

College of Arts and Sciences: Tenure and Promotion Policies and Procedures ¹

Introduction

Revised tenure and promotion policies and procedures for the College of Arts and Sciences are set forth below. These policies and procedures revise those that were last approved by the College in November 2001. The revised policies and procedures described herein have been shaped by the University Faculty's approval of the University Promotion and Tenure Policy presented in Academic Senate document I-06-10.

Among the changes in the College's policies and procedures made in this document, two are of particular importance. First, once these policies are implemented fully, faculty members in the College will not be granted tenure unless they are also promoted, or already have been promoted, to the rank of Associate Professor. Assistant Professors who apply for tenure will apply at the same time, and will be reviewed through a single process, for promotion to Associate Professor. Second, a College Tenure and Promotion Committee, nine of whose members will be elected, will be established to review applications for tenure or promotion in the College and to make recommendations to the Dean regarding each application. The College Tenure and Promotion Committee will also be responsible for reviewing and approving all departmental tenure and promotion policies and procedures in relation to College and University policies.

In accordance with the spirit of the Constitution of the Academic Senate (section II.B.1.c.) and by the recommendation of the department chairs of the College of Arts and Sciences, the following policies and procedures will not take effect unless more than 50% of the tenured and tenure-track faculty in the College of Arts and Sciences vote on the document by written ballot and more than 50% of those who vote approve its proposals. No vote of the faculty members of the College of Arts and Sciences may be construed, however, to exempt the College either from the right of the University Faculty to initiate and formulate the educational and academic policies of the University in its areas of competence or from the final authority of the President and the Board of Trustees to approve or reject those educational and academic policies for the University.

No policy or procedure presented below supersedes any duly established University policy.

I. Period of Time for Consideration for Tenure and Promotion to Associate Professor

- A. The department chair is responsible for clearly communicating to potential new faculty members the expectations for all areas of their work, including teaching, research, and service at the time a verbal offer is made. Once a verbal offer is accepted, these expectations will be stated in a Letter to New Faculty that is written by the chair and approved by the Dean and Provost. This letter will specify the years in which the Department Tenure and Promotion Committee will conduct evaluations

¹ Latest revisions approved by the University Promotion and Tenure Committee on November 26, 2012.

of the faculty member's performance. The department chair will include with the Letter to New Faculty a copy of the department's policies and procedures regarding tenure and promotion (or an accessible web link to these materials). The new faculty member will acknowledge receipt of the Letter to New Faculty by signing and returning a copy of the letter to the chair.

The tenure and promotion process begins with the offering of a position to a new faculty member. At that time, the Provost sends a contract to the new faculty member containing the general description of responsibilities and specifying the time required in the probationary period prior to tenure. For most new faculty members, the final tenure recommendation will occur in the sixth year. A faculty member approved for tenure in the sixth year would receive a contract for a tenured faculty position for the seventh year. For faculty with prior experience, the contract may indicate a period of time based on amount of credit that the faculty member will receive for that prior service.

B. Annual Reviews by the Department Chair

During the probationary period, all faculty members will receive an annual review by the department chair. The annual review by the chair should indicate how the candidate's performance relates to the department's standards for teaching, research, and service and evaluate the faculty member's progress toward tenure and promotion. The chair's review should offer developmental suggestions for faculty. The chair will ensure that copies of these annual reviews are included in the Portfolio for Tenure and Promotion before it is given to the Dean for review.

C. Reviews by the Department Tenure and Promotion Committee

The Department Tenure and Promotion Committee conducts reviews of all probationary faculty members. These reviews will indicate how the candidate's performance relates to the department's standards for teaching, research, and service and evaluate the faculty member's progress toward tenure and promotion. The Department Committee's review should also offer, as appropriate and necessary, developmental suggestions for faculty. The frequency of these reviews is based on the length of the probationary period and on department policy. A copy of these reviews is sent to the candidate and the department chair. The department chair will ensure that copies of the Department Committee's reviews are included in the Portfolio for Tenure and Promotion before it is given to the Dean for review.

1. For faculty members who had no credit for prior experience at the time of hire, the required Department Committee reviews will take place in the third and fifth year, with a final review in the sixth year.
2. Faculty members who had two or fewer years of credit for prior service will receive a minimum of two reviews of their teaching, research and service by the Department Committee prior to their final review. The first of these Department

Committee reviews will take place in a year specified by the department chair in the Letter to New Faculty at the time of hire. The second, or last, Department Committee review will take place in the year prior to the final tenure and promotion review and recommendation.

3. Faculty who agree to a shortened tenure period will receive at least one departmental review. The timing of the departmental review or reviews should be specified in Letter to New Faculty. If there is only one review, it will take place in the year before the final tenure review and recommendation. If there is more than one departmental review, the last review will take place in the year before the final tenure and promotion review.

