at the time of the initial appointment and mutually agreed-upon subsequent changes in assignment. For some faculty tracks, a subset of these expectations and indicators apply. The particular weight, or emphasis, placed on each of these categories, expectations, associated performance indicators, and evidence for different faculty members within a faculty track and faculty members across different faculty tracks is determined at the Department level. For example, it is expected that for research faculty, the Research & Scholarship category is typically the most applicable, while for collegiate faculty, professors of practice, and instructors, the categories of Teaching & Advising and Service & Outreach/Engagement are the most applicable. For tenured/ tenure-track faculty, all categories apply. The examples mentioned in this document are intended as examples and are not meant to be exhaustive of all the ways in which faculty may contribute.

Teaching & Advising	Research & Scholarship	Service & Outreach/Engagement
Expectations, Indicators, & Evidence Table 1	Expectations, Indicators, & Evidence Table 2	Expectations, Indicators, & Evidence Table 3

Evaluation Principles:
Evidence-based context; Holistic and integrated; Candidate-focused; Integrity, Professional Conduct, and Ethics

Figure 1. Categories of Evaluation for Promotion and Tenure.

The following principles guide those who conduct this process each year:

- Evidence-based context:
  - o Evidence from multiple indicators and sources, encompassing both quantitative and qualitative data, are utilized to obtain a comprehensive view of contributions.
  - o Evidence is placed within its appropriate context to facilitate decision making (e.g., having a paper accepted to an extremely competitive journal, receiving funding from a highly-competitive program, teaching a large introductory class known to historically have poor student evaluations, developing a new course that is critical for a program/minor/track/concentration, etc.).

- Holistic and integrated:
  - o Evidence across different categories is viewed in an integrated way.
  - o Evidence encompasses multiple aspects of performance – e.g., quantity and quality.
  - o Lower performance in one indicator (or category) may be offset by stronger performance in another indicator (or category) – e.g., lower quantity of journal articles may be offset by exceptionally high quality of journal articles; lower levels of research funding may be offset by strong quantity and quality of scholarly journal articles; and so on.

- Candidate-focused:
  - o For each category and associated expectations and performance indicators, candidates are expected to exhibit a level of activity and performance commensurate with their academic rank, faculty track, and their assigned duties.
  - o Evaluation of all areas of faculty effort are multi-faceted within the three overall categories, each having multiple performance indicators. No single performance indicator is used to evaluate a given faculty member's performance – e.g., student evaluations of instruction are not the only evidence used to evaluate teaching effectiveness, but rather, peer teaching evaluations and contributions to course/curriculum development are also used. Similarly, for most faculty tracks, no single category is used to evaluate a given faculty member's performance. Depending on the needs of the unit, the rank of the particular candidate, the interests/goals of the candidate, and the faculty track, the particular emphasis placed on each category, expectations, and indicator may vary.

- Integrity, professional conduct, and ethics:
  - o As noted in the Faculty Handbook (Section 3.4.4.): "Besides consideration of specific professional criteria, evaluation for promotion or tenure should consider the candidate's integrity, professional conduct, and ethics. To the extent that such considerations are significant factors in reaching a negative recommendation, they should be documented as part of the formal review process."

a. *Teaching and Advising/Mentoring*
Contributions of a faculty member to the teaching mission of the College are judged on the basis of various teaching-related activities. Expectations and performance indicators related to

teaching effectiveness and impact include, but are not limited to, those listed in Table 1. Evaluation of teaching and advising places significant emphasis on quality while also considering quantity.

Table 1. Expectations and Performance Indicators for Teaching and Advising/Mentoring
(Note: not all Expectations or Performance Indicators may apply)

