

Promotion and Tenure: Policies & Procedures

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Today's Agenda

- P&T Reader's Program Summary
- Principles and definitions
- Components of dossier
- Process overview
- Next steps



P&T Reader's Program Summary



Purpose of program

- Increase the depth of review
- Identify patterns within dossiers and in the promotion and tenure process
- Deepen the pool of individuals who can identify and understand academic excellence across a wide number of disciplines



Summary

- No major red flags were identified
- Identified local best practices that we will work to incorporate broadly
- Significant discussion around the following topics:
 - impact versus strict, quantitative metrics and how those two things could be better balanced;
 - evaluation of student learning and success and developing better formative evaluation of teaching;
 - how the work of faculty engaged in interdisciplinary work (particularly as a member of a Discovery Theme) should be more explicitly identified earlier in the dossier; and
 - the timeline for a number of associate professors submitting materials for consideration for promotion.



Principles & Definitions



Principles

- Specific criteria are developed by each TIU and documented in APT documents
- Internal and external evaluation
- Three levels of review—TIU, college, OAA



Definitions

- Mandatory review
 - 4th year reviews, tenure reviews at the end of a probationary period, reappointment reviews in the penultimate year of appointment
 - [A tenure track candidate may request up to three tenure clock extensions](#) for birth or adoption, health issues beyond their control, other issues beyond their control



Definitions

- [Nonmandatory review](#)
 - Any review that is not a mandatory review
 - May be requested by a candidate at any time up to April 1 preceding the review (e.g., April 1, 2023 for an Autumn 2023 review)
 - Probationary faculty may be denied a formal review by the CEF every year up to their mandatory review year
 - Nonprobationary faculty may be denied a formal review once



Components of the dossier



Components of the dossier

- Front matter
- Core dossier
- Internal letters of evaluation
- External letters of evaluation
- Student evaluations of instruction
- Internal review evaluation letters



Front Matter

- College cover page
- [Form 105](#)
 - Candidate affirms completeness of dossier
 - POD affirms check of accuracy
 - POD documents vote of CEF



Core Dossier

- Mentoring needed around narratives and telling one's story
- List items only once in the dossier
- Can contextualize information within the narratives



Internal Review Letters

- [Annual review letters](#) (date of hire or last 5 years) & comments
 - Faculty must have the opportunity for a face-to-face meeting
 - Importance of annual reviews
- If tenure review, 4th year review letter & comments
- Letters requested by the Candidate
 - Solicited by the TIU head or chair of the eligible faculty
- Peer Evaluations of Teaching



External Evaluation Letters

- Need 5 letters
- No more than half recommended by the Candidate
- Arm's length
- Credible source/institution—peers and aspirational peers
- Should focus on scholarship unless documentation of other areas is included/needed based on job assignment
- Open-records laws



External Evaluation Letters ... what if?

- Not 5 letters
 - Will not stop a mandatory review
 - Will stop a nonmandatory review unless the candidate, chair of the eligible faculty, and TIU head agree in writing that the review may proceed, and the lack of letters does not constitute a procedural error.



SEIs

- Cumulative report
- SEI overview report
- Summary of comments



Internal Review Evaluation Letters

- TIU committee of eligible faculty
- TIU head
- College P&T committee
- College dean