D. Other Considerations

1. Time devoted to leaves of absence, sabbaticals, or other interruptions in the annual performance of teaching, research and service may affect the total period of evaluation and the timing of department reviews in accordance with University policy.
2. The President and Provost, based on the recommendation of the appropriate department, the College Tenure and Promotion Committee, and the Dean of the College, reserve the right to offer a new faculty member both tenure and an advanced rank at the time of hire. The policies and procedures regarding tenure and promotion described here do not apply to those situations.

II. Period of Time for Consideration for Promotion to Professor

A faculty member commonly completes a minimum of five years of full-time service as Associate Professor before applying for promotion to Professor. Earlier applications may be considered if warranted by exceptional circumstances. The median period in the College between promotion to Associate Professor and promotion to Professor is eight years. The primary focus of applications for promotion to Professor will be on the period since the faculty member has been an Associate Professor.

The policies and procedures through which departments and department chairs recommend a faculty member for promotion to Professor Emeritus are not altered by this document.

III. College Criteria for Tenure and Promotion

A. To Assistant Professor:

Appointments to Assistant Professor are not the responsibility of the College Tenure and Promotion Committee. Upon the recommendation of the department chair, the Dean makes a recommendation to the Provost.

1. Demonstrated competence as a teacher.
2. Normally a doctoral degree or equivalent in a special professional field. In exceptional cases, those having completed all requirements but the Ph.D. dissertation will be considered.
3. Ability to contribute to the mission of the department and the University.

B. To Associate Professor and Tenure:

Expectations for the workload and performance of individual faculty members vary across and within departments. Each candidate for tenure and promotion must understand the workload and performance expectations set for the candidate by his or her department. These expectations will be communicated in writing to the candidate in the Letter to New Faculty and may be updated as necessary in the annual reviews by the chair. The candidate's performance in teaching, research and professional activity, and service must be evaluated relative to these expectations.

1. Demonstrated achievement as a teacher
2. Sustained record of professional activity (scholarship, research, artistic production or performance). Quality scholarship is an expectation for promotion at all levels. The quantity and nature of scholarship expected may vary depending on the department's mission. Such expectations will be communicated clearly to the faculty member in the Letter to New Faculty and in the reviews by the department chair and Department Tenure and Promotion Committees.
3. Service

C. To Professor:

1. A strong record of continued achievement in teaching, professional activity, and service.
2. Significant recognition within the candidate's professional field.

IV. Evaluation Guidelines for Tenure and Promotion

A. Teaching effectiveness

1. Effective teaching is a major attribute to be evaluated in candidates for tenure and promotion. Excellence in teaching incorporates a number of abilities such as lecturing and leading discussions, leading advanced students into creative work, organizing and analyzing the knowledge in one's own field of specialization, and assessing student performance.

2. Departments must use multiple measures to assess teaching effectiveness. One required measure of teaching effectiveness is the University student evaluations. Peer evaluation of teaching is also required. Final recommendations regarding tenure must be based upon at least two peer reviews of classroom teaching and of course materials, conducted during at least two different semesters. Applicants for tenure must also provide evidence of student achievement of learning objectives.
 - a. Applicants for tenure must identify learning objectives for a minimum of two of the courses they teach, in accordance with departmental policy for such learning objectives.
 - b. No later than the fifth-year review, applicants for tenure must provide the Department Tenure and Promotion Committee with representative, though not exhaustive, evidence of student achievement of learning objectives for at least two of the courses they teach. Each department should have a policy to indicate whether the evidence should be provided more frequently or for more courses and what kinds of evidence would be meaningful to the department's evaluation of teaching effectiveness for candidates for tenure. Appropriate forms of evidence could vary widely and might include, but are not limited to: samples of student work; test or quiz results; comprehensive examinations; pre- and post-test scores; standardized test scores; third-party testing (e.g., for licensure); performance in capstone courses; artistic presentations; oral presentations; exhibitions; video- or audiotape evaluations; student surveys or interviews; reflective student essays; or internship evaluations. Evidence of student learning should be evaluated for its quality, not for its quantity. Appropriate allowances should be made for failed or less than fully successful experiments in teaching.
 - c. The evidence of student achievement provided by the applicant for tenure must be discussed in at least one of the Department Tenure and Promotion Committee's letters and also in the candidate's narrative description of teaching.
3. Departments may also select other measures of teaching effectiveness. In selecting these other measures, departments should consider the teaching styles and philosophical orientation of their respective disciplines and faculty members.
4. Additional evidence of teaching effectiveness that may be submitted includes documentation of:
 - a. creative approaches to course and curriculum development;
 - b. evaluations made by department faculty members performing systematic class visitations;
 - c. outstanding influence on the academic orientation or development of students;
 - d. publication of materials related to teaching in appropriate peer-reviewed journals;

- e. letters from colleagues within or from outside the University who are aware of the individual's teaching effectiveness;
- f. receipt of honors and awards for teaching;
- g. effective efforts to master current developments in an individual's field of knowledge and to express this in teaching;
- h. comparisons of student performance on department examinations or pre- and post-tests;
- i. copies of course requirements, syllabi, examinations and related materials; and
- j. self-assessment of teaching effectiveness.

