Procedures for Annual Evaluations, Promotion, and Tenure
College of Engineering
Adopted February 2004

Last Modified January 31, 2018

I. INTRODUCTION AND MISSION

Introduction

The ability of a college to function, progress, and develop excellence depends both on the individual performance of each faculty member and on the collective performance of the faculty. Thus, the success and reputation of a college are highly dependent upon the talents that exist among its faculty and how effectively those talents are marshaled to accomplish the mission of the college. To achieve and maintain high quality, a faculty evaluation system is essential. Properly administered, an evaluation system will encourage professional growth of individual faculty members, assure retention of only those faculty members who demonstrate a high level of scholarship, academic performance and service, and permit appropriate recognition of achievement.

The work of faculty members as independent professionals is not easily categorized or measured. Because it is inherently judgmental, the evaluation of faculty must be constrained by principles and procedures designed to protect academic freedom and to ensure accuracy, fairness, and equity. The purpose of this document is to outline these broad principles and to establish the rigorous and common procedures necessary to maintain these qualities in the faculty evaluation process. These procedures shall be considered adjunct to the current Guidelines for Evaluation of Faculty of the University of Nebraska-Lincoln.

Mission

The College of Engineering (COE) embraces its unique role as the singular intellectual and cultural resource for engineering and technology instruction, research and outreach within the state. The College provides students with comprehensive engineering and technology programs to fulfill their highest aspirations and ambitions.

Accomplishing the COE's mission requires a creative, collective intermingling of individual faculty talents. Consequently, each individual faculty member likely will have a unique role in the COE and a special assignment in terms of the focus and apportionment of faculty responsibilities among teaching, research, service, extension, and administration. The evaluation criteria and processes must accommodate such differences.

II. STATEMENT OF FACULTY WORKLOAD

The apportionment of faculty in the COE is, in general, divided among the areas of teaching, research, service, extension, and administration. It is recognized that individual departments and other administrative sub-units that have independent promotion and tenure processes (hereafter referred to as Units) within the COE have differing emphasis on each of these areas dependent upon the mission particular to the Unit. Faculty members shall work with their respective chairs to reach a written agreement on the apportionment for the specific calendar year.[1 & 2] During the Promotion and Tenure process, faculty members shall be evaluated on the basis of this apportionment using criteria specific to their particular discipline. These criteria shall be applied to faculty members such that the apportionment is equitably reflected.[2 & 3] The Promotion and Tenure material submitted to the Dean's office shall have a clear description of the Unit's process for determining the apportionment. The material submitted to the Dean's office shall include documentation of this distribution for each year. In cases in which the apportionment is modified during the calendar year, adequate documentation of such changes is also required by the University of Nebraska. For information about the activities associated with these apportionment areas, please refer to documentation contained in the College of Engineering Criteria for Promotion and Tenure.

III. PROMOTION AND TENURE TIMELINE

The College of Engineering Promotion and Tenure (COE P&T) committee must be given adequate time to consider each case before it. The members of the COE P&T committee shall work together so that they can perform the evaluations in an efficient manner. Included in this process is the necessity of reconsideration at each step. Specific dates for the upcoming academic year will be provided in a memorandum from the Associate Dean in charge of academic affairs by February 1 each year. Figure 2 is a flowchart that schematically outlines the Promotion and Tenure process from the Unit level to the level of the Executive Vice Chancellor (EVC). It is essential that all Units abide by these deadlines when planning the Unit promotion and tenure schedule.

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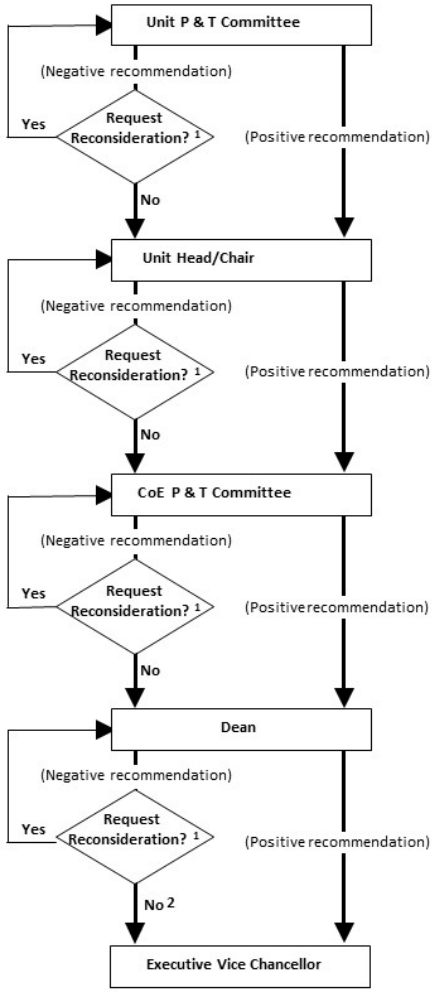
[1] See Bylaws of the Board of Regents
[2] See *Guidelines for the Evaluation of Faculty: Annual Evaluations, Promotion, and Tenure*
[3] See College of Engineering Criteria for Promotion and Tenure