Category	Expectations	Performance Indicators and Types of Evidence Used to Evaluate Performance
Teaching	- Teach undergraduate and graduate courses. - Develop/redesign courses, laboratories, and materials. - Develop/redesign teaching methods. - Increase student knowledge and skills through teaching.	- Student evaluations of instruction. - Peer teaching evaluations. - Number of different courses taught. - Courses/sections taught per year. - Number of students taught in each class. - Laboratory courses taught/supervised. - Distance learning courses taught (asynchronous vs. synchronous vs. hybrid). - Development of new courses and/or curricula to support degree programs, majors, concentrations, minors, etc. - Development of, or improvements to, course/lab materials or to instructional lab facilities. - Innovative teaching methods utilized, including adoption of technology in courses. - Adoption of teaching methods/practices or materials in the academic community. - Results from assessment measures of student learning. - Awards/recognition for teaching.
Advising/ Mentoring	- Provide timely and comprehensive technical advising and mentoring to undergraduate students, project teams, and student groups/organizations/clubs. - Provide timely and comprehensive technical advising and career mentoring to graduate and professional students at Virginia Tech. - Provide timely and comprehensive technical	- Undergraduate students advised/mentored. - Undergraduate student organizations/clubs advised. - Master's and PhD students advised (completed and in-process, including accomplishments and degree milestones achieved). - Graduate committee membership (internal and external). - Post-doctoral researchers and research faculty supervised.

	advising and career mentoring to research faculty and post-doctoral associates.	● Placement of students and post-doctoral researchers advised (graduate school, academia, industry, government, etc.). ● Publication record of students, post-doctoral researchers, and research faculty advised/supervised. ● Awards/recognition received by students, post-doctoral researchers, and research faculty supervised. ● Awards/recognition for advising.

b. _Research and Scholarship_

Contributions of a faculty member to the research and scholarship mission of the College are judged on the basis of a variety of research and scholarly activities (see Table 2). Evaluation of research and scholarship places significant emphasis on quality and significance of the work.

Table 2. Expectations and Performance Indicators for Research and Scholarship
(Note: not all Expectations or Performance Indicators may apply)

Category	Expectations	Performance Indicators and Types of Evidence Used to Evaluate Performance
Research	● Establish a sustainable externally-funded research program. ● Conduct research informed by industry/government/societal needs and aligned with the land-grant mission. ● Demonstrate research independence and leadership in externally-funded research. ● Collaborate as PI or co-PI in multi-investigator, interdisciplinary projects. ● Secure sustained support for students advised (undergraduate, graduate) and post-doctoral associates supervised on research projects. ● Obtain national/international reputation and recognition for research activities.	● Funding levels (Total and by funding category; Total and PI share). ● Diversity of funding sources. ● Competitiveness of funding sources (e.g., acceptance rate, prestige of program, etc.). ● Number of funded projects. ● Leadership in projects, including in large multi-investigator and/or multi-university projects. ● Development of sustained internal and external research collaborations, including internationally. ● Improvements in research laboratory facilities (e.g., equipment and capabilities). ● Number and level of students and personnel supported (UG, Master's, PhD, post-doctoral associates, etc.). ● Number and type of research personnel hosted (e.g., students, visiting scholars, faculty on sabbatical, etc.). ● Awards/recognition for research.

| Scholarship | ● Disseminate research to advance the profession by publishing in high-quality journals, peer-review conference proceedings, and/or books/book chapters.
● Demonstrate independence and leadership in scholarship.
● Demonstrate sustained excellence and creativity in scholarship.
● Disseminate research by presenting at professional conferences and meetings.
● Document research findings through technical reports for sponsors/agencies.
● Obtain national/international reputation and recognition for scholarship.
● Contribute to intellectual property development through inventions, disclosures, and patents; also, license patents/software. | ● Refereed journal publications.
● Refereed conference papers.
● Book chapters and books.
● Leadership in publications (e.g., first authorship by candidate or their students).
● Internal and external evaluation of the quality of scholarship.
● Quality and impact of journal and conference proceedings (e.g., journal impact factor, journal's relative subject area ranking, acceptance rate, etc.).
● Impact of body of work (e.g., citation indices, significance or novelty of work, etc.).
● Technical reports to sponsors/agencies.
● Talks at professional meetings.
● Invited presentations at professional meetings.
● Keynote (plenary) presentations at professional meetings.
● Patent applications, patents, and licenses.
● Artifacts of experimental or design work (e.g., software, devices, algorithms, etc.).
● Adoption of research/scholarship within the academic and/or professional communities (e.g., inclusion of work in text/reference books, downloads of data sets or software, dissemination to industry practice, etc.).
● Awards/recognition for scholarship. |

c. _Service and Outreach/Engagement_

Contributions of a faculty member to the service and outreach mission of the College are evaluated on the basis of a variety of internal and external activities (see Table 3).

