

COLLEGE OF LETTERS, ARTS, AND SOCIAL SCIENCES
EASTERN KENTUCKY UNIVERSITY

GUIDELINES FOR PROMOTION AND TENURE

Approved Date: August 31, 2016
Revised and Approved: February 28, 2017

OUTLINE

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A. STRUCTURE OF COLLEGE COMMITTEE

1. See the CLASS Constitution for guidelines about membership on standing committees <http://class.eku.edu/>.
2. The College Promotion and Tenure Committee shall consist of one faculty representative from each department in the College.
3. Only full-time, tenured faculty holding the rank of Professor or Associate Professor are eligible for membership on the Committee. Department chairs are not eligible for membership on the Committee. Only members holding the rank of Professor may vote on applications for promotion to the rank of Professor.
4. If a faculty member or a member of his or her immediate family is being considered for promotion or tenure, the faculty member may not serve on the Committee that year. If the faculty member is already a member of the Committee, he or she shall be replaced by an alternate for that year, but shall return in subsequent years to complete the balance of his/her term (excluding any years served by an alternate).
5. A faculty member shall not serve on both the College and Departmental Promotion and Tenure Committees in the same year. No member of any Promotion and Tenure committee may serve on the University Faculty Evaluation Appeals Committee in the same year.
6. The Dean and Associate dean shall organize materials and meetings for the Committee and serve as facilitators to ensure that appropriate procedures and policies are followed and applied in a consistent and fair manner. The Dean and Associate Dean shall sit in during the Committee deliberations. They shall not otherwise participate in the evaluation of candidates for promotion and/or tenure.
7. The faculty member serving as the College representative to the University Faculty Evaluation Appeals Committee (see Section F) shall attend all the College Committee meetings as a non-voting observer. This procedure is adopted in order to familiarize the individual with cases that he or she shall handle at the University Committee level.
8. An alternate may replace an excused member for voting purposes on tenure or promotion recommendations only if the alternate has been present for all discussions regarding tenure or promotion to the higher rank.
9. The Committee members and alternates shall be elected no later than September 1 of the relevant year.
10. A quorum requires at least two-thirds of the voting members.
11. An organizational meeting of the College Promotion and Tenure Committee shall be convened by the Dean no later than October 1, and a firm schedule of meetings that

complies with the current College and University deadlines shall be established for subsequent committee meetings for each type of application.

12. If any date specified on this document falls on a weekend or official holiday, then the effective date shall be considered the next day on which University administrative offices are open.

B. RESPONSIBILITIES OF THE COLLEGE COMMITTEE

1. The College Committee shall be responsible for examining promotion and tenure materials prepared by departmental committees and addenda provided by the department chair/and or the candidate as well as for ensuring that the departments
 - a. apply standards equitably
 - b. follow approved criteria and procedures
 - c. consistently match promotion and tenure recommendations with the goals and needs of the College
 - d. avoid unsubstantiated information or material that lacks documentation as part of the decision process.
2. Members of the College Committee shall have access to the individual application files upon their receipt by the Dean.
3. The College Committee shall have an organizational meeting, convened by the Dean no later than October 1. A firm schedule of meetings that complies with the current College and University deadlines shall be established for subsequent committee meetings for each type of application.
4. The College Committee shall begin its review of the recommendations no later than the first week in December.
5. The College Committee may ask the departmental committee, department chair, or other qualified source for clarification of any materials under review.
6. Each candidate for promotion and/or tenure shall select a member of his/her department promotion and tenure committee, or the department chair, to present his/her candidacy to the College Committee. A department chair should be selected only if he or she has participated in the departmental promotion and tenure committee deliberations so that he or she is able to effectively address any concerns the College Committee may have. The candidates must provide the College Committee Chair with the name of the selected representative no later than September 15.
7. Normally, the representative shall make a presentation of no more than fifteen (15) minutes to be followed by a discussion of the candidate. The representative shall remain throughout the discussion of the candidate.

