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DOC 2006-10 University Promotion and Tenure Policy

University of Dayton. Provost Committee

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[Approved April 20, 2007; approved by faculty September 26, 2007; Approved by the Board of Trustees December 4, 2007]

PROPOSAL TO THE ACADEMIC SENATE

TITLE: UNIVERSITY PROMOTION AND TENURE POLICY

SUBMITTED BY: Provost Committee ([Read original version](#)) ([Read February 1 version](#)) ([read March 2 resolutions](#))

DATE: September 25, 2006; revised February 1, 2007; revised February 20, 2007 and March 2, 2007; April 20, 2007.

ACTION: Legislative authority

REFERENCE: II. B. 1.c. Will require faculty vote as specified in this section of the Constitution of the Academic Senate.

Introduction

The quality of faculty accomplishments in scholarship, teaching, and service largely determines the quality of the institution as a whole. Promotion and tenure decisions are extremely important to the life of the institution. They are the means by which the University retains its most valuable scholars, sustains excellence in its instructional program, and promotes its mission for service.

Promotion and tenure decisions are also among the most important events in a faculty member's professional life. Accordingly, it is essential that all faculty members be treated fairly and granted due process in the deliberations that determine promotion and tenure.

This policy establishes general guidelines that govern University-wide procedures for promotion and tenure review. These guidelines and procedures are designed to ensure communication, fairness, and due process throughout the review process. This policy includes opportunities to respond in the event of disagreements over promotion and tenure recommendations and provides an appeals procedure.

In addition, this policy provides a process for initial and periodic review of promotion and tenure documents for procedural consistency and clarity of substantive criteria both at the unit and department level.

I. Establishment, Review, and Approval of Promotion and Tenure Criteria and Procedures

A. General University-wide Criteria and Eligibility for Promotion and Tenure Evaluations

1. Criteria for promotion and tenure focus on the academic credentials and the academic performance of the applicant. The faculty member's performance will be evaluated as appropriate to the profession in the areas of:

- a. Teaching effectiveness and/or librarianship,
- b. Scholarship and/or artistic accomplishment, and
- c. Service, including professional, departmental, University, and community.

2. Tenure will not be granted to a faculty member whose rank is below the level of associate professor. Normally, tenure will be considered at the same time as promotion in rank. However, faculty may be promoted to associate professor prior to being granted tenure. Faculty members who have already been granted tenure at the assistant professor level prior to implementation of this policy will retain their tenure and rank.

3. Tenure-track faculty with no prior service credit will be considered for tenure no later than their sixth year of active, full-time service. 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 departmental reviews. The effects of such interruptions on the period of evaluation and timing of reviews must be agreed to in writing by the faculty member, chairperson, dean, and Provost at the time that the interruption takes place or within six months of the initiation of the interruption.

4. A candidate who successfully completes the promotion and/or tenure process will be granted promotion and/or tenure with his or her next contract.

B. Unit and Departmental Authority and Responsibilities

1. Each academic department will adopt clear criteria and procedures for promotion and tenure.

2. The College of Arts and Sciences, School of Business Administration, School of Education and Allied Professions, and School of Engineering will have an elected, representative unit promotion and tenure committee comprised of tenured faculty members from the unit. Each unit's procedures may allow for the dean to appoint up to two additional representatives in any given year. The School of Law¹ and University Libraries, because they have fewer than 30 tenure and tenure-track members, will not be required to conduct elections. They will set appropriate processes in place to establish unit promotion and tenure committees, and those processes will be reviewed by the University Promotion and Tenure Committee (hereafter, the University Committee).

3. The unit's Promotion and Tenure Committee will

- a. make a recommendation for promotion and tenure on each individual candidate to the dean, and
- b. review and approve its department-level criteria and procedures for promotion and tenure.

4. Any disagreements between a department and a unit promotion and tenure committee related to approval of departmental promotion and tenure criteria and procedures will be resolved by the appropriate dean.