Table 3. Expectations and Performance Indicators for Service and Outreach/Engagement
(Note: not all Expectations or Performance Indicators may apply)

Category	Expectations	Performance Indicators and Types of Evidence Used to Evaluate Performance
University Service	● Engage in the governance and community within the Department, College, and University.	● Membership/leadership in Department, College, and University service committees.

	• Provide formal and informal mentoring to faculty and staff. • Support assessment and accreditation activities for the Department. • Participate in and lead efforts to recruit diverse student/faculty/staff. • Exhibit positive citizenship, e.g., attending faculty meetings/retreats, important department and student events, etc. • Engage in University initiatives such as Destination Areas, Beyond Boundaries, Inclusive Excellence, etc. • Participate in identifying how the Department/unit can improve.	• Membership/leadership in other Department, College, or University service roles. • Mentoring activities. • Outcomes from Department, College, and University service efforts. • Awards for internal University service.
External Engagement & Professional Service	• Engage with the external professional community. • Advance the profession/discipline through external service roles. • Demonstrate leadership within the profession.	• Membership/leadership in professional committees, councils, and commissions, including international. • Journal editorial roles. • Journal reviewing. • Proposal review panels. • Conference organizing roles (e.g., program leadership, conference proceedings editor, track/session chair, etc.), including international conferences. • Leadership roles in professional societies. • Awards for external professional service and engagement.
Outreach	• Advance state-of-the-practice through disseminating knowledge to practicing engineers and managers in industry/government. • Engage with the community and state.	• Workshops, short courses, and continuing education programs led/offered. • Service on local, regional, and state boards. • Participation in College and University outreach programs/activities targeting students. • Funding levels to support outreach programs/activities. • Awards for outreach activities.

D.   Appendix - Additional Requirements for Dossiers

This section provides additional guidance for compiling the dossier. This is supplementary to the university guidelines available at https://faculty.vt.edu/promotion-tenure.html. Candidates should refer to the appropriate university dossier template and this document to produce their dossier. The university template always governs when there is a conflict between the two.

These supplementary guidelines are aligned with the dossier templates for tenured and tenure-track faculty, professors of practice, collegiate faculty, and research faculty. The dossier template for instructors follows a different section numbering and will require interpretation to determine where guidance provided here applies.

The content of this appendix were previously documented in by the College of Engineering Addenda for Preparation of Promotion & Tenure Dossiers.

1. Finalization of Dossier
    Aside from minor editorial corrections, the dossier should be finalized by the time that it is submitted to the Department P&T Committee for official review as defined by the Department's published timeline. No additions or changes may be made by the candidate after that time. Any subsequent updates that the candidate wishes to provide should be communicated to the Department Head who will then make sure that such updates are communicated to the appropriate review body and addressed in the Department Head letter. Review letters should always address any *significant* candidate achievements that have occurred since the time that the candidate finalized the dossier. The Department Head may also add a sheet summarizing updates to the dossier before the dossier is submitted to the College P&T Committee, but none of the original content of the dossier should be altered.

2. Formatting and Structure
    The University provides instructions on the preparation of the candidate's dossier. Candidates are responsible for being familiar with the instructions for format and structure. The importance of following the format and structure guidelines, as described, cannot be overstated. Specific questions about the format or structure may be directed to the College of Engineering Dean's Office.

    I.   Executive Summary

    Important aspects of accomplishments should be identified using tables to summarize these contributions. An example of how the tables should be presented follows. These tables are taken directly from the University's Guidelines. Candidates should modify the tables to best present their work in a summary fashion (e.g. Assistant Professors would not have an After Associate column).

    Ph.D. and M.S. Graduate Students, graduated and currently advising - Co-advised students are counted as a whole student with a note at the bottom of the table indicating how many of the Ph.D. and M.S. students were co-advised. See table below for example. When in doubt about a co-advising role, the candidate should consult with their department as well as the graduate school

expectations for faculty: https://graduateschool.vt.edu/academics/expectations/expectations-for-graduate-education- overview/expectations-faculty.html.