8. The College Committee will review first the recommendations for tenure and then the recommendations for promotion in ascending order of rank. In reviewing applications for Assistant Professor and tenure, the committee shall vote on promotion before voting on tenure. All candidates for tenure or promotion to a given rank will be considered at single sessions. In addition, voting on each candidate shall be done immediately after discussing the candidate, but the votes shall not be counted until all tenure candidates, or all candidates for promotion to a given rank, have been considered.
9. Decisions shall be made by secret ballot and by majority vote. A tie vote will be considered a negative recommendation.
10. No proxy votes will be allowed. Alternate Committee members will not be allowed to join the Committee after deliberations have begun.
11. Members of the College Committee shall complete the appropriate forms for recommendation for promotion or tenure, providing any necessary addenda. Members of the Committee shall sign the form, indicating the accuracy of the report as approved by the majority of the Committee and verifying the results of the vote.
12. If the College Promotion and Tenure Committee does not agree with the recommendation of the department promotion and tenure committee and/or the department chair, it shall submit a summary statement of justification for the differing judgment. A written summary by the College Committee is also required if the applicant has appealed the department decision or requested a reconsideration of the College Committee.
13. The Chair of the College Committee shall submit the Committee recommendations, with appropriate documentation and required forms, to the College Dean.
14. The College Committee shall complete its recommendations for promotion and tenure by the end of final exams week of the fall semester.

C. RESPONSIBILITIES OF THE COLLEGE DEAN

1. By September 5, the Dean shall send a list of faculty eligible for tenure to the department chair for transmittal to the candidate and the departmental promotion and tenure committee. It is the responsibility of the candidate to submit an application. Failure to do so will result in a terminal contract. A candidate for promotion is responsible for initiating the process by presenting a letter requesting a departmental review to the department chair, with a copy to the Dean, no later than September 1 of the year of review.
2. The Dean and Associate Dean shall organize materials, and schedule and attend all meetings of the Committee.
3. The Dean shall submit all positive and divided recommendations from department chairs and appeals from candidates to the College Committee. The Dean shall not submit to the College Committee recommendations for promotion disapproved by both the departmental committee and the department chair unless the candidate appeals these

decisions. All recommendations on tenure shall, however, be submitted to the College Committee.

4. Upon receipt of the College Committee's recommendation form and the individual application file, the Dean shall review all materials and make separate recommendations regarding the promotion or tenure of the candidates.
5. If the College Dean does not agree with the recommendation of the Committee, he or she shall so indicate on the recommendation form and submit in an addendum a justification for the differing judgment. Justification of the decision of the Dean must rest upon documented, verifiable information.
6. In cases where the Dean disagrees with the recommendation of the College Promotion and Tenure Committee, the Dean shall inform the Committee and the candidate, including an explanation for the differing recommendation. If the Dean agrees with the College Committee, he or she is not required to provide any written evaluation, though it may be desirable to do so.
7. The Dean shall inform the candidate, in writing, of the decisions by the College Committee and the Dean prior to submission of the recommendations to the next level. The notification should be done in time to provide the candidate with the opportunity to request a reconsideration.
8. The Dean shall forward positive, divided, and appealed recommendations pertaining to promotion and all recommendations on tenure to the Provost and Vice President for Academic Affairs, with copies of the recommendations from the College (and addenda) to the candidate and the department chair in accordance with the dates published in the *University Faculty Handbook*.
9. The Dean shall not forward to the Provost and Vice President for Academic Affairs recommendations for promotion disapproved by the Dean unless the candidate submits a request for further review. This request must be submitted to the Dean, with a copy to the department chair, within five (5) calendar days of notification by the Dean. This request that the review process continue is not an appeal. All recommendations on tenure shall, however, be forwarded to the Provost and Vice President for Academic Affairs.

