

# EASTERN KENTUCKY UNIVERSITY

RECOMMENDED CHANGES

FOR

PROMOTION AND TENURE



Submitted  
by  
Ad Hoc Committee on Promotion and Tenure  
April 2003

**Eastern Kentucky University's Promotion and Tenure System: Recommended Changes**

**A Report**

**Submitted to**

**University Promotion and Tenure Committee**

**and**

**Eastern Kentucky University Faculty Senate**

**April 30, 2003**

**by**

**Ad Hoc Committee on Promotion and Tenure**

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## Summary of Committee Activities

During the spring semester, 2000, the University Promotion and Tenure Committee identified a number of issues concerning promotion and tenure policies, criteria, and procedures at Eastern Kentucky University. The committee asked Provost Mike Marsden to consult with leadership of the University Faculty Senate and form an ad hoc committee to address the issues. The committee formed consisted of tenured faculty representing all of the university's colleges, as well as university administration. The committee was asked to provide recommendations concerning promotion and tenure at Eastern, including recommendations specific to the issues raised by the University Promotion and Tenure Committee. These recommendations would be reviewed by the University Promotion and Tenure Committee and leadership in the Faculty Senate and considered through the regular governance process. The Ad Hoc Committee on Promotion and Tenure began its work in January, 2001.

Meeting weekly during the academic year to complete its work, the committee reviewed relevant sections of the *Faculty Handbook* and discussed issues concerning promotion and tenure. Though it was not charged to report the views of faculty across the university on the promotion and tenure system, the committee decided to conduct a survey. A form was developed and distributed to full-time faculty (n=610). Returned forms, totaling 276, were analyzed and discussed. The committee also sought information about promotion and tenure practices at other Kentucky universities, as well as at comparable regional comprehensive universities. Selected relevant publications were read and discussed, including sections of SACS and AAUP publications.

The committee focused primarily on the following broad areas of concern: criteria for promotion and for tenure; the promotion and tenure process at ECU, including procedures for appeal; committee membership; and the responsibilities of participants in the promotion and tenure process. In its discussions, the committee recognized important principles upon which the promotion and tenure system should be based, including those identified in the *Faculty Handbook* and in other published materials. In its recommendations, the committee has strived to emphasize the primacy of recommendations made at the department/division level, create a more efficient promotion and tenure process, provide greater specificity in criteria for promotion and for tenure, recognize the large variety of ways faculty members can contribute, and ensure fairness.

During the term of its work, the Ad Hoc Committee on Promotion and Tenure communicated with the University Promotion and Tenure Committee, the President of the Faculty Senate, and the Provost. The committee presented its report on April 30, 2003.

## Part I: Main Recommendations

Following are the main recommendations offered by the Ad Hoc Committee on Promotion and Tenure concerning promotion and tenure at ECU. More detailed discussions may be found in other sections of the report. The recommendations, not listed in order of importance, address specific issues raised by the University Promotion and Tenure Committee, as well as other matters relevant to ECU's promotion and tenure system. The committee presents these recommendations for review through the governance process and recommends that a transition period be established before approved recommendations go into effect. Departments will need time to establish their specific criteria for promotion and tenure, and faculty members will need time to prepare to meet new criteria.

Note: In this document, "administrators" refers to chairs, deans, and the Provost.

### A. Promotion and Tenure Process (See Part IV.)

#### Recommendations

- 1. Faculty peers elected to serve on departmental committees shall have the primary responsibility for evaluating candidates in their department for promotion and tenure. Throughout the promotion and tenure process, faculty and administrators shall recognize the primacy of departmental recommendations.**

Peers at the department level are likely to be better able to evaluate a colleague's performance than faculty serving in other departments and colleges. The current practice of reviewing applications at department, college, and university levels is unnecessary duplication, provided a careful review is conducted at the department level and provided that candidates have opportunity to appeal at the college and university levels. This recommendation is supported by practice at other universities and by ECU faculty responses to the Ad Hoc Committee's survey.

- 2. The responsibilities of promotion and tenure committees at the college and university levels shall be to approve criteria for promotion and tenure proposed by departments; as needed, to consider appeals of negative recommendations for promotion; and to review applications for tenure that have received a negative recommendation. (See Part IV, Section D for a discussion of the make-up of these committees.)**

In current practice, all applications and recommendations for promotion and tenure from the department level are reviewed again at the college and university levels, and, in some cases, the same group reconsiders its recommendation. This duplication is unnecessary, provided candidates have opportunity for appeal. The promotion and tenure process should ensure opportunity for appeals concerning promotion, and the primary responsibility of committees at the college and university levels should be to make recommendations concerning promotion appeals and to review applications for tenure that have received negative recommendations. Another responsibility of these committees should be to review for approval the criteria proposed by departments. Such a review of criteria is needed to ensure consistency among departments, and since the college and university committees shall be responsible for hearing appeals and conducting reviews, it is appropriate for these committees also to review for

approval the criteria proposed by departments.