Accomplishments

	After Associate	Before Associate	Total
External Funding: Total Amount (Direct + Indirect)	$6,034,423	$5,064,390	$11,098,813
External Funding: Candidate Portion of Above Amount	$1,712,932	$1,843,561	$3,556,493
Internal Funding: Total Amount (Direct + Indirect)	$223,589	$68,295	$291,884
Internal Funding (Candidate) Amount	$135,072	$45,789	$180,861
Grants	31	27	58
Peer-reviewed Journal Articles	29	20	49
Peer-reviewed Conference Papers/Proceedings	15	19	34
Other Peer-reviewed Works			
Ph.D. Students Graduated	3*	2	5
Ph.D. Students (currently advising)	5*		5
M.S. Students Graduated	2	2	4
M.S. Students (currently advising)	3		3
Undergrad Researchers	15	17	32
Awards and Recognition	27	12	39
Post docs	2	1	3
Courses Taught	9	8	17
Presentations at Prof. Meetings	52	37	89
Invited Keynote Presentations	20	7	27
Notes on Co-advised Graduate Students	*Co-advised Ph.D. students; 1 graduated and 1 current		

Lead author - Include publications where you were the primary author and those where one of your students or mentees was the lead student author and you were the primary faculty author.

Corresponding author – Include publications in which you were the primary organizer of several authors and/or the primary correspondent to the journal or entity who published the work.

Note: If there is any ambiguity for a given publication regarding author status, the candidate should select the category they feel is most appropriate and count the publication accordingly. Publications should never be double counted (i.e. counted under multiple columns).

Publications (since last promotion)

	Lead Author	Corresponding Author	Co-Author	Co-Editor	Total
Books	1			1	2
Book Chapters	2				2
Papers in Referred Journals	7	2	5		12
Conference Proceedings	4	4	4		8
Other Papers and Reports		1	3		3
Total	14		12	1	27

II. Recommendation Statements

For Sections II. A. and II. B. of the dossiers, the Statement from the Dean and from the College Committee, the College of Engineering will insert and bookmark these pages.

The dossier guidelines also call for letters of evaluation from a director when the faculty member's scholarly work is based in a center or institute. Such a letter should explain the work responsibilities and expectations associated with the candidate's role at the center or institute and offer an evaluation of the quality of the candidate's work. Faculty who are involved in interdisciplinary work which is not based in an institute or center should consult with the Department Head and with the Chair of the Department Promotion and Tenure Committee to determine if the Committee should invite a letter from a director and/or interdisciplinary research team leader. The invitation, if deemed appropriate, should come from the Department P&T Committee Chair or the Head.

External Letters of Evaluation (II. G. of the dossier or II. E. if required for Research Faculty) - The College has issued special guidance for its candidates regarding letters of recommendation. The following information should be viewed in context of Section II. G. in the Provost's documentation:

1. The University policy requires a minimum of four (4) external letters for all cases in which external review is required. The College of Engineering prefers to receive a minimum of five (5) external letters for tenured and tenure-track faculty. At least three (3) letter writers should be selected independently by the Department P&T Committee. Any deviations from these requirements should be explained in the Department P&T Committee letter.

2. The Department P&T Committee should first create a list of at least six potential external reviewers without consulting with the candidate. Next, the candidate should be advised of the importance of the external letters and then asked to submit to the Department Head or the Department P&T Committee Chair (i) a list of at least five names for potential external reviewers (please note that the university P&T guidelines (II. G.) prohibits letters from reviewers that have conflicts of interest with the candidate - for example, classmates, former colleagues, advisors, current research sponsors, or co-authors); (ii) a list of individuals who should not be contacted (iii) copies of 3-5 papers (representing the recent and most significant research published to date); and (iv) the candidate's dossier in the University format.

3. Managing Conflicts of Interest (COI): Per VT Policy 13010, section 2.2, and the Faculty Handbook, section 3.4.4: A faculty member may not serve on any committee that is evaluating

a spouse, family member, or other individual with whom the faculty member has a close personal relationship.