D. RECONSIDERATION¹ AND APPEAL² OF THE COLLEGE COMMITTEE'S DECISION

1. The candidate may request reconsideration of the decision of the College Committee by submitting a written statement to the Dean and to the Provost and Vice President for Academic Affairs within five (5) days³ of notification of the decision by the College Dean. The request for reconsideration shall detail the grounds for reconsideration and shall include relevant evidence.
2. In order for a member of the College Committee to vote on a reconsideration, he or she must have voted on the recommendation being reconsidered. A quorum for a reconsideration shall be at least two-thirds of those members who voted on the original recommendation.
3. The College Committee shall meet with the candidate and then reconsider the recommendation (without the candidate present) in light of the information provided in the reconsideration statement of, and the meeting with, the candidate.
4. The College committee shall decide the reconsideration by secret ballot and by majority vote. A tie vote shall be considered a negative recommendation.
5. The Dean shall formally notify each candidate in writing of the results on any requests for reconsideration by the College Committee in time to provide the candidate with an opportunity to request an appeal.
6. Decisions on reconsiderations shall be processed in the same manner as uncontested decisions, through the Dean to the Provost and Vice President for Academic Affairs.

¹Reconsideration refers to a situation in which a candidate requests **the same** committee that has made a recommendation (usually a negative one) on his/her application to reconsider the recommendation. Upon reviewing the request (which must detail grounds for reconsideration and include relevant evidence), the committee may reverse or reaffirm its initial recommendation.

² An appeal refers to a situation in which a candidate requests a **higher committee** to reverse the recommendation of a **lower committee**. The statement of appeal must detail grounds for the appeal and include relevant evidence. A candidate may not appeal to a higher committee before first asking for reconsideration from the lower committee.

³ Throughout this document “within five days” shall be interpreted to mean no later than the fifth calendar day following the day of notification. If the fifth day occurs on a weekend or holiday, the request for reconsideration or the statement of appeal shall be due on the first day on which University administrative offices are open.

E. RECONSIDERATION¹ OF THE DEAN'S RECOMMENDATION

1. The candidate may request reconsideration of the Dean's decision by submitting a written statement to the Dean, with copies to the Provost and Vice President for Academic Affairs within five (5) days of notification of the decision by the College Dean. The request for reconsideration shall detail the grounds for reconsideration and shall include relevant evidence.
2. The Dean shall meet with the candidate, together with another member of the College Committee, and then reconsider the recommendation in light of the information provided in the reconsideration statement of, and the meeting with, the candidate.
3. The Dean shall formally notify each candidate, in writing, of the results on any requests for reconsideration by the Dean.
4. Decisions on reconsiderations shall be processed in the same manner as uncontested decisions are, through the Dean to the Provost and Vice President for Academic Affairs.
5. Appeals of decisions are made to the Faculty Evaluation Appeals Committee, subsequent to the Provost and Vice President for Academic Affairs' review and recommendation. Appeals are governed by University Policy 4.6.4P.

F. SELECTION OF FACULTY REPRESENTATIVE TO THE UNIVERSITY FACULTY EVALUATION APPEALS COMMITTEE

1. Each Department may nominate one candidate. Only full-time, tenured faculty members holding the rank of Professor are eligible to serve. No member of the University Committee can be a voting member of any other promotion and tenure committee.
2. It is recommended that departments nominate individuals who have served on the College Promotion and Tenure Committee within the preceding five (5) years.
3. The faculty representatives and alternates serve for a period of two years.
4. When necessary (e.g., when the term of serving members expires or there is a conflict of interest), the College representative and alternates for the University Faculty Evaluation Appeals Committee shall be selected no later than May 1 of the preceding academic year.
5. When the College representative is unable to serve in a given year, he or she shall be replaced by an alternate, but shall return in subsequent years to complete the balance of his/her term (excluding any years served by an alternate).
6. The representative is expected to attend all meetings of the College Promotion and Tenure Committee but shall not vote at these meetings.
7. CLASS faculty will vote for a College representative to serve on the University Faculty Evaluation Appeals Committee. The candidate with the most votes shall be the member of the University committee and the runner-up shall be the alternate. Ties shall be broken

by drawing lots.