3. **Administrators shall not serve as voting members of promotion and tenure committees at any level; however, they may be asked to meet with committees, and they may request to meet with committees.**

Faculty peers should have the primary responsibility for recommendations concerning promotion and tenure; however, administrators also should have the responsibility for making recommendations and, as appropriate, for providing committees with information concerning candidates that may not have been available to the committee. The promotion and tenure process should provide opportunity for both faculty committees and administrators to provide recommendations concerning applications for promotion and tenure, but, to preserve the autonomy of faculty promotion and tenure committees, administrators should not serve as voting members of those committees.

4. **Committees and administrators at all levels shall continue to submit separate recommendations concerning promotion and tenure.**

The university's promotion and tenure system should provide opportunity for review of applications by both faculty committees and administrators, but their recommendations should be separate.

5. **Review Process for Promotion and Tenure:**

- a. **If a candidate receives a positive recommendation for promotion or tenure from the department committee and chair, the application shall not be forwarded to the College Promotion and Tenure Committee but shall be forwarded for consideration by the dean.**

This policy is intended to reduce unnecessary duplication in the review process.

- b. **If a candidate is not recommended for tenure by committee or administrator at any level, the application shall be reviewed by the promotion and tenure committee at the next level. The chair, dean, or Provost shall initiate the review.**

Considering the long-term commitment involved in awarding tenure, EKU's promotion and tenure system must provide opportunities for review of applications for tenure at all levels. Especially when a candidate has not been recommended for tenure, additional review by faculty committees at a different level is warranted to ensure fairness. In such a hearing, members of promotion and tenure committees and administrators who have made recommendations concerning the application may be asked to meet with the committee hearing the appeal, and they also may request to meet with the committee.

- c. **If a candidate is not recommended for promotion by committee or administrator at any level, the application shall not be considered further, unless the candidate appeals to the next level.**

This policy will reduce unnecessary duplication in the review process, while

providing a candidate opportunity for appeal.

- d. **The Ad Hoc Committee recommends no change in the practice in which administrators at all levels review and make their own recommendations concerning all applications for tenure, applications for promotion that have received a positive recommendation, and applications for promotion that have received a negative recommendation, which the candidate has appealed.**
6. **The promotion and tenure process at ECU shall not require reviews by people outside the university; however, applicants may ask such people to provide letters to include in applications for promotion and tenure.**

Survey results show faculty support for this recommendation, which also is supported by the AAUP. People at ECU are well qualified to make recommendations concerning faculty at ECU who apply for promotion and tenure.

## **B. Criteria for Tenure (See Part V, Section B.)**

### **Recommendations**

1. **The university shall identify university-wide criteria for tenure and shall inform faculty of these criteria. The Ad Hoc Committee, in Part V, Section B, provides its recommendations for university-wide criteria for tenure.**

Though we should recognize the diversity of contributions by faculty in the university, criteria applicable to faculty in all departments should be identified for promotion and tenure. The *Faculty Handbook* focuses on the procedures for promotion and tenure and has a section identifying criteria for promotion, but it does not have a separate section concerning criteria for tenure. Such a section is needed.

2. **Individual departments throughout the university shall identify specific criteria for tenure within the areas of teaching, service, scholarly/creative activities, and working effectively with others inside and outside the university in professionally-related activities.**
  - a. **These departmental criteria shall be consistent with university-wide criteria and shall reflect good practice in the discipline, as well as practices at comparable regional comprehensive universities.**
  - b. **The criteria shall allow for diversity in faculty contributions and shall reflect ECU's traditional emphasis on effective teaching.**
  - c. **The criteria shall be submitted for review and approval by the college and university promotion and tenure committees, as well as by appropriate administrators.**

Faculty peers at the department level have the primary responsibility for recommendations for promotion and tenure. Though university-wide criteria should be identified, faculty at the departmental level are most knowledgeable of the discipline(s) in their department and should identify more specific criteria for

tenure that are relevant to the discipline. Criteria developed at the department level should reflect good practice in the discipline, as outlined by the appropriate professional associations and comparable regional comprehensive universities. EKU traditionally has emphasized effective teaching, and the committee believes that this emphasis should be reflected in recommendations for tenure.