Figure 1: CoE Promotion and Tenure Flowchart



[1] A reconsideration request may only occur once at each level.
[2] In promotion only cases, if the dean and the CoE P & T committee concur on a recommendation against promotion, the process terminates. The candidate and department each may appeal the decision to the Executive Vice-Chancellor.

IV. COLLEGE OF ENGINEERING PROMOTION AND TENURE COMMITTEE

A. Formation, Composition and Duration

The COE P&T committee shall consist of one member from each COE Unit. Each Unit shall select one faculty member to serve a three year term as a member of the COE P&T committee. No substitutions are allowed during deliberations within any given year. Every year approximately one third of the committee will rotate off. This will provide the Committee with experience, continuity and appropriate representation. All COE tenured full Professors except those with full-time administrative appointments such as Deans and Heads/Chairs are eligible to become the members of the COE P&T committee. In case a Unit does not have full Professors, an Associate Professor shall be selected. Only one faculty member can be selected from each Unit to serve on the COE P&T committee. In the case when a member is unable to serve, a formal replacement will be made following the selection process mentioned above to finish off the former member's term.

B. Selection and Responsibilities of the Chairperson

The entire COE P&T committee will elect the chairperson. The chairperson shall hold a full Professor rank. Candidates for the position of chairperson must have served on the COE P&T committee the previous year. The chairperson may not serve more than two consecutive one-year terms.

The chairperson shall be elected by secret ballot administered by the COE Associate Dean in charge of academic affairs at the first meeting of the COE P&T committee. The vote shall be on a single ballot in which each member lists the candidates in order of preference. The candidate with the highest overall ranking shall be elected chairperson.

The chairperson's responsibilities include ensuring the appropriateness, fairness and completeness of the discussion on each candidate's file. The chairperson shall also make sure that each participating member of the COE P&T committee is well-informed before the committee discusses and votes on the promotion and tenure recommendations. All the deliberations of the COE P&T committee must be kept confidential.

C. Responsibilities of Members

Committee members should attend all committee meetings and familiarize themselves with the appropriate procedures, guidelines and bylaws. It is of paramount importance that each committee member thoroughly evaluates the promotion and tenure files of each candidate before the scheduled meeting of the COE P&T committee.

Each year, the COE P&T committee shall have a first meeting only to become familiar with the review process. At this first meeting of the COE P&T committee, the COE Associate Dean in charge of academic affairs shall provide an overview of the process and the criteria for

evaluating candidates according to their faculty apportionment to the committee and distribute the following materials to each member:

1. Bylaws of the Regents of the University of Nebraska
2. Bylaws of the University of Nebraska - Lincoln
3. University of Nebraska - Lincoln Guidelines for the Evaluation of Faculty: Annual Evaluations, Promotion and Tenure
4. College of Engineering Procedures for Annual Evaluations, Promotion and Tenure
5. College of Engineering Criteria for Promotion and Tenure.

V. PROMOTION AND TENURE COMMITTEE PROCEDURES

A. Discussion of Files

All members of the COE P&T committee must read and evaluate each file prior to the beginning of the meeting. The chairperson shall solicit discussion from all participating committee members. Any committee member with conflict of interest shall excuse himself/herself from voting. A Unit representative member shall not vote on a candidate from his/her unit. The COE P&T committee voting shall not be by secret ballot.

The chairperson shall ensure that discussion is based solely on material in the candidate's promotion and/or tenure documentation file in accordance with University policy.