C. University Academic Senate Authority and Responsibilities

1. The Academic Senate will establish the University Committee and provide oversight of the elections of faculty members to the University Committee.

2. The Academic Senate will determine all University-wide procedural policies on Promotion and Tenure and explicate such policies in the Faculty Handbook. If the University Committee notes inconsistencies between documents not covered by University-wide procedural policies on promotion and tenure, those procedural inconsistencies will be submitted to the Academic Senate for resolution.

D. The University Committee

1. The University Committee will
 - a. review and approve the promotion and tenure policies of all units for consistency with University policies and procedures
 - b. annually review the promotion and tenure process for adherence to appropriate procedures and present a report to the Chairperson of the Academic Affairs Committee of the Board of Trustees and the President of the Academic Senate. The President of the Academic Senate will annually present this report to the Executive Committee of the Academic Senate.
2. The University Committee will consist of fifteen tenured faculty members: seven from the College of Arts and Sciences (two from the Humanities, one from the Visual and Performing Arts, two from the Natural Sciences, two from the Social Sciences); two respectively from the School of Business Administration, the School of Education and Allied Professions, and the School of Engineering; and one each from the School of Law and the University Libraries.
 - a. The University Committee members will be elected by tenure and tenure-track members of their respective constituencies.
 - b. Members of the University Committee will serve three-year terms (maximum of two consecutive terms, with staggered terms within and across units); all members will be tenured with rank of associate professor or professor and cannot hold an administrative appointment (including departmental chairpersons, assistant and associate deans, deans, and other full or part-time administrators with line authority). The University Committee will elect a chairperson from those duly elected. The chairperson shall serve for one year, and may serve consecutive terms. Terms will begin effective June 1 of the year elected.
 - c. Any individual who cannot complete his or her term of office will be replaced from the list of candidates in the year in which the member was elected. Candidates not elected to the University Committee will be listed by area in the order of votes received, beginning with the highest, and will, in that order, be asked to fill vacated positions.
3. The University Committee will approve those unit documents that define clear substantive criteria and procedures consistent with University policies, including mechanisms for communicating throughout the entire promotion and tenure process.
4. After the initial approval has been received by a unit, the University Committee will review that unit's policies every three years. Whenever substantive changes are proposed, the unit promotion and tenure documents must be approved by the University Committee for consistency with University policies and procedures.

5. In the event the University Committee does not approve unit documents or proposed changes to them, and if the dean of that unit disagrees with the decision of the University Committee, the matter will be resolved by the President in consultation with the Provost.

6. The Provost's office will be responsible for providing administrative support for the work of this committee and assuring that all documents are distributed in a timely and appropriate manner.

II. Common Processes for Promotion and Tenure Evaluations

A. Common process for pre-tenure review

1. The approved University, unit, and departmental criteria and procedures will be shared with the candidate at the time of hire by the Office of the Provost. These will be the basis of the pre-tenure, final tenure, and promotion reviews.

2. Each unit dean will establish a timetable regarding the submission and review of pre-tenure materials.

3. During the pre-tenure period, every candidate will receive a minimum of two reviews of his or her teaching and/or librarianship, scholarship and/or artistic accomplishment, and service by his or her department and the appropriate dean, with the final review conducted the year prior to the final departmental tenure recommendation. The School of Law and University Libraries will have only a unit review.

4. Credit toward tenure granted for prior service

a. A candidate who is given two or fewer years credit toward tenure will receive two comprehensive reviews (as described in II.A.5 below).

b. A candidate receiving three or more years credit toward tenure will receive a minimum of one review of his or her teaching and/or librarianship, scholarship and/or artistic accomplishment, and service by his or her department and the appropriate dean, with the final review conducted the year prior to the final departmental tenure recommendation. The number of and timing of the review(s) will be explicated in the candidate's first letter of hire. The School of Law and University Libraries will have only a unit review.

c. Any changes in the tenure clock after this first letter of hire may require a change in the review cycle. Such changes must be agreed to in writing by the faculty member, chairperson, dean, and Provost.