- 3. Departments shall propose requirements for tenure to be applied to faculty teaching exclusively at Model Lab, in the Interpreter Training Program, in associate degree programs, and in other such units of the university.**

Criteria for tenure should reflect and allow for diversity of performance in the university. Departments should establish appropriate criteria for all faculty members serving in a special unit of the department and should apply these criteria consistently.

- 4. All criteria for tenure proposed by departments shall be reviewed for approval by the college and university promotion and tenure committees, as well as by appropriate administrative officers. Following the initial review of departmental criteria, a review and approval shall take place at least every five years.**

Though faculty in departments are most knowledgeable about the discipline(s) in their departments and should develop criteria for tenure, college and university promotion and tenure committees and university administrators routinely should review criteria proposed by departments throughout the university. Departments also should routinely review the criteria they use in evaluating applications for tenure.

- 5. Faculty and administrators evaluating applications for tenure shall continue to consider all areas of performance: teaching, service, scholarly/creative activities, and ability to work effectively with others inside and outside the university in professionally-related activities. The committee further recommends that evaluation of applications for tenure shall reflect EKU's traditional emphasis on effective teaching.**

The Ad Hoc Committee believes that tenure should be based on consideration of faculty performance in all areas, not in any combination of one or two of the areas. Faculty responses in the committee's survey support this view, as do practices at other comprehensive regional universities. EKU traditionally has emphasized effective teaching, and the committee believes this emphasis should be reflected in recommendations concerning tenure.

- 6. A terminal degree relevant to the faculty member's appointment shall be required for tenure. Exceptions may apply in unusual circumstances and shall be justified and approved in writing at the time of initial appointment in a tenure-track position.**

Departments should be responsible for determining what constitutes such a terminal degree and whether a faculty member's terminal degree is appropriate for his or her appointment. The department's definition should be reviewed for approval at the college and university levels. Department chairs, deans, and the Provost should have on record what is determined to be a terminal degree in different departments. The Ad Hoc Committee believes that requiring a terminal degree relevant to a faculty member's appointment will strengthen the university. Faculty responses to the committee's survey

and practices at other comprehensive regional universities also support this view.

7. **The probationary period for tenure shall be six years, and, if awarded, tenure shall begin in the seventh year. Exceptions concerning the probationary period shall be specified in writing at the time of initial employment in a tenure-track position.**

Currently, most faculty serve for four years and are reviewed for tenure in the fifth year. If awarded, tenure typically starts in the sixth year. Many faculty at ECU continue to support this provision, as evident in survey responses. AAUP guidelines and practices at other universities provide for a longer probationary period. The committee believes a longer probationary period will give faculty more opportunity to develop, which should benefit them, as well as the university. Exceptions concerning the probationary period should be documented at the time of initial employment in a tenure-track position.

8. **The university shall continue to permit faculty to apply for promotion in rank prior to being considered for tenure.**

Faculty come to the university with different records of professional performance, and faculty develop professionally in different ways and at different rates. The promotion and tenure system should be flexible enough to allow qualified faculty to apply for promotion. At the same time, given the long-term commitment in granting tenure, a six-year probationary term is warranted, with any exceptions to be approved in writing at the time of initial appointment. Further, decisions concerning tenure should be made separately from those for promotion. Faculty responses to the committee's survey, as well as practices at other universities, support this provision.

### C. **Promotion in Faculty Rank (See Part VI.)**

#### **Recommendations**

1. **The university shall revise its criteria for promotion in faculty rank and shall inform faculty of the criteria for each rank. The Ad Hoc Committee on Promotion and Tenure provides its recommendations for university-wide criteria for promotion in rank. (See Part VI, Section B.)**

The current *Faculty Handbook* does identify criteria for promotion, but the committee believes these criteria need to be reviewed and revised.

2. **Individual departments throughout the university shall identify specific criteria within the areas of teaching, service, scholarly/creative activities, and working effectively with others inside and outside the university in professionally-related activities to apply in evaluating faculty for promotion in rank.**
  - a. **These departmental criteria shall be consistent with university-wide criteria and shall reflect good practice in the discipline, as well as practices at comparable regional comprehensive universities.**

The criteria shall allow for diversity in faculty contributions and shall reflect ECU's traditional emphasis on effective teaching.
  - b. **The criteria shall be submitted for review and approval by the college and university promotion and tenure committees, as well as by appropriate**

**administrators.**

Faculty peers at the department level have the primary responsibility for recommendations for promotion and tenure. Though university-wide criteria should be identified, faculty at the departmental level are most knowledgeable of the discipline(s) in their department and should identify more specific criteria for promotion that are relevant to the discipline. These departmental criteria should reflect good practice in the discipline, as outlined by the appropriate professional associations and by comparable regional comprehensive universities. ECU traditionally has emphasized effective teaching, and the committee believes this emphasis should be reflected in recommendations for promotion and tenure.