B. Scholarship, Research, or Artistic Activity

1. Sustained and significant involvement in scholarship, research or artistic endeavors is a major attribute to be evaluated in candidates for tenure and promotion. Evidence of scholarship, research and artistic accomplishments are to be evaluated from a rigorous, professionally critical point of view. This evaluation must be based on a close acquaintance with historical precedent and contemporary practice in the faculty member's field. High standards are to be applied to judging the merit of the faculty member's work. Although a quantity of accomplishments can be impressive, the primary evaluation must be made with regard to quality.
2. Evidence of scholarship or research accomplishments may include, but is not limited to, refereed publications, creative or critical writings, publication of a book or a portion of a book, presentation of scholarly papers or invited lectures to professional groups, research directing activity, awards, and service as principal investigator or a major contributor on a funded research program.
3. Artistic accomplishments may include, but are not limited to, the creation of art objects, musical compositions, exhibitions of art work, performances, directorial work, and professional work in the mass media.
4. Some departments, in accordance with their mission, may require a strong record of achievement in traditional research, "the scholarship of discovery," in Ernest Boyer's phrase. This form of scholarship might be measured primarily by publication in peer-reviewed journals. Other departments, in accordance with differing missions, may hire faculty members whose research is interdisciplinary or collaborative, focused on application in a particular professional area, or concerned with pedagogy in the discipline (what Boyer terms "the scholarship of integration," "the scholarship of application," and "the scholarship of teaching," respectively). All these kinds of scholarship are appropriate to the University's mission. Departments should define the scholarship expectations for faculty in the documents and evaluate a faculty member's record in light of those expectations.

C. Service to the University

1. Service to the University is to be evaluated in candidates for tenure and promotion. Faculty members, by precept and by established practice, play a critical role in University governance and in providing academic and co-curricular service to the University community. In exercising these functions, faculty members contribute significantly to the successful fulfillment of the University's mission. In addition to service on University, College and department committees, councils, boards, or service to student organizations and similar bodies, a faculty member's service in the area of academic advising may be considered as a component of this criterion for tenure and promotion.
2. If a candidate wishes to have achievements in academic advising considered as part of the evaluation, he or she must provide documentation in support of this activity which establishes both the extent and quality of such service.
3. Because of the need for faculty leadership and governance in furtherance of the University's mission, candidates for promotion to Professor, should, if possible, be involved in service at the University or College level. However, if the candidate's service record consists instead primarily of sustained achievement and dedication in supporting the department mission, or in professional service to the discipline, the chair's letter can assist in making the strengths of the faculty member's record clear to the College Tenure and Promotion Committee.

D. Service to the Community and Profession

The University of Dayton's mission statement defines the University's role in society as one of responsible service and criticism. This commitment establishes a justification for the faculty to consider service and criticism as a legitimate criterion for tenure and promotion. Faculty members submitting documentation in support of their community and professional service achievements for tenure and promotion should clearly demonstrate the relationship between their professional abilities or development and the roles they have played in service or criticism.

E. Administrative Distinction

1. The College sees superior academic administration as important university service which involves creative work in written reports and curricular, faculty, student, and program development. The administrative criteria apply only to faculty members who are current administrators or have held such a position since their last promotion. Successful administrative performance alone is inadequate grounds for tenure or promotion. Teaching and scholarly activity must also be identified as distinctive.
2. Administrative distinction must be supported by documents from both administrative supervisors and appropriate faculty members. The activities may

also be supported by documentation from administrative colleagues. The documents will provide data on the activities involved, and address overall administrative competence. Examples of such activities are:

- a. contributing to department, College and University growth by developing new programs that engender enrollment increase, enhance academic quality, or raise the University's prestige;
- b. procuring new money for operations or endowment which significantly strengthen the viability of the department; or
- c. demonstrating leadership in recruiting and developing quality faculty.

F. Consulting Activities

Some, but not all, consulting activities can fulfill one or more of the criteria for tenure and promotion. The contributions from consulting activity to the University or the department, particularly in the area of scholarly productivity, must be carefully evaluated by the Department and College Tenure and Promotion Committees. The candidate has the burden of identifying and describing which criteria for tenure and promotion these contributions fulfill and how well they fulfill it. For consulting activities to be counted towards tenure and promotion, the benefit to the University or the department and to the contracting agency or client must be obvious to the Department and College Tenure and Promotion Committees. The candidate must submit documentation attesting to the quality of the consulting activity to these committees.