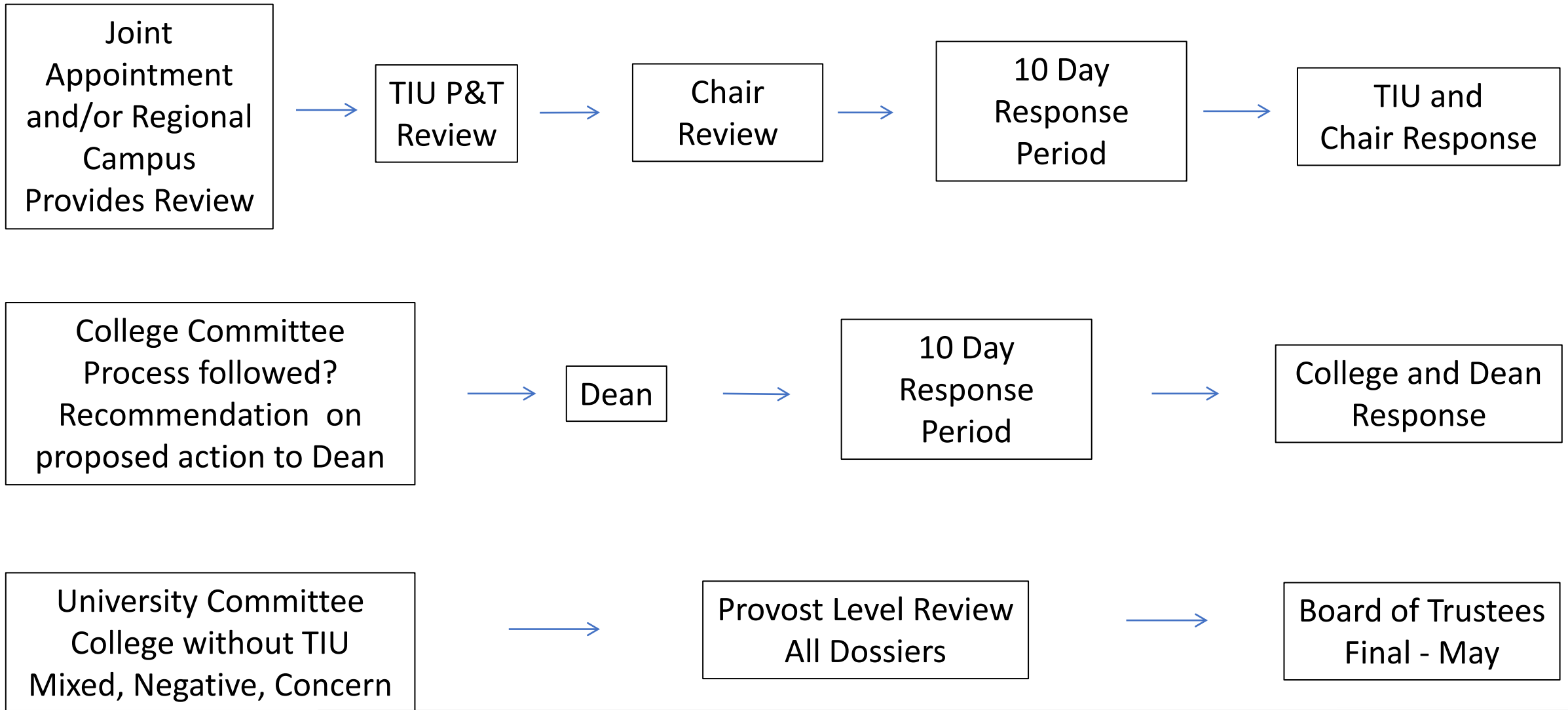


Process Overview



At the outset

- Identify a chair of the eligible faculty
 - Review requests for nonmandatory review
 - Review APT document
- Identify POD(s)





Joint appointment &/or regional campus

- Evaluation letter(s) should be included with materials before released to the committee of eligible faculty
- Comments from joint appointment and/or regional campus are to be included in annual reviews
- The context provided by these letters is critically important to understanding a candidate's case



TIU Review

- Conflict of interest
- Preparation and presentation of each case
- Distribution of materials
- Participation in meeting and the meeting
- Confidentiality
- Voting
- Letter



TIU Review—Conflict of Interest

- Familial or comparable relationship with candidate
- Close professional relationship—consistent co-author, grants collaborator, dissertation advisor
 - Guiding principle is whether or not the collaborator's individual, professional investment in the candidate's success could cloud their reading of the dossier.



TIU Review—continued ...

- Preparation and presentation of each case
 - Ensure all materials are ready before distribution to CEF
- Distribution of materials
- Participation in meeting
 - Faculty on leave may participate if they agree to participate in ALL meetings for which they are eligible
 - They are not required to participate and are not counted against quorum if they choose not to participate



TIU Review—a little more ...