- 3. Departments with special units shall propose requirements for promotion in rank to be applied to faculty who serve in those units, for example, faculty teaching exclusively at Model Lab, in the Interpreter Training Program, in associate degree programs, and in other such units of the university.**

Criteria for promotion should reflect and allow for diversity of performance in the university. Departments should establish criteria for all faculty members serving in special units of the department and should apply these criteria consistently.

- 4. All criteria for promotion in rank proposed by departments shall be reviewed and approved by the college and university promotion and tenure committees, as well as by appropriate administrative officers. Following the initial review of departmental criteria, a review and approval shall take place at least every five years.**

Though faculty in departments are most knowledgeable about the discipline(s) in their departments and should develop criteria for promotion, promotion and tenure committees and university administrators routinely should review criteria proposed by departments throughout the university. In determining criteria, fair representation from members of the department should be expected.

- 5. As in considerations for tenure, faculty and administrators evaluating applications for promotion shall continue to consider all areas of performance: teaching, service, scholarly/creative activities, and working effectively with others inside and outside the university in professionally-related activities.**

The Ad Hoc Committee believes that recommendations for promotion in faculty rank should be based on consideration of faculty performance in all areas, not in any combination of one or two of the areas. Faculty in all ranks should be expected to perform effectively in all areas, and criteria and evaluation should reflect this expectation. This provision is consistent with AAUP guidelines and the practices at comparable regional comprehensive universities.

6. **A terminal degree relevant to the faculty member's appointment shall be required for promotion in rank beyond instructor. Exceptions may apply in unusual circumstances and shall be justified and approved in writing at the time of initial appointment in a tenure-track position.**

Departments should be responsible for determining what constitutes such a terminal degree and whether a faculty member's terminal degree is appropriate for his or her appointment. The department's definition should be reviewed for approval at the college and university levels. Department chairs, deans, and the Provost should have on record what is determined to be a terminal degree in the departments. The Ad Hoc Committee believes that requiring a terminal degree relevant to a faculty member's appointment will strengthen the university. Faculty responses to the committee's survey and practices at benchmark institutions and other comparable regional universities also support this view.

7. **The university shall continue its practice of designating minimum time in previous rank for eligibility to apply for promotion. Any exceptions to the specified minimum time in rank shall be documented by appropriate administrators at the time of initial appointment and held on record in appropriate administrative offices.**

The committee sees no need to change the university's policies concerning a minimum time in previous rank. Documentation at the time of appointment of any exceptions is needed to establish a record concerning eligibility.

8. **The university shall continue to permit faculty to apply for promotion in rank prior to being considered for tenure.**

Faculty come to the university with different records of professional performance, and faculty develop professionally in different ways and at different rates. The promotion and tenure system should be flexible enough to allow qualified faculty to apply for promotion. At the same time, given the long-term commitment in granting tenure, a six-year probationary term is warranted, with any exceptions to be approved in writing at the time of initial appointment. Further, decisions concerning tenure should be made separately from those for promotion. Faculty responses to the committee's survey, as well as practices at many universities, support this provision.

**D. Membership on Committees Concerning Promotion and Tenure (See Part IV, Sections C, F, and H.)**

**Recommendations**

1. **Faculty and administrators shall not act on promotion and tenure applications at more than one level.**

To promote fairness in the review of applications, as well as consistency in procedures throughout the university, faculty and administrators should act on applications only once. They may meet, however, at the department level and, as needed, in the college and university promotion and tenure committees to discuss applications.

2. **Chairs and deans may be asked to meet with departmental promotion and tenure committees and college and university promotion and tenure committees. They also may request to meet with these committees.**

Though faculty peers have the main responsibility for recommendations concerning

applications for promotion and tenure, administrators may have information concerning an application that is not evident or available to committee members. The system should provide opportunity for administrators to offer relevant information, while preserving the autonomy of committees.