G. Academic Achievement Outside the College of Arts and Sciences

Occasionally, faculty members of the College of Arts and Sciences fulfill a portion of their regular academic duties outside the College. Such activities may pertain to any of the criteria for tenure and promotion, and documentation of achievement in these activities may be submitted in support of an application for tenure and promotion. For such evidence to be considered, however, a representative designated by the department chair, in consultation with the Dean, must consult with the faculty member's outside supervisor, who will be asked to prepare a letter evaluating the faculty member's work outside the College. This letter will be sent to the Department Tenure and Promotion Committee through the department chair.

V. Sequence of College Procedures for Final Tenure and Promotion

The review process for final tenure and promotion decisions is sequential and cumulative.

- A. The Department Tenure and Promotion Committee will review the faculty member's Portfolio for Tenure and Promotion and make a recommendation to the department chair.

- B. The department chair will review the faculty member's Portfolio for Tenure and Promotion and make a recommendation to the College Tenure and Promotion Committee.
- C. The College Tenure and Promotion Committee will review the faculty member's Portfolio for Tenure and Promotion and make a recommendation to the Dean.
- D. The Dean will review the faculty member's Portfolio for Tenure and Promotion and make a recommendation to the Provost.
- E. Processes for the Provost's recommendation, the President's final administrative authority, and any subsequent mediation or appeals are governed by the University Promotion and Tenure Policy.

The faculty member may withdraw a promotion application at any point in the process, unless the application is also an application for tenure. When a promotion application is withdrawn, all materials collected by the Department Committee and department chair, including external evaluations, as well as the recommendation letters written by the Department Committee and department chair, will be destroyed by the chair.

VI. Departmental Policies and Procedures

Departments in the College will have a departmental policy and procedures document regarding tenure and promotion that is consistent with University and College policies and procedures. This document must include a clear statement of the criteria and standards for teaching, scholarship, research or artistic activities, and service that are used by the department to assess faculty members for tenure and for promotion to the rank of Associate Professor and for promotion to Professor. The criteria and standards must be consistent with the College criteria but should be more specific than the College criteria based on the nature of the discipline and the role and mission of the department. This document must also describe the procedures that the department will use to conduct reviews and evaluations of probationary faculty members and to conduct reviews and evaluations of candidates for tenure or promotion.

- A. The Department Tenure and Promotion Committee will consist of tenured faculty members, excluding the department chair. The Department Committee may consist of all tenured faculty members in the department or a subset of all tenured members. Departments unable to form such committees due to size, rank of faculty, or some other circumstance must make alternative plans that are approved by the Dean.
- B. The department's document will state how the chair of the Department Committee is selected.

- C. The department's document will describe any additional materials related to teaching, research or artistic activity, and service that must be submitted by the faculty member for the Portfolio for Tenure and Promotion beyond those specified in University or College policies.
- D. The department's document should state how any additional materials will be collected.
- E. The department's document must state the measures that will be used in the tenure or promotion review to assess teaching effectiveness beyond the standard student evaluations. These measures must include a viable and rigorous procedure of peer evaluation of teaching.
- F. The department's document must state the procedures for soliciting evaluations of scholarship, research or artistic activities from at least two appropriate authorities outside the University for candidates for promotion to Professor.
- G. The department's document should state the department's process for voting and writing the recommendation letters.
- H. The department's document must provide faculty members the opportunity to reply to the evaluations and letters of recommendation of both the Department Committee and the department chair. It must describe the process for receiving and responding to such replies.
- I. The Department Committee must provide the faculty member with the Committee's final letter and recommendation at the time that it submits its letter to the department chair.
- J. The department chair must provide the faculty member with the department chair's final letter and recommendation at the time that the chair submits it in the Portfolio to the Dean. The chair will also send a copy of this letter to the Department Committee.

VII. The Portfolio for Tenure and Promotion

- A. The candidate for tenure or promotion is responsible for the accuracy and completeness of all the necessary materials submitted in the Portfolio for Tenure and Promotion (three-ring binder). The candidate must maintain all necessary materials for the application. These materials include annual department chair's reviews, letters from the Department Tenure and Promotion Committee, Dean's third and fifth year reviews (or other required reviews), College of Arts and Sciences Semester Reports on Teaching, and Annual Reports on Research, Professional Activities, and Service. The faculty member may request support from the department chair in compiling some of the necessary material but it is the faculty member's responsibility to present a complete file in support of the application. The faculty member will submit the Portfolio, eleven additional copies of the Portfolio for the College Tenure

and Promotion Committee, and one copy of the Supporting Materials to the department chair by the required date. The faculty member will keep one complete copy of the materials that he or she included in the Portfolio and one copy of the Supporting Materials.