G. CHANGES IN COLLEGE PROCEDURES

1. Changes in the College procedures shall be made by a majority vote of the voting full-time tenured and tenure-track faculty of the College.
2. Changes in the College procedures must be approved by May 1 of the preceding academic year in which they are to take effect.

H. SUGGESTED GOOD PRACTICES FOR DEPARTMENTS

1. All department chairs, members of departmental and college promotion and tenure committees, and candidates for promotion and/or tenure are expected to be familiar with and to comply with the University, College of Letters, Arts, & Social Sciences, and departmental promotion and tenure policies.
2. Throughout the promotion and tenure processes, principles of confidentiality shall be respected.
3. To ensure the procedural rights of the candidates for promotion and/or tenure, the department chair should provide copies of the College and Departmental Promotion and Tenure Guidelines to the candidate and to the appropriate departmental committees as soon as a determination has been made that the faculty member is to be considered for promotion and/or tenure.
4. Policies for promotion and tenure shall state specific criteria to be used in the evaluation and how they shall be applied.
5. Policies for promotion and tenure shall include a method for departments to periodically and regularly reassess their policies and procedures to ensure that they are continuing to support the stated purpose, mission, and goals of the University. The policies shall specify that the department chair is responsible for ensuring that the reassessment is conducted at least every five (5) years.
6. A departmental promotion and tenure committee should be chaired by an experienced individual who has previously served on a promotion and tenure committee.

7. Credit toward tenure and/or promotion:

Some candidates for promotion and/or tenure will apply prior service at another institution or place of employment toward the ECU probationary period. This must be agreed upon by the department chair and College Dean at the time of initial appointment and documented in the Personnel Action Form (PAF-1). Furthermore, for work at another institution to be considered for promotion and tenure purposes at ECU, complete documentation must be provided, including teaching evaluations, service record, and scholarly accomplishments.

If time at another institution has been applied toward the ECU probationary period for tenure, then professional accomplishments over the specific time period agreed upon will be considered as if having occurred during a normal five-year probationary period at ECU. Likewise, if time at another institution has been applied toward time in previous rank for promotion purposes, then professional accomplishments over the specific time period agreed upon will be considered as if having occurred during a normal time in previous rank requirement at ECU. However, it is essential that work performed before appointment at ECU represent part of a sustained professional program that has continued during the time at ECU. In particular, no amount of previous activity will compensate for a lack of professional accomplishments while at ECU.

8. Evaluation of teaching:

- (a) In accordance with University policy, each department has the primary responsibility of administering the University-supported teaching evaluation system and/or another evaluation questionnaire for student opinion of instruction chosen by the department. In presenting such data, the department must provide a thorough analysis including a summary clearly indicating how the candidate's performance compares relative to the rest of the faculty in the department. The candidate's performance should also be compared with those of faculty at the College, University, and national levels, if the instrument includes such comparisons.
- (b) In addition to student opinion of instruction, each department is also required by University policy to use a systematic method of evaluating instruction other than student opinion (e.g., peer visits and consultations, peer-reviewed portfolios, etc.) For each candidate for tenure and/or promotion, the department should also provide an evaluation of teaching performance as measured by this alternative method.
- (c) The College strongly recommends that the secondary method of evaluation of teaching include peer observation of teaching, with annual observations for non-tenured, tenure-track faculty. The committee also recommends departments conduct a peer observation of teaching for candidates for promotion at least once during the review period.

9. Standards and criteria for the assessment of scholarly/creative activities and service shall be developed by departments and approved at the Department and College levels and filed in Dean's office.
10. The ability of applicants to work well with colleagues and students in the areas of teaching, service, and scholarly/creative activities is also a very important consideration.
11. University guidelines permit individuals hired as Assistant Professor to apply for promotion to Associate Professor after three years of full-time service, whereas the probationary period for tenure is six (6) years.

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