5. Pre-tenure review process

a. A candidate will submit his or her review materials and supporting documentation for review to the responsible persons (i.e., departmental chairperson, departmental promotion and tenure committee) at the departmental level. (The School of Law and University Libraries will have only a unit review. Materials will be submitted directly to the unit dean.)

b. After giving adequate consideration to the materials, each department/unit will provide written feedback to the candidate in a timely fashion as designated by the departmental (unit in the case of the School of Law or University Libraries) promotion and tenure document. In addition to a statement regarding progress toward tenure, feedback will include comments of a developmental nature, in line with the criteria for tenure, indicating areas of concern and suggestions for improvement.

c. The candidate's review materials, supporting documentation, and the written feedback will be forwarded to the appropriate unit dean. The dean will then review the materials and provide written feedback to the candidate in a timely fashion.

B. Common application and final review process for tenure and/or promotion

1. Each unit dean will establish a timetable regarding the submission and review of promotion and tenure materials.

2. The review materials for promotion and tenure will be cumulative. Materials generated as a result of review at the departmental level (unit in the case of the School of Law or Libraries), including letters from chairperson, departmental promotion and tenure committee, and response, will become part of the application package and will be forwarded to the unit for review. Likewise, materials generated in the unit review, including letters from dean, unit promotion and tenure committee, and responses, will be forwarded to the Provost for review.

3. Materials of a substantive nature which update the submitted application (e.g., acceptance or publication of a manuscript) can be added to the application by the candidate at any point in the tenure review process until the Provost's recommendation is made. It is expected that appropriate consultation will take place if materials are added that will affect the recommendation.

4. Each academic department (unit in the case of the School of Law or University Libraries) will develop a "Procedural Form" that itemizes the promotion and tenure steps that are to be followed in the department and unit. As steps are completed, each of the responsible persons (e.g., departmental chairperson, departmental promotion and tenure committee, chairperson of the unit promotion and tenure committee, and dean) in the unit will provide his or her signature, acknowledging that steps were completed in accordance with the departmental and unit procedural policies and indicating the date in 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.

5. Departmental Application and Review Process (does not apply to School of Law or University Libraries)

a. A candidate will submit his or her application and supporting documentation for promotion and/or tenure to the departmental chairperson by the date specified by the departmental promotion and tenure documents.

b. After giving adequate consideration to each application, each department, in accordance with its unit promotion and tenure procedures, will make a promotion and tenure recommendation in writing to the appropriate unit promotion and tenure committee regarding each candidate. A letter from both the departmental chairperson and departmental promotion and tenure committee will go forward to the unit promotion and

tenure committee. These letters will specify the reasons for the departmental recommendations and will be copied to the respective candidate.

c. If the candidate chooses, he or she can respond in writing. This response will be forwarded with all related materials to the unit promotion and tenure committee.

6. Unit Application and Final Review Process (applies to all units)

a. The specific administrative process for submitting material, including to whom, must be specified in each unit's promotion and tenure policies.

b. After giving adequate consideration to each application, each unit promotion and tenure committee will make promotion and tenure recommendations regarding each candidate in writing to the appropriate dean by the date specified in the unit promotion and tenure documents.

c. After giving adequate consideration to the application, the unit dean will inform each candidate, in writing, of the recommendation and the reasons for it no later than the first business day following December 14. In units that conduct departmental reviews, this letter will be copied to the departmental chairperson. After ensuring the candidate has received notification, the departmental chairperson will share the recommendation with the departmental promotion and tenure committee. The dean will also inform the unit promotion and tenure committee of the recommendation.

d. Candidates or concerned individuals (e.g. departmental chairpersons, or promotion and tenure committee members) who wish to submit a written response to the dean have until the first business day following December 21 to do so.

e. The dean will then consider any additional evidence and responses and send a recommendation in writing to the Provost, along with the completed "Procedural Form," cumulative file, and the response(s) of any candidate or concerned individuals no later than the first business day after January 1. In units that conduct departmental reviews, this letter will be copied to the departmental chairperson, no later than the first business day following January 1. After ensuring the candidate has received notification, the departmental chairperson will share the recommendation with the departmental promotion and tenure committee. The dean will also inform the unit promotion and tenure committee of the recommendation.