- B. The department chair is responsible for keeping the Portfolio and Supporting Materials in a secure location available only to members of the Department Tenure and Promotion Committee and the department chair until the Portfolio and Supporting Materials are submitted to the Dean. The chair is also responsible for inserting into the binder any solicited, confidential external evaluations of the candidate (if applicable) and a description of the academic stature of the evaluators. The department chair will insert one copy of the department's documents related to policies, procedures, standards and criteria into the Supporting Materials. Prior to submitting the Portfolio and the Supporting Materials to the Dean, the chair will also insert the Department Committee's letter and the department chair's letter into the Portfolio.
- C. Faculty members do not have access to their Portfolios for Tenure and Promotion once they have been submitted to the department chair. While the Portfolio must be complete and accurate at the time it is submitted, the candidate may update the application (e.g., acceptance or publication of a manuscript) by submitting information to the department chair. It is expected that appropriate consultation will take place if materials are added that will affect the recommendation. The department chair will notify the Department Tenure and Promotion Committee, the College Tenure and Promotion Committee, and Dean of the updated material and insert the information into the Portfolio or send it to the Dean to insert into the Portfolio.
- D. If the faculty member chooses to submit a written response to the final letters of the Department Committee or the department chair, the faculty member will provide the response(s) and eleven additional copies for the College Tenure and Promotion Committee to the department chair who is responsible for inserting these materials into the appropriate section of the Portfolio or forwarding the responses to the Dean to insert into the Portfolio.
- E. If the department chair is also a candidate for promotion, the Dean will determine how the candidate's Portfolio is to be maintained and secured.
- F. The Dean is responsible for keeping the Portfolio and Supporting Materials in a secure location available only to members of the College Tenure and Promotion Committee and the Dean. The Dean is also responsible for inserting into the Portfolio the letter of the College Tenure and Promotion Committee and the Dean's letter. The Dean will maintain one copy of the complete Portfolio for a period of three years following the final decision by the President. The remaining copies of the Portfolio will be destroyed by the Dean.

VIII. Materials Required for the Portfolio for Tenure and Promotion

The following materials must be included in the faculty member's Portfolio for Tenure and Promotion: [Materials should be placed behind the tab indicated. Materials should be placed in chronological order with most recent year on top. In cases where multiple items are behind a tab, such as C below, like items should be grouped together and arranged in chronological order with the most recent year on top. Forms for CV, Semester Report on Teaching, and Annual Report on Research, Professional Activities, and Service can be found at: www.udayton.edu/artssciences/about/ops_manual/policies-procedures-personnel/tenure.php]

- A. College of Arts and Science Curriculum Vitae current as of August 16 of the year of application. (Candidates must use the format of the College Curriculum Vitae in effect on April 15 of the year of application.) [Tab 1]
- B. The Letter to New Faculty for candidates for tenure or promotion to Associate Professor. [Tab 2]
- C. Multiple measures of teaching effectiveness must be presented and used in promotion and final tenure reviews. [Tab 3]
 1. The standard Semester Report on Teaching, signed by the faculty member and department chair. No changes should be made to the standard Report. Candidates for tenure or promotion to Associate Professor or both should submit the Reports for all years at the University of Dayton. Candidates for promotion to Professor should provide the Report for at least the previous five years. Reports on summer teaching may be included at the option of the candidate.
 2. Peer review of teaching based on data and materials other than the standardized teaching evaluations. Final recommendations regarding tenure must be based upon at least two peer reviews of classroom teaching and of course materials, conducted during at least two different semesters. For tenure applications, at least one of the Department Tenure and Promotion Committee's letters must include discussion of the evidence of student achievement of learning objectives that has been provided by the candidate.
 3. The department chair will summarize the written student evaluations and provide a copy of the statement to the faculty member who will include it in the Portfolio. The chair's summary will indicate the years covered by the summary.
 4. Candidate's narrative description of teaching

The narrative description of teaching should be succinct, generally in the range of 500-750 words. The purpose of the narratives is for the faculty member to describe the context for the specific teaching-related materials included in the Portfolio. The teaching narrative may describe the faculty member's philosophy of teaching and general approaches and methodologies to teaching. It may

include a self-evaluation of strengths and weaknesses, or describe recent changes, enhancements or innovations, use of instructional technology, development of pedagogical materials, participation in teaching-related faculty development programs, or evidence of encouraging student creativity and independent thinking. The narrative may also be used to explain or highlight any aspects of the teaching record that fits with the major goals of the University, College or department or that may be of particular interest to reviewers. For tenure applications, the narrative description must include discussion of the evidence of student achievement of learning objectives that has been provided by the candidate to the Department Tenure and Promotion Committee.

5. Other measures of teaching effectiveness

The faculty member may include in the Portfolio other relevant measures of teaching effectiveness including any measures required by department policies. However, most additional evidence of teaching effectiveness should be submitted in the Supporting Materials binder.