3. **Faculty members serving on committees concerning promotion and tenure at any level shall be tenured and currently full-time employed at ECU. Committee members shall be elected by their peers.**

This recommendation is consistent with current practice at the university, and the committee sees no reason to recommend a change.

4. **Faculty rank shall be a consideration for service on promotion and tenure committees.**

- a. **The rank of Associate Professor or Professor shall be required to serve on the College Promotion and Tenure Committee.**
- b. **The rank of Professor shall be required for a faculty member to serve on the University Promotion and Tenure Committee.**
- c. **When this provision cannot be met, chairs and deans shall arrange for appropriate representation, subject to approval by the promotion and tenure committees at the college and university levels.**

Those faculty making recommendations concerning promotion and tenure should have appropriate professional experience and rank to review applications.

5. **Those departments with special units, such as Model Lab, the Interpreter Training Program, associate degree programs, and other such units, shall propose the qualifications for faculty in those units to serve on departmental committees concerning promotion and tenure. The qualifications shall be reviewed for approval by deans, the Provost, and the promotion and tenure committees at the college and university levels.**

Faculty in a variety of units and programs, not all of them traditional university departments, serve the university's mission and are eligible for promotion and tenure. Faculty, including those serving in such programs, should determine qualifications to apply to membership on departmental promotion and tenure committees. These qualifications should be consistent with university-wide criteria and relevant to the faculty member's appointment. This provision is needed to promote fairness and consistency in the promotion and tenure process.

#### **E. Additional Recommendations**

1. **The committee recommends that to meet special needs the university may appoint faculty to a full-time, annually renewable, but non-tenure-track position of Teaching Associate. Teaching Associates shall not be eligible for tenure but may apply for a tenure-track position if one becomes available and, if appointed, may shift to a tenure-track position. Appointments for Teaching Associates shall be on an annual basis but shall not necessarily be limited to a fixed number of years. Teaching**

**Associates shall be evaluated annually by the department chair and departmental committee.**

The university sometimes has needs that require people with professional skills and experience not currently available in tenure-track appointments. Until these needs can be met through tenure-track appointments, Teaching Associate positions may be necessary. Note: *Teaching Associate positions are justified to meet special needs in the university; however, the Ad Hoc Committee emphasizes that EKU's administration should not rely on such positions when needs clearly justify establishing a tenure-track appointment and when people qualified to fill such an appointment are available.*

- 2. The Provost shall arrange for informational sessions to be available for faculty, especially new faculty, in which procedures and criteria for promotion and tenure are explained by senior faculty and appropriate administrators.**

This provision is needed to inform faculty throughout the university of the promotion and tenure process.

- 3. The Provost shall arrange for forms for the promotion and tenure process to be revised and for schedules to be reconsidered and revised as needed.**

If the Ad Hoc Committee's recommendations are approved, the Provost shall arrange for forms to be reviewed and revised as needed.

- 4. The university shall continue to follow AAUP deadlines concerning notification of non-renewal for non-tenured faculty: March 15 for first-year faculty, December 15 for second-year faculty, and 12-month notice for third year and beyond faculty.**

- 5. The procedure for evaluation of first-year faculty shall be changed.**

- a. Evaluations of first-year tenure-track faculty, to be completed by March 15 of the first full-year of a faculty member's employment, shall be done only by administrators, following criteria established by the department.**
- b. Positive recommendations for reappointment shall be initiated by the department chair and forwarded through administrative channels.**
- c. In the event the chair wishes to recommend non-reappointment of first-year faculty, the chair shall consult the department annual evaluation committee.**

It is difficult for faculty committees to evaluate adequately a first-year faculty member based on the work done during only a single semester (or less). An evaluation by the department chair should be adequate in cases of recommendation for reappointment. In cases where the department chair recommends non-reappointment of a first-year faculty member, the chair should consult with the department annual evaluation committee in order to promote fairness in the evaluation.

- 6. Beginning with the second year, evaluations for non-tenured faculty shall involve recommendations from both the department chair and the departmental annual evaluation committee. The evaluation report and recommendations shall be**

**forwarded through administrative channels.**

This is current practice, and the committee recommends no change in the evaluation of second-year, tenure-track faculty.

- 7. The Provost and deans shall ensure that exceptions agreed upon and documented at the time of a faculty member's initial appointment in a full-time, tenure track position are recognized and applied in the review of applications for promotion or tenure.**

This provision is needed to ensure fairness and to provide participants in the promotion and tenure process relevant information.