B. Role of the College Deans during COE P&T Committee Meetings

The COE Dean may be present at COE P&T committee meetings, but shall not participate in any discussions or vote. The COE Associate Dean in charge of COE academic affairs shall attend each meeting of the COE P&T committee to ensure that all rules and procedures are properly followed, but not to participate in any discussions or vote. The Associate Dean, as well as the COE P&T chairperson, will keep the committee discussions limited to the material contained in the candidate's file.

C. Committee Recommendation Reports

The COE P&T committee chairperson shall lead the writing of a report for each faculty member evaluated for promotion and /or tenure. This report, prepared with input from committee members, shall contain at least the following: a final vote count, a clear statement of recommendation for approval or denial of promotion and/or tenure, and a brief summary of the evidence supporting the recommendation. This report shall also contain a summary discussion of any dissenting views. The letter is approved by all committee members (not including the member from the candidate's unit); if any committee members do not approve, they may submit and sign supplemental text to the report. The recommendation letter shall then be sent to the candidate, the candidate's Unit Head/Chair, and the Dean.

D. Reconsideration Procedures

A candidate shall have five full working days from the date of the initial letter to request in writing to the Associate Dean in charge of academic affairs for reconsideration. The Associate Dean shall arrange a time and date for reconsideration. The Associate Dean shall inform the candidate of the time and date for reconsideration presentation in writing immediately following his/her request. At least seven full working days from the date of the initial letter must be given to the candidate for the preparation of his/her presentation.

Candidates requesting reconsideration shall represent themselves at the COE P&T committee reconsideration meeting. The only persons allowed at the reconsideration meeting are the candidate, the COE Associate Dean in charge of academic affairs, the Dean, and the COE P&T committee members. The candidate has the opportunity to present their case and answer any questions from the committee. Once this is done, the candidate will leave the reconsideration meeting, and the committee will discuss the issues in dispute. The duration of the discussion shall be at the discretion of the chairperson of the COE P&T committee. The committee shall revote after the discussion.

The COE P&T committee chairperson shall lead the writing of the reconsideration report for each faculty member evaluated for promotion and /or tenure. This report, prepared with input from committee members, shall contain at least the following: a final vote count, a clear statement of recommendation for approval or denial of promotion and/or tenure, and a brief summary of the evidence supporting the recommendation. This report shall also contain a summary discussion of any dissenting views. The reconsideration letter is approved by all committee members (not including the member from the candidate's unit); if any committee members do not approve, they may submit and sign supplemental text to the report. The reconsideration letter shall then be sent to the candidate, the candidate's Unit Head/Chair, and the Dean.

The Dean shall send the candidate a copy of his/her recommendation before forwarding the candidate's file to the Executive Vice-Chancellor's office. The Dean shall also provide an opportunity for the candidate to request reconsideration from the Dean before he/she forwards the file to the Executive Vice-Chancellor's office. The candidate must submit the request for reconsideration in writing within five full working days of the date of the initial letter from the Dean.

VI. COLLEGE REQUIREMENTS FOR UNITS

A. Unit Promotion and Tenure Committee:

The Procedures for Annual Evaluations, Promotion and Tenure for the College of Engineering shall take precedence over procedures and guidelines of any Unit within the College. Units within the COE may supplement these procedures and guidelines with more detailed descriptions and interpretations of the criteria and standards that, when approved, will apply to faculty members in the particular unit.

A.1 Composition of Committee:

All tenured faculty at the rank of Associate Professor or full Professor shall be eligible for inclusion on the Unit Promotion and Tenure (U P&T) committee. The U P&T committee shall have at least three members. When a promotion to full Professor is being considered, only the full Professors on the U P&T Committee shall participate in the evaluation and discussion. A minimum of three full Professors shall be members of the U P&T Committee in any year in which a promotion to full Professor is being considered. The unit shall develop appropriate procedures for selecting a member from the unit to serve on the College P&T Committee.

A.2 Supplementing the Unit Promotion and Tenure Committee:

The Unit may not have sufficient qualified faculty to meet the requirements of Sec. VI A.1 of this document, either because less than three faculty are tenured, or because the committee will consider promotions to the rank of full Professor, and less than three faculty members hold the full Professor rank. The Unit Head/Chair in consultation with full Professors in the Unit shall contact several possible eligible faculty from other Units to ask if they are willing to serve on the U P&T committee. A group at least twice the number required to reach the minimum of three full Professors should be created. Additional faculty members will then be appointed from this group by the Dean to serve on the U P&T committee to make up the required number of full Professors.