Former Ph.D. Advisors and/or post-doc advisors of candidates must not chair the department or college committee nor participate in the department or college deliberations of these candidates. External letters should not be formally requested or received by these same individuals who are considered too close to the candidate.

Additional guidance about COI can be found the following links and in section B.5. of this document:
- https://www.research.vt.edu/coi.html
- https://www.nsf.gov/pubs/forms/nsf1230p.pdf

4. A brief biographical sketch of each reviewer should be provided in accordance with the provost's guidelines. Academic reviewers are expected to be at peer institutions or other major research universities. If the best person to evaluate the work is not at a peer institution, an explanation should be provided by the Department P&T Committee.

5. External reviewers for tenured and tenure-track faculty must be from outside Virginia Tech. While the majority of letters must be from faculty based at academic institutions, letters may be solicited from industry or government personnel as well as university personnel. The individual's rank and the school, company or agency at which the letter writer is employed will greatly influence the strength of the recommendation.

6. All academic reviewers for candidates from Associate to (Full) Professor must be from individuals at the rank of (Full) Professor or higher at peer institutions.

7. External reviewers required for non-tenure, instructional faculty must be external to the faculty's department, but do not necessarily have to be external to Virginia Tech.[3] Departments should consult the COE Dean's Office when uncertain about selecting external reviewers.

8. The materials to be made available to external reviewers will be provided no later than September 1 of the academic year in which the case is prepared for consideration by the College P&T Committee. These materials will be sent, along with the cover letter indicated below, to reviewers to aid in the evaluation of the candidate's scholarly qualifications. No supplemental materials, including external letters, should be solicited after the dossier has been created and the Department P&T Committee has made formal its recommendation on a candidate.

9. The Department P&T Committee will independently identify and secure at least three reviewers. Because of possible overlap between the Department's list and the candidate's list, the final list of names may possibly include more than two names suggested by the candidate. The candidate may not suggest all of the outside reviewers. The final list of outside reviewers

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[3] This is based on verbal guidance from the Faculty Affairs Office dating from 2021-22. Future revisions of the university guidance could insert restrictions on the qualifications of external reviewers for non-tenure track ranks so the university requirements should always be checked.

must never be shared with the candidate.

10. All letters which are received will be included in the dossier of the faculty candidate under consideration.

11. The College suggests that the following letter templates be used to solicit external references. These recommendations need not be followed verbatim, but the substances of items (i) - (vi) should be included. Special cases (such as promotion from associate professor without tenure to associate professor with tenure) should be obvious by interpolation from the examples given. If the candidate has received a tenure clock extension, the university guidelines require that this language be included (select the appropriate pronoun): "This candidate has received an extension of his/her/their tenure probationary period under approved university policies. You are asked to evaluate the candidate's accomplishments and appropriateness for tenure and promotion to associate professor as if the record had been accumulated during our normal six-year period."

For promotion from assistant to associate professor with tenure:
[Date]

«Name»
«Address1»
«Address2»
«Address3»
«City»

Dear «Salutation»:

My department is considering «name1», currently an assistant professor, for promotion to the rank of associate professor with tenure, effective [Effective date]. At Virginia Tech, such promotion is contingent on the accomplishments, stature and promise of the individual as a researcher, teacher and scholar. External evaluations by leading experts in the candidate's field(s) of endeavor are an essential part of the decision-making process. It is in this connection that I am writing to ask you to act as a reference for «name2». I am requesting a signed letter on official letterhead in which you detail your assessment of the candidate. As part of your letter, please describe your relationship with the candidate. This should include how long you have known the candidate, whether you have a personal or professional relationship with the candidate, and, in general, whether there is potential for conflict of interest. The university guidelines state that our external reviewers should not include former advisors, post-doctoral supervisors, coinvestigators on grants, or co-authors on recent publications, or should not have other relationships that may be perceived as being too close to the candidate.

[Include this statement only if the candidate has any tenure clock extension] This candidate has received an extension of their tenure probationary period under approved university policies. You are asked to evaluate the candidate's accomplishments and appropriateness for tenure and/or promotion to associate professor as if the record had been accumulated during our normal six-year probationary period.