## **Part II: Background**

### **A. Summary**

In the spring semester, 2000, the University Promotion and Tenure Committee identified a number of issues concerning promotion and tenure policies, criteria, procedures, and organization at Eastern Kentucky University. (See Appendix A: Issues.) The committee asked the university's Provost to consult with the leadership of the Faculty Senate and form an ad hoc committee to address the issues in an effort to improve the promotion and tenure system. The Ad Hoc Committee on Promotion and Tenure was formed, consisting of tenured faculty selected to ensure representation from the university's colleges, as well as the university's administration.

In clarifying the committee's responsibilities, the Provost noted that the committee should address the specific issues identified by the University Promotion and Tenure Committee but also should extend the scope of its work to include any of the university's guidelines and practices concerning promotion and tenure. The charge to the Ad Hoc Committee on Promotion and Tenure, then, was broad: to recommend changes to improve the promotion and tenure system at Eastern Kentucky University. The recommendations would be presented for review by the University Promotion and Tenure Committee and for consideration through the university's regular governance process.

In forming its recommendations, the Ad Hoc Committee on Promotion and Tenure conducted a survey of full-time faculty at EKV, read a variety of information on promotion and tenure at Kentucky universities and at comparable regional comprehensive institutions, referred to relevant published material by the AAUP and SACS, reviewed selected articles and books, and held many discussions. During the term of its work, the committee communicated with the University Promotion and Tenure Committee, the President of the Faculty Senate, and the Provost. An interim report was submitted to the University Promotion and Tenure Committee on April 23, 2001.

The final report, submitted April 30, 2003, presents a record of the committee's work and the recommendations offered by the committee, which address the issues identified by the University Promotion and Tenure Committee. The recommendations concentrate on the following areas of promotion and tenure: criteria for promotion and for tenure, committee membership and responsibilities, procedures for appeal, and the overall organization of the promotion-tenure process at EKV.

### **B. Membership of the Ad Hoc Committee on Promotion and Tenure**

Katy Allen (Health Sciences)	Larry Sexton (Education)
Sheila Virgin (Health Sciences)	James Wells (Justice & Safety)
Bruce Pratt (Business & Technology)	David Sefton (Arts & Sciences)
Robert Rogow (Business & Technology)	Charles Whitaker, Committee Chair
Ferrell Wellman (Business & Technology)	(Arts & Sciences)

Members were selected by the University Promotion and Tenure Committee, the Provost, and the President of the Faculty Senate. All members are tenured, experienced, full-time members of the faculty, who have served in decision making in the promotion and tenure process at EKV. Larry Sexton and Robert Rogow serve also as deans in the university's administration. Charles Whitaker was elected by the committee to serve as chair. Katy

Allen was elected to serve as recording secretary. Other faculty members participated for short terms: Renee Taylor (Education), Sue Strong (Education), and David Greenlee (Arts & Sciences). Their participation was limited in length of time because they faced schedule conflicts or because they left the university.

**C. Membership of the University Promotion and Tenure Committee**

The following members of the University Promotion and Tenure Committee were responsible for initiating the work of the Ad Hoc Committee on Promotion and Tenure and for developing the items on the “Issues and Suggestions Regarding Policies, Procedures, and Criteria in the University Promotion and Tenure Process,” which the Ad Hoc Committee was asked to address.

David Gale, Committee Chair (Health Sciences)	Gary Cordner (Justice & Safety)
Merita Thompson (Health Sciences)	Pam Collins (Justice & Safety)
Robert Rogow (Business & Technology)	Dominick Hart (Arts & Sciences)
Stephen Fardo (Business & Technology)	Charles Whitaker (Arts & Sciences)
Mark Wascisko (Education)	Michael Marsden, Provost
Roberta Hendricks (Education)	Non-voting member

The work of the Ad Hoc Committee has taken place from 2001 - 2003, and, from the time the committee began its work, other members of the faculty have served on the University Promotion and Tenure Committee. They have heard the interim reports of the Ad Hoc Committee and have offered ideas about and support for its work:

Judy Short (Health Sciences)	Robert Reynolds (Education)
Bill Abney (Justice & Safety)	Michael Blakeney (Health Sciences)

**D. Goals/Purposes of the Ad Hoc Committee on Promotion and Tenure**

The committee was charged to address issues identified by the University Promotion and Tenure Committee and to make recommendations concerning any of the university’s guidelines concerning promotion and tenure with the intention of improving the promotion and tenure system. It is understood that these recommendations will be reviewed by the University Promotion and Tenure Committee and will be discussed and, as appropriate, acted on through the university’s governance process. The issues fall into the following main areas of concern :

Criteria for Promotion and Tenure Process for Promotion & Tenure	Membership/Participation of Committees Appeals Concerning Promotion Reviews Concerning Tenure
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The specific issues and questions are provided in Appendix A: “Issues and Suggestions Regarding Policies, Procedures, and Criteria in the University Promotion and Tenure Process.”