D. Materials on Research, Scholarship and Service [Tab 4]

1. Annual Reports on Research, Professional Activities and Service, signed by the faculty member and the department chair, must be submitted by candidates for tenure and promotion. Candidates for tenure or promotion to Associate Professor must submit these reports for all years at the University of Dayton. Candidates for promotion to Professor should provide the Report for at least the previous five years.
2. For candidates for promotion to Professor, external evaluations of scholarship. The department chair will prepare a summary statement, limited to two pages, identifying the professional or academic stature of the individuals conducting the external evaluations and how and why they were selected as evaluators.
3. Candidate's narrative descriptions of scholarship and research

The narrative description of scholarship and research should be succinct, generally in the range of 500-750 words. The purpose of the narrative is to describe the context for the specific materials related to scholarship and research for persons who are outside the candidate's particular area. It may include the faculty member's philosophy of, and approaches to, scholarship or a brief description of the faculty member's research agenda, plans and methods. It may describe the faculty member's contributions to any co-authored or collaborative work. The narrative may also be used to explain or highlight any aspects of the scholarly record that may be of particular interest to reviewers.

4. Candidate's narrative descriptions of service

The narrative description of service should be succinct, generally in the range of 500-750 words. It may describe for reviewers the significance of the service activity, the amount of effort put forth for specific activities, or the relationship of the service to the faculty member's teaching and research. The narrative may also be used to explain or highlight any aspects of the service record that may be of particular interest to reviewers.

- E. The Department Tenure and Promotion Committee's letter. This letter should state clearly the reason for the recommendation. It should relate the faculty member's record to the department's standards for tenure and promotion. The letter should be signed by all members of the Department Committee. For candidates for tenure and promotion to Associate Professor, all required reviews and evaluations of the faculty member by departmental review committees since the candidates' initial hiring must be submitted. For candidates for promotion to Professor, all post-tenure reviews by departmental review committees, except those specifically excluded by approved post-tenure review policies, must be submitted. [Tab 5]
- F. The department chair's letter. This letter should state clearly the reason for the recommendation. It should state how the faculty member's performance relates to the expectations for the faculty member that are found in the Letter to New Faculty and any changes in expectations that are documented in subsequent annual reviews. It should also relate the faculty member's record to the department's standards for tenure and promotion. The department chair's letter should also acknowledge receipt of the Department Tenure and Promotion Committee's recommendation and the chair's agreement or disagreement with the Department Committee's evaluation and recommendation. For candidates for tenure and promotion to Associate Professor, all annual evaluations of the faculty member by the department chair must be submitted. For candidates for promotion to Professor, any evaluations completed by the department chair in the last five years must be submitted. [Tab 6]
- G. The faculty member's response to the letters of the Department Committee or the department chair (optional). [Tab 7]
- H. The Dean's letters or comments on the third and fifth year reviews (or equivalent reviews for faculty hired with credit for prior service) for candidates for tenure and promotion to Associate Professor. [Tab 8]
- I. A Procedural Form, developed by the academic department, which itemizes each step in the department's and the College's tenure and promotion process. In accordance with University policy, as each step is completed, the Form is to be signed by the responsible person (e.g., department chair, chair of the Department Tenure and Promotion Committee, chair of the College Tenure and Promotion Committee, and dean), acknowledging that steps were completed in accordance with department and College policies and indicating the date on which steps were completed. Each candidate will be provided an opportunity to sign, acknowledging receipt of written

documentation and the date it was received. A candidate's signature will not indicate agreement with the feedback or recommendations at any given point. [Tab 9]

J. Table of Contents for the Supporting Materials [Tab 10]

IX. Supporting Materials

The candidate is responsible for providing, in a separate binder, a representative selection of material in support of the application for tenure or promotion or both. These materials should be selected by the faculty member in consultation with the department chair and should be consistent with established departmental guidelines. Only materials that provide clearly relevant evidence of quality performance in teaching, scholarship, research or artistic activity, and service should be included. Faculty members are strongly encouraged to limit the quantity of Supporting Materials submitted to a reasonable amount, preferably no more than what may be contained in a single binder. Documentation of teaching effectiveness might include: evidence of any outstanding influence on academic orientation and development of students (including student achievement of learning objectives), a candidate's publication in journals of materials related to teaching, letters of informed colleagues related to the candidate's teaching, copies of syllabi, requirements, and exams. Documentation of scholarship and research should include copies of recent scholarly books, journal articles, book chapters or grant applications. For documentation of artistic scholarship that cannot be presented in traditional print form, presentation methods may include but are not limited to DVDs, CDs, or URLs. Faculty members should consult their department chairs for assistance.