The university requires that an individual being promoted to associate professor with tenure must have clearly demonstrated outstanding professional achievement by evidence of prominence in an appropriate combination of teaching, creative scholarship, and recognized performance in extension and professional service. The appointment is contingent upon external recognition as an outstanding scholar and researcher. Thus, if you are able, it will be particularly helpful if your assessment includes:

(i)   An evaluation of current research activities and past accomplishments;

(ii)   An estimate of the extent to which the candidate has attained or shows the potential for attaining national and international stature in the field;

(iii)   An appraisal of the candidate's professional service contributions;

(iv)   A comparison with others in the field at a similar stage of their career (please feel free to mention names);

(v)   If you have knowledge of the candidate's teaching ability, appraisal of teaching performance in your comments is welcomed, however this is not required;

(vi)   Any other comments you feel would be of importance in our deliberations;

(vii)   A recommendation on the promotion and tenuring of the candidate, based on the above information;

In order to assist you in preparing your assessment I have enclosed the candidate's dossier and a set of publications.

The policy of Virginia Tech is to hold in confidence all letters of evaluation from persons outside the institution. Only the committees and administrative officers directly responsible for the decision of concern here will have access to your letter. It will not be provided to the person on whom you comment, unless we are required specifically to do so by law.

Since the preparation of promotion files is a time-consuming task, it would help us immensely to have your response by [Date]. Hard deadlines, that we must meet, will come up shortly thereafter. If you are not able to respond by [Date], please contact me at once.

I realize that the effort involved in preparing assessments such as this is a substantial one. Your views are very important to us, and we greatly appreciate your help.

Yours sincerely,

For promotion to full professor:
[Date]

«Name»
«Address1»
«Address2»
«Address3»
«City»

Dear «Salutation»:

My department is considering «name1», currently an associate professor, for promotion to the rank of professor, effective [Date]. At Virginia Tech, such promotion is contingent on the accomplishments, stature and promise of the individual as a researcher, teacher and scholar. External evaluations by leading experts in the candidate's field(s) of endeavor are an essential part of the decision-making process. It is in this connection that I am writing to ask you to act as a reference for «name2». I am requesting a signed letter on official letterhead in which you detail your assessment of the candidate. As part of your letter, please describe your relationship with the candidate. This should include how long you have known the candidate, whether you have a personal or professional relationship with the candidate, and, in general, whether there is potential for conflict of interest. The university guidelines state that our external reviewers should not include former advisors, post-doctoral supervisors, coinvestigators on grants, or co-authors on recent publications, or should not have other relationships that may be perceived as being too close to the candidate.

[Include this statement only if the candidate has any tenure clock extension] This candidate has received an extension of their tenure probationary period under approved university policies. You are asked to evaluate the candidate's accomplishments and appropriateness for tenure and/or promotion to associate professor as if the record had been accumulated during our normal six-year probationary period.

The university requires that an individual being promoted to professor must have clearly demonstrated outstanding professional achievement by evidence of prominence in an appropriate combination of teaching, creative scholarship, and recognized performance in extension and professional service. The appointment is contingent upon national recognition as an outstanding scholar and researcher. Thus, if you are able, it will be particularly helpful if your assessment includes:

(i)   An evaluation of current research activities and past accomplishments;

(ii)   An estimate of the extent to which the candidate has attained or shows the potential for attaining national and international stature in the field;

(iii)   An appraisal of the candidate's professional service contributions;

(iv)   A comparison with others in the field at a similar stage of their career (please feel free to mention names);

(v) If you have knowledge of the candidate's teaching ability, appraisal of teaching performance in your comments is welcomed, however this is not required;

(vi) Any other comments you feel would be of importance in our deliberations;

(vii) A recommendation on the promotion of the candidate, based on the above information;

In order to assist you in preparing your assessment I have enclosed the candidate's dossier and a set of publications.

The policy of Virginia Tech is to hold in confidence all letters of evaluation from persons outside the institution. Only the committees and administrative officers directly responsible for the decision of concern here will have access to your letter. It will not be provided to the person on whom you comment, unless we are required specifically to do so by law.