7. Provost Recommendation Process

a. Candidates or any other concerned individuals (e.g. departmental chairpersons, or promotion and tenure committee members) have until the first business day following January 15 to file a written response to the dean's recommendation with the Provost.

b. The Provost will review all materials and make recommendations to the President no later than the first business day following January 30. Each candidate will be informed in writing of the Provost's recommendation. Candidates or any other concerned individuals (e.g. departmental chairpersons, or promotion and tenure committee members) who wish to submit a written response to the Provost will have until the first business day following February 15 to do so.

8. Final Administrative Authority

Final administrative authority rests with the President. Each candidate will be informed in writing of the President's decision. This decision will also be copied to the Provost, the appropriate dean, and the appropriate departmental chairperson.

9. Mediation and Appeals

If the candidate chooses to appeal the President's decision, he or she may begin the mediation process in accord with the Faculty Handbook, Section IV.E. If mediation does not resolve the complaint, the candidate may make use of the appeal processes set out in the Faculty Handbook (Sections IV.C.1, IV.E, and XIII.E.). The Board of Trustees will serve as the court of last resort in the appeals process.

10. Report to the Board of Trustees

- a. The President will provide the Board of Trustees with a report of promotion and tenure actions at the spring meeting. The summary report will minimally include statistics regarding the gender and minority status of candidates.
- b. The University Committee will receive a copy of the President's summary report on promotion and tenure no later than two weeks prior to the spring Board meeting.
- c. The University Committee will review the promotion and tenure process for adherence to appropriate procedures and will examine the President's summary report before compiling a report of its own to present to the Academic Affairs Committee of the Board of Trustees at the Board's spring meeting. This report will also be provided to the President of the Academic Senate who will present it to the Executive Committee of the Academic Senate.

III. Implementation of the University application and review process for promotion and tenure.

A. Following passage of this policy by the faculty members, the Provost will send a letter to each tenure-track faculty member who has received three or more probationary contracts prior to May 15, 2008². The letter will inform these tenure-track faculty members that they have the choice to be evaluated relative to the procedure and criteria for promotion and tenure which were in place at the time of their most recently affected probationary contract or relative to the resolutions presented here. Each affected tenure-track faculty member will submit his or her choice to the Provost's office within six months of the passage of these resolutions. Tenure-track faculty members who have received two or fewer probationary contracts prior to May 15, 2008 will be evaluated relative to the resolutions presented here.

B. Faculty members who have been granted the rank of associate professor as of May 15, 2008 will follow procedures for promotion to full professor as explicated above.²

C. The elimination of the provisional tenure year will be implemented with the first set of contracts distributed following the approval of these resolutions.

D. Work of the University Committee

- 1 Elections for University Committee members will be conducted in Fall 2007.²
- 2 Each unit will submit its procedural policies for promotion and tenure to the Provost's office. Those materials should be submitted as early as January 1 and no later than April 1, 2008.²
- 3 The University Committee will review all promotion and tenure procedural by May 15, 2008.²

E. Initial rotation of members³

1. Members to initially serve a three year term: Law, Libraries, Arts, Humanities(1), Natural Sciences(1)
2. Members to initially serve a two year term: Social Sciences(1), Business(1), Education(1), Engineering(1), Humanities(2)
3. Members to initially serve a 1 year term: Natural Sciences(2), Social Sciences(2), Business(2), Education(2), Engineering(2)

¹School of Law includes the School of Law faculty and Law Library faculty.

²Dates assume passage of the above resolutions by Fall 2007.

³Candidates with the highest number of votes in areas where two representatives are elected are designated by the number 1 in the rotations listed above. Candidates with the next highest number of votes in those areas are designated by the number 2.