- The meeting
 - POD should read the relevant criteria prior to each review so comparisons are made to the criteria rather than between individuals
- **Confidentiality!!!**
- Voting
 - Must attend full meeting to vote
 - Vote should be held during the meeting and can be electronic
 - Abstentions do not count as a vote
 - Can add faculty outside of unit if needed to meet minimum composition (three at rank of need)



TIU Review—and a little more ...

- Voting
 - Must attend full meeting to vote
 - Vote should be held during the meeting and can be electronic
 - Abstentions do not count as a vote
 - A unit may consider whether abstentions are allowable in P&T processes
 - Can add faculty outside of unit if needed to meet minimum composition (three at rank of need)



TIU Review—the letter

- Chair of the Eligible Faculty drafts the letter
- Summary and record of the CEF assessment and vote
- The letter should
 - Contextualize the vote—including both positive and negative views, even if the minority
 - Articulate whether and how the candidate meets the unit's criteria



TIU Head

- Is an *ex officio* member of the CEF
- Independent assessment
 - The TIU head is generally the last person in the process who understands the field, and therefore can:
 - provide context
 - emphasize candidate's work
 - elevate candidate's impact
- See [University Faculty Rule 3335-6-04\(B\)\(5\)](#)



Response Window/Comment Period

- Minimum of 10 days
- Consideration of candidate's comments
 - Please acknowledge comments even if there is no change in recommendation



College P&T Committee

- Are there any procedural errors that need to be addressed?
 - Missing information or documentation?
 - Conflicts not caught on previous levels?
 - Other errors?
- Did the CEF follow its process as documented in its APT document?
- Does the candidate meet the standards as set forth in the unit's APT document?



The college committee's job is NOT

- To debate the merits of a unit's APT document
- To consider whether a candidate meets standards not included in the unit's APT document
- See [University Faculty Rule 3335-6-04\(C\)](#) and [OAA Policies and Procedures Handbook—Volume 3, Sections 3.1, 3.2, and 3.3](#)



Dean's Review

- Independent review
- When in agreement with previous reviews, can provide a short rationale in concurrence
- When there is disagreement, the dean must address and adjudicate the disagreement—making a recommendation with rationale to the provost



Special Considerations

- Withdrawing from review
- Concerns from the POD
- Procedural errors
- Significant new information



Special Considerations—Withdrawing

- Only the candidate can stop the review once it has begun
- Withdrawing from a mandatory review must be in writing and accompany a letter of resignation to the TIU head
- Last date of employment is no later than May 31 of the year following the mandatory review year
- Letter must acknowledge that the decision to resign is irrevocable and that tenure will not be granted



Special Considerations—POD Concerns

- First bring to the attention of the person or body generating the concern(s)
 - Candidate who prepared the dossier
 - Faculty who may not be following procedure
 - Committees not following procedure
- If concerns cannot be resolved to the satisfaction of the POD, bring to the attention of the relevant administrator (TIU head or dean) who must investigate and reply in writing to the POD



Special Considerations—Procedural Errors

- Significant procedural errors (those that reasonably could have affected the outcome of the deliberations) should be corrected before the review continues. The error should be corrected at the level where the error occurred and be fully reconsidered from that point onward.



Special Considerations—Significant New Information

- Occasionally it may be appropriate to amend the record when significant new information becomes available. An amended record must be reviewed by all parties to the review process.



A few notes ...

- Do not discuss exclusion of time in letters
- Time to review **does not** change the standards and expectations
- Requests for change of committee composition will happen only in rare cases and must be brought to OAA for discussion



What's coming?

- Vita will turn off
- Interfolio will turn on
- Suite of P&T workshops and additional digital offerings
- Samples of dossier components



QUESTIONS?



Relevant Resources

- [Annotated dossier](#)
- [APT Documents for all TIUs](#)
- [External Evaluation Invitation Letter for Tenure-Track Faculty](#)
- [External Evaluation Invitation Letter Template for Clinical/Teaching/Practice Faculty](#)
- [Faculty Annual Review and Reappointment Policy](#)
- [Faculty Annual Review Template](#)
- [Form 105](#)
- [OAA Policies and Procedures Handbook](#)
- [POD Duties](#)
- [P&T FAQs](#)



University Rule 3335-6-03(D)

(D) Exclusion of time from probationary periods.