Since the preparation of promotion files is a time-consuming task, it would help us immensely to have your response by [Date]. Hard deadlines, that we must meet, will come up shortly thereafter. If you are not able to respond by [Date], please contact me at once.

I realize that the effort involved in preparing assessments such as this is a substantial one. Your views are very important to us, and we greatly appreciate your help.

Yours sincerely,

- See II. G. 1. for the university mandated chart describing the letters.

- As indicated in II. G. 2. of the university procedures, after the table listing the letters received, a 2-3 paragraph biographical sketch for each reviewer, including the reason that the individual is uniquely qualified to provide an opinion, must be provided.

- All letters received by the Department P&T Committee must be submitted. If either the Department or the College P&T Committee deems a letter to be irrelevant or non-responsive, it should explain why it believes this to be the case.

- Approximately two weeks after the request for a letter has been sent, a follow-up communication should be placed emphasizing the importance of the letter to the nominee with a request to confirm when the reviewer will complete their review.

- A partial dossier may be provided for external evaluation. For tenured and tenure-track faculty this may consist of a CV, a research statement (or full candidate's statement), and a selection of papers. Additional materials may be specified in department guidelines including use of the candidate's finalized dossier.

III. Candidate's Statement

Please refer to the University guidelines for specific instructions regarding the candidate's statement. The statement should explain but not evaluate the work; subjective comments should be avoided.

The University Guidelines allow COVID statements to be included with a candidate's statement. Refer to the University guidelines for instructions regarding such statements.

IV. Teaching and Advising Effectiveness

Chronological list of courses taught since appointment to Virginia Tech (IV. B. of the dossier) – An example table is provided below:

Semester	Course	Course Name	Credit Hours	Course Enrollment	Percent Responsible
Sp 2011	ME 3304	Heat & Mass Transfer	3	63	100
Fa 2012	ME 4006	ME Lab II	3	250	50[1]
Fa 2012	ME 2124	Intro Thermal Fluid	2	76	100
Sp 2013	ME 5104	Thermo Dynamics	3	18	100

[1]Co-taught with Prof. X

Student Evaluations (IV. J. of the dossier) - calls for information on student evaluations. Candidates should report the results for question 1E of their SPOT ratings for all courses they have taught (Question 1E ask students to rate the statement "Overall, the instructor's teaching was effective). Per the University Guidelines, reporting of SPOT ratings for calendar year 2020 (spring, summer, and fall) is optional. Omission of 2020 SPOT ratings in the dossier shall not be construed as a

negative consideration of a candidate's performance.

The table format suggested in the university guidance should be used (see below for an example). The last two rows of this table should include the candidate's average SPOT rating of all courses and the average SPOT rating of all undergraduate courses. Simple averages of overall course SPOT ratings should be calculated, not weighted averages by courses enrollment or response rate.

Year	Term	Course	Title	Enrolled	Responses	Overall Effectiveness	Dept. Avg. for Term	College Avg. for Term
2018	F	ME 4006	Xxx xx xxxx	250	165	4.48	x.xx	x.xx
2019	S	ME 2124	Xxx xx xxxx	76	72	5.04	x.xx	x.xx
2019	F	ME 5104	Xxx xx xxxx	18	18	5.67	x.xx	x.xx
Average All Courses						5.06		
Average Undergraduate Courses						4.76		

A summary of College of Engineering SPOT Survey Results should also be included as a reference. This information can be found at http://www.eng.vt.edu/faculty-staff/pt. An example is provided below.

College SPOT Survey Summary

Mean Response of all College of Engineering Courses
(averages are not weighted, by course level, nor by the number of responses)
Fall Semester 2014

Course Level	1000	2000	3000	4000	5000	6000
No. of Respondents	1638	2365	2359	1888	1350	107
Overall Rating	4.66	4.74	4.78	4.72	5.13	5.44

Mean Response of all College of Engineering Courses
(averages are not weighted, by course level, nor by the number of responses)
Spring Semester 2015

Course Level	1000	2000	3000	4000	5000	6000
No. of Respondents	1260	2014	2338	1977	1206	103
Overall Rating	4.62	4.83	4.81	5.05	5.09	5.61

Peer Evaluations (IV. K. of the dossier) - Calls for peer evaluations of instruction. Any peer review conducted for promotion and tenure purposes since the candidate's last P&T review should be included in the dossier.