B. External Reviewers:

The external review procedure shall conform to Sections V-D-4 and VI-D-5 of the University of Nebraska's "Guidelines for the Evaluation of Faculty: Annual Evaluation, Promotion and Tenure" The external review shall be of the candidate's scholarly performance and capability.

Specific details may be found in Appendix A.

A minimum of five external review letters is required.

C. Unit Promotion and Tenure Procedure:

The U P&T committee shall consider each promotion and tenure file presented to it. The Unit Head/Chair may participate in the meetings of the U P&T committee as a resource but shall not vote. Votes of the U P&T committee on recommendation for promotion and/or tenure shall be by secret ballot. Whether the result of the vote is considered a positive or negative recommendation depends on unit P&T procedures.

The U P&T committee letter communicating the vote(s) of the U P&T should also communicate justification for the U P&T committee vote(s). The letter shall then be sent to the candidate and the candidate's Unit Head/Chair.

D. Reconsideration Procedures at the Unit Promotion and Tenure Level

A candidate shall have five full working days from the date of the initial letter to request in writing to the U P&T committee chairperson for reconsideration. The chairperson shall arrange a time and date for reconsideration. The chairperson shall inform the candidate of the time and date for reconsideration presentation in writing immediately following his/her request. At least seven full working days from the date of the initial letter must be given to the candidate for the preparation of his/her presentation.

Candidates requesting reconsideration shall represent themselves at the reconsideration meeting. The candidate has the opportunity to present their case and answer any questions from the committee. Once this is done, the candidate will leave the reconsideration meeting, and the committee will discuss the issues in dispute. The duration of the discussion shall be at the discretion of the chairperson of the U P&T committee. The committee shall revote after the discussion. The U P&T committee reconsideration letter shall communicate the vote(s) of the U P&T committee after reconsideration, whether the vote is considered a positive or negative recommendation, and justification for the U P&T committee vote(s). The reconsideration letter shall then be sent to the candidate and the candidate's Unit Head/Chair.

E. Unit Promotion and Tenure Verification Requirement:

The U P&T committee shall be responsible for the verification of all evidence contained in the candidate's promotion and tenure file, such as journal articles accepted but not yet published, external grants announced but not yet awarded, record of graduate student advising and graduation history, and any other items that may require verification. The letter of recommendation from the U P&T committee shall contain a statement stating that the U P&T committee has verified the evidence in the candidate's promotion and tenure portfolio. This verification shall take place prior to sending documents to external reviewers.

F. Unit Head Recommendation and Reconsideration Procedures

The Unit Head shall send the candidate a copy of his/her recommendation before forwarding it to the College P&T Committee. The letter shall indicate a positive or negative recommendation for promotion and/or tenure. The Unit Head shall also provide an opportunity for the candidate to request reconsideration from the Unit Head before he/she forwards the file to the College P&T Committee. The candidate must submit the request for reconsideration in writing within five full working days of the date of the initial letter from the Unit Head.

G. Responsibilities of the Candidate

Candidates will:

1	Familiarize herself or himself with all relevant University, College and Department procedures, guidelines and bylaws on an annual basis;
2	Understand and meet all deadlines;
3	Submit all documentation to the Unit P&T committee in the format as specified

	by the College of Engineering Promotion and Tenure Documentation Guidelines and distributed by the Associate Dean. The candidate will be responsible for providing adequate proof of all components of their promotion and tenure file including papers accepted for publication but not yet published, graduate student lists, research projects broken down according to UNL guidelines (i.e. UNL office of research tracking information, external and internal research, UNL research percentage effort etc.); and
4	Discuss with the unit administrator all promotion requirements (i.e. peer review of teaching, what constitutes external/internal research projects, what constitutes national impact of scholarly work, etc.) to ensure that they understand the University, College and Unit Promotion and Tenure requirements.

Failure to meet these responsibilities may result in the candidate's file not being considered.

VII. RESPONSIBILITIES OF THE DEAN'S OFFICE

1. On the COE website, the Dean's Office will make the following available to all COE faculty:
    a. COE Promotion and Tenure Procedures
    b. COE Promotion and Tenure Criteria
    c. COE CV Format, as set by the COE College Promotion and Tenure Committee

2. A representative from the Dean's office will meet with potential P&T candidates and unit committee chairs during the Spring semester to acquaint them with the COE procedures and documentation requirements.