The committee was not charged with rewriting the *Faculty Handbook*, though it has drafted recommendations in such a way to help those who may rewrite the relevant sections on promotion and tenure. It is understood that the committee's recommendations are a starting point in changing the promotion and tenure system at ECU. The committee was not charged with conducting a survey of the faculty's views on promotion and tenure; however, the committee sought to learn more about the views of colleagues, so a survey was conducted. The committee's report does refer to the findings of the survey, but recommendations are not limited to what is indicated in the survey findings, important though these findings may be. Similarly, the committee was not charged with reviewing the practices and guidelines at other universities or reviewing the professional literature on promotion and tenure. The committee did seek to learn about current practices and ideas, but the committee has not felt compelled to make recommendations merely in order to align the promotion and tenure system at Eastern with that of other institutions, nor has the committee felt it necessary to provide a review of the literature on promotion and tenure. Members of the committee have sought to think independently about the system at Eastern and offer recommendations to improve it.

**E. Principles/Guidelines Followed by the Ad Hoc Committee on Promotion and Tenure**

1. The primary responsibility for decisions about promotion and tenure shall be that of faculty peers at the department/division level.
2. The university shall establish reasonably specific criteria to apply across the university; however, it is the responsibility of the faculty at the department level to determine and apply specific criteria in each of the relevant categories (teaching, service, scholarship/creative performance, working effectively with others inside and outside the university in professionally-related activities) that shall apply to faculty in that department. Promotion and tenure committees at the college and university levels shall review for approval the criteria proposed by departments.
3. Criteria established for promotion and tenure shall reflect best practices in the discipline and shall be flexible to indicate that faculty may perform professionally in different ways.
4. Eastern's traditional emphasis on teaching shall be reflected in decisions about promotion and tenure.
5. Exceptional terms agreed upon at the time of a faculty member's appointment to a full-time, tenure-track position shall be documented and made available to participants reviewing a candidate for tenure or promotion.
6. Committee membership shall emphasize the role of faculty members while providing also for separate administrative recommendations.
7. The promotion and tenure process shall ensure fairness yet shall be organized for efficiency.
8. Ample opportunity for review of a candidate for tenure and for appeal concerning promotion shall be available in the promotion and tenure process.

**F. Summary of Activities of the Ad Hoc Committee on Promotion and Tenure**

The committee conducted its work during the period January, 2001, to April, 2003, meeting weekly during the academic year and on selected days during the summer. A summary of the main activities follows:

1. Clarification of the charge to the committee and planning
2. Review of present promotion and tenure guidelines at Eastern
3. Preparation, administration, and analysis of a survey of faculty views on promotion and tenure
4. Review and discussion of promotion and tenure practices at other Kentucky universities and at selected other regional comprehensive universities
5. Review and discussion of selected published materials concerning promotion and tenures, including materials prepared by SACS and AAUP, articles and books on promotion and tenure, opinions on Kentucky laws relevant to promotion and tenure
6. Recommendations concerning criteria for tenure and for promotion
7. Recommendations concerning committee membership and the organization of the promotion and tenure process
8. Recommendations concerning appeal
9. Preparation and submission of the report

An interim report on the committee's activities was submitted on April 23, 2001. Informal reports were presented to the University Promotion and Tenure Committee at its meetings during the term of the Ad Hoc Committee's work. Informal reports were presented also to the Provosts (Dr. Mike Marsden and Dr. Mark Wascisko) and to the President of the Faculty Senate.

### **Part III: Survey of Faculty Views of Promotion and Tenure at ECU**

Though the University Promotion and Tenure Committee did not charge the Ad Hoc Committee on Promotion and Tenure to conduct a formal survey of ECU's faculty concerning promotion and tenure, the committee decided to conduct a survey as one of its first activities. The survey was conducted in April, 2001. Copies of the letter and the survey form submitted to the faculty are found in Appendix H, and the results of the survey and an analysis have been placed in Crabbe Library. A summary of results is provided here.