V. Research and Creative Activities

Papers Presented at Professional Meetings (V. B. of the dossier) - For each publication, project, or performance, please indicate the lead author's or performer's name in bold text, as described in the University guidelines. Papers, publications, or performances in collaboration with current or former students should include an asterisk at each student's name.

Documentation of Research Funding Levels (V. C. of the Dossier)
Individual share of responsibility for research expenditures is a matter that should be discussed and agreed upon by the PI, co-PI(s) and other faculty investigators working on each project. Totals shown on individual activity reports and/or P&T dossiers should sum to 100% of the effort given on the official grant/contract documents in OSP. Funding should be separated and summarized in three categories in the P&T dossiers. Separation of funding by category is an assessment aid for the evaluator and is not intended to place certain types of funding or support in any negative connotation. For multi-institutitional/organizational projects, candidates should include total combined funding in the "Total" column of the summary table. In such cases, the "Candidate's Portion" should be based on the VT share of funding.

Category I - External Funding: This type of funding is contract or grant support that is obtained, in its entirety, externally to the University. Grants or contracts with more than one faculty member should clearly indicate relative contributions of the PI, the Co-PI's and any other faculty investigators who are involved. In particular, the relative sharing of individual faculty efforts in participating in the process to acquire the external financial support should be clearly identified and supported in the proposal/contract documentation in OSP. Financial support for other faculty members on these programs that is obtained through an internal competition or administrative assignment at the University (See Category II) should not be reported as external funding in this category even though the original source of funds was external to the University. For multi-institutional/organizational projects, include the project total, the VT role (lead or subcontractor), the total VT share of the funding, and the PI's share of the VT total.

Category II - External/Internal Funding: This type of funding is obtained internally within the University either via a competitive review process by the faculty member's peers at the University or by administrative allocation from the PI. This type of funding is not Category I even though the original source of funding is external to the University. One example of this type of funding would be competition for funding from a major University or College center by a faculty member who was not a Co-PI or specified as a major investigator on the original proposal or subsequent renewal. Funding in this category could also be obtained by administrative allocation by the PI in a non-competitive procedure.

Category III - Internal Funding: In this type of funding, all support should be listed which is obtained through resources that are completely internal to the University. This category of funding will include such programs as SCHEV, Pratt, ICTAS, and other funding sources at the University.

To assist the committee in its deliberations, a summary table should be provided. An example of such a table is provided below.

Summary of Research Funding:

Funding Category	Total	Candidate's Portion
Category I (External)		
Category II (Internal/External)		
Category III (Internal)		
Total Funded Research		

Keynote Presentations (V. D. of the Dossier) – Distinguish between (1) presentations that are truly keynotes (e.g., indicated by being titled as such in the conference or meeting schedule) and (2) other invited presentations or lectures (e.g., at other universities).

VI. International and Professional Service and additional Outreach and Extension Activities

Diversity Activities (VI. C. of the dossier) - Those being promoted to full professor must address diversity activities.

VII. University Service

VIII. Work Under Review or In Progress

IX. Other Pertinent Activities

Service Prior to Appointment at Virginia Tech - Prior service in industry, government, or academic employment is important and summaries of this service should be included in section IX. of the dossier. A distinct section in the dossier on prior professional service will assist the review committees in the evaluation of the candidate's performance and accomplishments at Virginia Tech during the term of the faculty member's current appointment. Placement of prior service into a separate section is an aid to the evaluator of the dossier and should not be construed as devaluing professional service prior to the appointment of the faculty member in the College.

Revision Summary:

Applicable P&T Cycle	Date of Approval	Notes on Changes from Previous Version
2022-2023	5/05/2022	Initial version to correspond with new university guidance on P&T documents.
2023-2024	5/23/2023	Editorial corrections and clarifications of procedures; section on joint appointments added; clarification of external review requirements for research faculty promotions; accomplishment and publication table requirements for the executive summary adjusted; revised template letters for contacting external reviewers; requirements for grade and SPOT distribution tables removed