VIII. ANNUAL EVALUATIONS OF THE PERFORMANCE OF PROBATIONARY FACULTY

The annual evaluation of a probationary faculty member is essential to assess the progress of his/her performance each year and to develop goals and objectives of future achievements. The annual evaluation process shall follow the UNL guidelines. Specifically, "in the case of probationary faculty, the supervising administrator must consult annually with the appropriate group of tenured faculty to discuss the performance of the faculty member being evaluated".

IX. CONSIDERATION OF WORK CONDUCTED PRIOR TO APPOINTMENT AT UNL

Work conducted at previous institution(s) under similar academic appointments may be considered in tenure decisions, if so stated in the candidate's letter of offer. In such cases, the candidate will not be considered as going up early for tenure.

X. NON-MANDATORY TENURE CASES

As stated in the UNL guidelines Section VI.D.2, "For the truly exceptional person, award of tenure may be considered prior to the mandatory time. Early tenure implies that a candidate has exceeded in the shorter time period the type of sustained high level performance that would be expected over the normal probationary period."

XI. OUT OF CYCLE CASES

An out of cycle case is one in which a candidate is being hired into either the Associate or Full Professor Rank, with or without tenure. The unit in which the candidate will be tenured shall submit the following for consideration by the College P&T Committee:

- A recommendation letter from Unit Head regarding rank and/or tenure.
- A letter from Unit Promotion and Tenure Committee with results of their vote regarding rank and/or tenure.
- If the out-of-cycle candidate is being considered for a higher rank than their current rank at an academic institution or is coming from a non-academic institution, then a minimum of five external review letters is required. External review letters should be solicited in the same manner as for internal candidates. In all other cases, reference letters gathered through the hiring process may be used.
- An up-to-date curriculum vitae which contains the following:

1) Evidence of successful scholarly creative activity and associated education and supervision of graduate students through to graduation, i.e. at minimum, detailed listing of:
    a. peer-reviewed archival publications,
    b. supervision of research / creative activity by Ph.D. and M.S. students, and
    c. Ph.D. and M.S. students graduated;

2) Evidence of funding of the scholarly creative activity -- at minimum, a detailed listing of grants and contracts, each with all investigators identified and with the total funding level specified;

3) Evidence of successful teaching involvement, i.e. listing of courses taught at undergraduate and graduate levels and other teaching-related activity;

4) Evidence of academic and professional service;

5) Evidence of recognition, external evaluation, and impact of academic / professional efforts in research / creative activity, in teaching, and in academic / professional service; and

6) Evidence of other criteria with respect to the requested rank; for example, leadership for the full professor rank.

XII. MODIFICATION OF THIS DOCUMENT

This document can be modified by a majority vote of approval by the COE Faculty.

Approved February 2004

First Modification April 28, 2005 (added Section VI.D)

Second Modification April 27, 2006 (modified Section VI.B, added Sections VI.E and XI (Appendix A))

Third Modification May 14, 2010 (added Section VII. Responsibilities of the Deans Office; added Section IX. Out of Cycle Cases; and changed all text references from the "College of Engineering and Technology" (COET) to the "College of Engineering" (COE). Also added a clarification regarding Unit P&T Committee Letters in section VI. C.)

Fourth Modification March 6, 2015 (added statement on number of external references in Section VI.B; added Section IX. Consideration of Work Conducted Prior to Appointment at UNL; clarified documents for submittal by unit regarding Out of Cycle Cases in Section X.)

Fifth Modification April 24, 2017 (minor modifications made throughout document; changed title of document to include 'Annual Evaluations'; changed all text references from 'Senior Vice Chancellor of Academic Affair' (SVCAA) to 'Executive Vice Chancellor' (EVC); added annual notification and submission deadlines to Table 1; added text on reconsideration processes to Sections V.D, VI.D, VI.F; added Section X on Non-Mandatory Tenure Cases; modified process for external review letters on out-of-cycle hires when candidates are being considered for higher rank or coming from non-academic institutions.)

Sixth Modification: January 31, 2018 (removed Table in Section III and replaced with date when P&T calendar is issued by Dean's Office annually; added statement on when verification of files should occur in Section VI.E; removed reference to Blackboard and indicated that CV format is issued by P&T committee in Section VII.1.