X. College Tenure and Promotion Committee

- A. The College Tenure and Promotion Committee will be responsible for reviewing and approving all departmental tenure and promotion policies and procedures. The College Committee reviews the policies and procedures for general consistency with College and University guidelines. The College Committee works with departments and the Dean to ensure consistency and approves the documents. In accordance with University policy, any disagreement between a department and the College Tenure and Promotion Committee related to the approval of the department's tenure and promotion policies and procedures will be resolved by the dean. Once approved, a department's tenure and promotion policies and procedures will be reviewed by the College Committee every three years or when a department proposes to make substantive changes in its policies. Departments that propose changes must submit their revised policies and procedures to the Dean by February 1 for review and approval by the College Tenure and Promotion Committee if the proposed changes are to be implemented in the next academic year. A letter from the department specifying how the proposed revisions will affect current faculty members should accompany the proposal.
- B. The College Tenure and Promotion Committee will be responsible for reviewing applications for tenure and promotion and making a recommendation to the Dean.

The Committee will evaluate the candidate based on the stated departmental expectations for that individual. The Committee will write a letter to the Dean containing the recommendation and a rationale for the recommendation. A copy of the letter will be made available to the department chair and the faculty member at a specified time and place.

- C. The College Tenure and Promotion Committee will be comprised of nine elected, tenured Associate Professors and Professors representing each of the major divisions of the College. The Dean may appoint two additional members, after consultation with the College's Executive Council.
 - 1. Elections will be held within the College's four divisions (Natural Sciences, Social Sciences, Humanities, and Arts). The number of representatives from each division will be based roughly on the proportion of tenured and tenure-track faculty members from that division. At the present time, there would be three Humanities, three Natural Science, two Social Science and one Arts representative elected. All tenured and tenure-track faculty in each division are eligible to vote for divisional representatives. Elections will be staggered to permit the election of three members from different areas each year (one Humanities, one Science, one Social Science or Arts).
 - 2. Faculty members who hold administrative appointments (including department chairs, assistant and associate deans, deans, and other full- or part-time administrators with administrative or supervisory authority over tenure-line faculty members in the College) are not eligible to serve on the College Committee.
 - 3. Any elected faculty member who becomes unable to serve on the College Committee will be replaced by the faculty member from the appropriate division who received the next highest number of votes in the election through which the former faculty member was selected.
- D. Elected committee members will serve a three-year term. Elected members may not serve more than two consecutive terms. Appointed committee members will serve a one-year term and may not serve more than two consecutive years.
- E. The chair of the College Committee will be elected by all members of the committee. The chair must be a committee member elected by the faculty in one of the divisions.
- F. The Committee's deliberations are conducted one rank at a time, starting with candidates for tenure and promotion to Associate Professor. Committee members will be given at least one week to examine the application materials within the rank under consideration. All ballots by committee members are secret.
 - 1. A preliminary ballot is taken for each candidate to obtain the initial opinions. A strong favorable vote occurs when at least six of the nine members (or eight of the

- eleven members) vote “yes.” A strong unfavorable vote occurs when at least six of the nine members (or eight of the eleven members) vote “no.” If a member cannot make a definite decision, an undecided vote may be cast. Weak favorable or unfavorable votes are those votes which are not strong.
2. After the preliminary vote, the Committee sets the order in which the individual candidates will be considered.
 3. The discussion of the first candidate is held. When at least six members (of a nine-member committee) or eight members (or an eleven-member committee) agree that there has been sufficient discussion, a second ballot is collected for the first candidate. Generally, a strong vote constitutes a final decision. A weak vote in the second ballot requires that further discussion be held. It is recommended that this discussion be held after the second ballots are taken for all other candidates within the rank under consideration.
 4. Following this discussion, the third and normally final ballot is taken. If the third ballot produces a strong vote, then the third ballot is the final recommendation for the first candidate. The procedure is repeated for each candidate.
 5. If, after all the voting has been completed, a committee member wishes to reopen a case, more discussion is held and a fourth, final vote is taken.
 6. The chair of the Committee communicates in writing to the Dean the final vote for each candidate with a rationale and explanation for the recommendation.
 7. The Dean will notify the department chair and then will send a copy of the College Committee’s letter to the candidate with a copy to the department chair. After ensuring that the candidate has received notification, the department chair will share the recommendation letter with the Department Tenure and Promotion Committee.
 8. Candidates who have not received a favorable recommendation from the College Tenure and Promotion Committee may appeal the decision. This appeal will take the form of a letter to the Dean. This letter must be received by the Dean by the established date.
 9. If the department chair or the Department Committee chooses to submit a written response to the recommendation of the College Tenure and Promotion Committee, it must be received by the Dean by the established date.
 10. The Dean will review the candidate’s Portfolio for Tenure and Promotion, including the recommendations of the Department Committee, department chair, and College Committee, along with any responses, and send a written recommendation to the Provost by the established date.