There are three circumstances under which probationary tenure-track faculty may obtain an exclusion of time from probationary periods, also known as extending the tenure clock. These exclusions recognize factors that impact the ability to meet the criteria for tenure within the probationary period outlined in paragraph (B) of this rule. A request to exclude time from the probationary period for any of the reasons listed in paragraphs (D)(1)(a) to (D)(1)(c) of this rule must be made prior to April first of the year in which the mandatory review for tenure is scheduled.

From slide 9



University Rule 3335-6-04(A)(3)

A probationary faculty member may ask to be considered for nonmandatory promotion and tenure review any time. However, the tenure initiating unit promotion and tenure committee may deny a probationary nonmandatory review every year up to the candidate's mandatory year. If a probationary nonmandatory review is allowed and the outcome is negative, the candidate continues at the rank they held at the start of the review. If a probationary mandatory review outcome is negative, the candidate's employment ends. Exclusions of time from a probationary period are allowed under 3335-6-03(D) and the expectations for productivity must be independent of the duration of the probationary period. A tenured faculty member may request a promotion review at any time. However, the tenure initiating unit promotion and tenure committee may deny this request if the tenured faculty member's accomplishments are judged not to warrant such review. The promotion and tenure committee may deny a tenured faculty member's request for promotion review only once. If the review is allowed and the outcome is negative, the tenured faculty member continues at the rank they held at the start of the review. This faculty member may continue at that rank indefinitely or request subsequent reviews that may not be denied.

From slide 10



University Rule 3335-6-01(A)

Provides the foundation for decisions regarding faculty appointment, reappointment, and promotion and tenure. Peers are those faculty who can be expected to be most knowledgeable regarding an individual's qualifications and performance—normally TIU colleagues or colleagues in related units or centers.

Recommendations by the faculty vested with the responsibility for providing peer review will be accepted unless they are not supported by the evidence presented regarding how the candidate meets the criteria established by the unit. Administrators and faculty review bodies at the college or university level may make a recommendation that is contrary to that of the TIU if, in its judgment, the TIU recommendation is not consistent with university, college, and TIU standards, criteria, policies, and rules.

Slide 19—when recommendations differ across bodies



University Rule 3335-6-04(B)(5)

The chair shall prepare a separate written assessment of the case and recommendation for the dean for inclusion in the dossier. As soon as the faculty report and chair's letter have been completed, the candidate should be notified in writing of the completion of the tenure initiating unit review and of the availability of these reports. The candidate may request a copy of these reports. The candidate may provide the tenure initiating unit chair with written comments on the tenure initiating unit review for inclusion in the dossier within ten calendar days of notification of the completion of the review. The promotion and tenure committee (eligible faculty) and/or chair may provide written responses to the candidate's comments for inclusion in the dossier. Only one iteration of comments on the departmental level review is permitted.

From slide 30



University Rule 3335-6-04(C)

(1) The purposes of promotion and tenure reviews beyond the tenure initiating unit shall be:

(a) To determine whether the tenure initiating unit has conducted its review and reached a recommendation consistent with university, college, and tenure initiating unit standards, criteria, policies, and rules. A faculty review body or administrator at the college or university level may make a recommendation that is contrary to that of the tenure initiating unit if, in its judgment, the tenure initiating unit recommendation is not consistent with those standards, criteria, policies, and rules.

(b) To determine where the weight of the evidence lies in cases in which there is not a clear or consistent recommendation from lower levels of review.

From slide 32



OAA Policies and Procedures Handbook—Vol. 3

- 3.1) College P&T committee (in colleges with departments): independent assessment including the committee's numerical vote and recommendation to the dean. If the college committee's assessment is contrary to the TIU-level assessment, rationale for differing judgments should be addressed.
- 3.2) College dean (in colleges with departments): independent assessment and recommendation to the executive vice president and provost. If the dean's assessment and/or recommendation differs from any of the prior assessments or recommendations, rationale for differing judgments should be addressed.
- 3.3) College-level comments process: include any letters generated or a notation that the candidate declined to provide comments.

From slides 32–34