XIII. APPENDICES

Appendix A
Procedure for Outside Reviews for Promotion and Tenure Considerations
College of Engineering

1. Outside reviewers will be obtained from a list of no fewer than eight individuals prepared by the Unit P&T Committee and a list of no fewer than eight individuals prepared by the candidate. The two lists will be mutually exclusive (should have no common entries).

2. In general, the potential reviewers should be Full Professors at universities with similar missions to the University of Nebraska-Lincoln with active research and education

programs in the candidate's area of interest (it is recommended that universities are recognized as Carnegie Comprehensive Doctoral University). The reviewer should have an active research program in the candidate's area of specialty and have the background to provide a knowledgeable review of the state of the art in the candidate's research area as well as be able to judge the relevance of the candidate's work.

According to the UNL guidelines the reviewers must be independent. According to the Associate Vice Chancellor for Academic Affairs this means "individuals who have had no (or only limited) professional or personal relationships with the candidate and who have been chosen by the unit administrator (or the U P&T committee or dean, as appropriate) for their ability to provide a disinterested ("objective") assessment; these would not include dissertation advisors, current or former collaborators, former colleagues, personal friends or others who have any special relationship to the candidate."

The list should include 1) detailed contact information (including phone number and email address and, if applicable, the potential reviewers' web address) for each reviewer and, 2) a short paragraph describing the potential reviewers' qualifications. Note that the potential reviewers should not be contacted directly by either candidate or the U P&T committee members.

The candidate shall have the right to review the list developed by the U P&T committee and to object to any individual who, in the opinion of the candidate, has a conflict of interest or is unqualified to judge the quality of the candidate's work. The candidate's objections shall be in writing, with explanations of the reasons for the objection. The final identification of the reviewers, however, remains the responsibility of the U P&T committee.

The final selection of the reviewers will be done by a random draw by the U P&T committee chairperson and the unit administrator. Six minimum potential reviewers will be chosen from each list. For non-mandatory cases, a minimum of two letters must be acquired from each list. For mandatory cases, a minimum of one letter must be acquired from each list. All letters received must be included in the candidate's packet.

3. Material sent to each reviewer will be standardized and will consist of:
    - A cover letter in which the reviewer will be asked to provide an objective assessment of the quality and significance of the candidate's work and a current CV. The contents of the letter will be approved in writing by the candidate and will follow UNL promotion and tenure guidelines.
    - A copy of the College Waiver of Right to See Information Form
    - The electronic abridged promotion and tenure document (see College of Engineering Documentation Guidelines in Appendix B)
    - Examples of scholarly and creative accomplishments. The candidate selects and provides copies of five scholarly documents.

Appendix B
College of Engineering
Promotion and Tenure Documentation Guidelines (2018-2019)

The College of Engineering Promotion and Tenure Document (PTD) shall consist of **Administrative Section I** and **Candidate Section II**, as defined in the "UNL Documentation Request for Promotion and/or Tenure" issued by the UNL Office of the Executive Vice-Chancellor (EVC). The candidate must also include mandatory Appendices and an electronic abridged version. All documents shall be submitted to the Office of the Dean of the College of Engineering by the annual deadline, issued in the annual P&T calendar each year by February 1.

In addition to the UNL Documentation Request, the College of Engineering requests that a copy of the candidate's offer letter and a table of how apportionment has changed for the candidate during their time at UNL be included in Administrative Section I.C.

The candidate shall submit two (2) complete copies of the written PTD and include one (1) copy of the Appendices.

The candidate must also submit an electronic abridged PTD (as described below).

One copy of the PTD will be forwarded to the Office of the Executive Vice Chancellor as part of the promotion and tenure review process (note: the materials in the Appendix will not be forwarded). One copy of the PTD (Sections 1 and 2, only) and the Appendix will be returned to the candidate at the end of the review year.

Relevant and substantive material may be added to the PTD during the college's evaluation process. The candidate may add any substantive material to the PTD at any time. The candidate has the right to review and respond to the addition of any substantive material that is provided by any individual other than the candidate. The addition of relevant and substantive material to the PTD will not require that the evaluation process to be restarted at any level. The candidate has the right to appeal negative recommendations at any or all levels during the process or to add rebuttal statements at any or all levels of the process.

Electronic Abridged Version

Please submit an electronic copy (pdf or MS Word files) of the Course Listing Form from **Document Section I.E** and the complete **Candidate Section II** of the Written PTD to the Office of the Dean by the annual deadline, issued in the annual P&T calendar each year by February 1.