XI. Responsibilities of All Participants in the Tenure and Promotion Review Process

All participants in the review process are expected to:

- A. Be fully knowledgeable of the College and University policies regarding tenure and promotion.
- B. Be fully conversant with the candidate's materials. All persons involved in the review process must have read the materials related to teaching and service, and, at minimum, the relevant reviews of the candidate's scholarship and research. Members of the Department Tenure and Promotion Committee must have read and evaluated a significant portion of the candidate's publications.
- C. Attend the appropriate meetings at which the candidate's qualifications are considered. Absence from minor portions of meetings does not disqualify a committee member from voting, unless the absence includes the actual vote. Proxy voting is not allowed.
- D. Maintain absolute confidentiality with respect to all materials, discussions, votes, and the report.

XII. Tentative Timetable for Tenure and Promotion

The actual dates in the tentative timetable below will vary somewhat from year to year and will be determined by the dean's office no later than May 15 of the preceding academic year. When any of these dates fall on a weekend or other non-business day, the actual deadline will be the first business day after the specified date.

March 1

The candidate for tenure is informed by the department chair of the date that application materials will be due.

April 1

Candidates for promotion to Associate Professor (in advance of tenure) or Professor inform the department chair of their intention to apply.

May 15

Where applicable, external reviewers are selected and confirmed.

Summer

Confidential external evaluations are solicited and returned, where applicable.

August 16

Candidates submit the Portfolio for Tenure and Promotion and Supporting Materials to the department chair. The department chair inserts any external reviews, if applicable, into the Portfolio.

September 14

The Department Tenure and Promotion Committee gives its evaluation and recommendation letter to candidate.

September 19

The candidate may reply in writing to the Department Committee.

September 22

The Department Committee sends its final letter to the candidate and the department chair. The department chair inserts copies of the letter into the Portfolio.

September 25

The department chair gives his or her evaluation and recommendation letter to the candidate.

September 28

The candidate may reply in writing to the department chair.

October 1

The department chair gives his or her final letter to the candidate, inserts copies of the letter into the Portfolio, and sends the candidate's materials to the Dean.

October 4

The candidate may reply to the final letters of the Department Tenure and Promotion Committee or department chair by submitting a letter to the department chair, who will insert the letter into the Portfolio or forward the letter to the Dean to insert into the Portfolio.

November 14

The College Tenure and Promotion Committee sends its recommendation letter to the Dean. A copy of the letter is made available for the faculty member and the department chair. The department chair shares the recommendation with the Department Committee.

November 21

The candidate, department chair, or Department Committee may submit a written reply to the Dean concerning the College Tenure and Promotion Committee's recommendation.

December 14

The Dean gives the candidate the Dean's recommendation letter. The Dean sends a copy of the letter to the department chair who shares the recommendation with the Department Committee.

December 21

The candidate or other concerned individuals (e.g., department chairs or Department Tenure and Promotion Committee members) may reply in writing to the Dean.

January 1

The Dean sends his or her recommendation letter to the Provost with the Portfolio. The Dean sends a copy of the letter to the candidate and the department chair.

XIII. Implementation of these Policies and Procedures

- A. As stated in section III.A. of the newly approved University Promotion and Tenure Policy, tenure-track faculty members who have received three or more probationary contracts prior to May 15, 2008 will have the choice to be evaluated relative to the University procedures and criteria for promotion and tenure that were in place at the time of their most recently effected probationary contract or relative to the new University policies. Tenure-track faculty members who choose the former will be evaluated by the College policies that were in place at the time of their most recently effected probationary contract. Tenure-track faculty members who choose the latter will be evaluated by the new College policies set out here. Tenure-track faculty members who have received two or fewer probationary contracts prior to May 15, 2008 will be evaluated by the new College policies set out here.
- B. Tenured faculty members in the College who have been promoted to the rank of Associate Professor as of May 15, 2008 and who seek to apply for promotion to Professor will follow the new procedures set out in this document.
- C. Tenured faculty members in the College who have not been promoted to Associate Professor as of May 15, 2008 will remain eligible to apply for promotion to Associate Professor, following the new procedures set out in this document.

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Record of approvals and revisions

**Recommended for adoption by College of Arts and Sciences department chairs:
October 10, 2007**

**Recommended by a vote of the College of Arts and Sciences tenure-line faculty:
November 12, 2007**

**Approved by the Dean of the College of Arts and Sciences:
November 12, 2007**

**Revised and approved by the University Promotion and Tenure Committee:
May 14, 2008**

**Revisions recommended for adoption by College of Arts and Sciences department
chairs: September 9, 2009**

**Revisions approved by the Dean of the College of Arts and Sciences:
September 9, 2009**

**Revised and approved by the University Promotion and Tenure Committee:
February 19, 2010**

**Revisions of Procedural Form approved and Policies and Procedures re-approved
by the University Promotion and Tenure Committee: November 26, 2012**

**Revisions of Procedural Form approved by the University Promotion and Tenure
Committee: May 15, 2019**