#### **A. Summary of Activities for the Survey**

1. The committee, led especially by Dr. James Wells, reviewed samples of a survey, letters, and a report relevant to the committee's interests and planned the survey. The survey would provide for both machine-scored responses and written comments. The survey would be piloted first to a variety of faculty and then revised as needed. The survey explanatory letter, form, and return envelopes would be sent to all full-time faculty. The results would be analyzed using the Statistical Package for the Social Sciences.
2. Again reviewing the "Issues and Suggestions" provided by the University Promotion and Tenure Committee, the Ad Hoc Committee formed survey items that would (a) indicate the degree of faculty satisfaction with sixteen matters concerning current promotion and tenure policies; (b) indicate the degree of support for twenty-eight ideas for possible revision of current promotion and tenure policies; (c) provide space for written comments on the effectiveness of the current process and on ways the system could be improved.
3. The form and relevant letters were drafted and revised.
4. The letter concerning the form explained the purposes of the survey, assured faculty of anonymity, provided directions on completing the form, and encouraged faculty to participate.
5. The committee requested a number of tenured faculty to complete a draft of the form and comment on any problems with it. These responses were considered, and appropriate revision occurred.
6. On April 11, 2001, the letter, survey form, and return envelopes were sent to tenure-track and tenured full-time faculty, as well as administrators, a total of 610. Mailing labels were provided by the Provost's office. Faculty were asked to complete and return the form by April 25, 2001.
7. The number of completed forms returned to the committee was 276.
8. The forms were processed and analyzed by the Center for Criminal Justice Education and Research. Results were provided to the committee and discussed. In its deliberations concerning recommendations, the committee often returned to the results to focus on faculty members' views.

## B. Survey Highlights

### Degree of Satisfaction with 16 Matters Concerning Promotion and Tenure Policies at EKU

Item:	Very Dissatisfied/ Dissatisfied	Undecided	Very Satisfied/ Satisfied
7. View of self-evaluation form for non-tenured fac.	27%	19%	54%
8. View of self-evaluation form for promotion and tenure	29%	18%	53%
9. View of criteria description	32%	19%	48%
10. View of current time frame for tenure	18%	7%	75%
11. View of specificity of criteria for P/T in dept.	42%	12%	46%
12. View of specificity of criteria for P/T in coll.	45%	19%	36%
13. View of specificity of criteria for P/T in univ.	45%	21%	35%
14. View of consistency of eval. from dept. to college	32%	23%	45%
15. View of consistency of eval. from college to university	27%	35%	38%
16. View of consistency of eval. from dept. to university	34%	30%	36%
17. View of reconsideration/ appeal process for P/T	19%	41%	40%
18. View of policy to promote before granting tenure	31%	16%	53%
19. View of policy to bring in chair/dean with tenure as faculty member	38%	14%	48%
20. View of providing some fac. credit toward tenure	20%	11%	69%
21. View of how well committees take responsibility for eval.	18%	14%	68%
22. View of how well administrators take responsibility for eval.	24%	20%	56%

### Degree of Support for 28 Ideas for Revision of Promotion and Tenure Policies

Item:	No/Some Support	Moderate Support	Very Strong/ Strong Support
23. Require terminal degree for promotion to associate prof.	26%	11%	63%
24. Require terminal degree for promotion to professor.	14%	8%	78%

### Degree of Support for 28 Ideas for Revision of Promotion and Tenure Policies (Continued)

Item:	No/Some Support	Moderate Support	Very Strong/ Strong Support
25. Require terminal degree for tenure.	37%	10%	53%
26. Create non-tenure-track appt. allowing continuing reappt.	28%	18%	54%
27. Allow application for tenure before end of probat. period.	51%	20%	28%
28. Extend probationary period for tenure an additional year.	62%	14%	24%
29. Eval. tenure-track faculty every 2 years prior to tenure appl.	59%	12%	30%
30. Establish min. standards at each rank.	23%	21%	56%
31. Establish min. dep't. standards.	16%	16%	69%
32. Establish min. college standards.	26%	17%	57%
33. Establish min. univ. standards.	34%	15%	52%
34. Allow dep't. to decide on tenure	43%	15%	42%
35. Establish min. standards for programs within dep'ts.	34%	20%	46%
36. Allow college to decide on tenure.	68%	13%	19%
37. Allow univ. to decide on tenure.	71%	10%	19%
38. Eliminate univ.-level committee.	37%	16%	48%
39. Require outside review of appl. for P/T.	79%	11%	10%
40. Prohibit admin. from participating on P/T com. at different levels.	48%	16%	36%
41. Prohibit fac. from participating on P/T com. at different levels.	59%	13%	28%
42. Allow faculty to apply for tenure based on performance in teaching and service OR scholar//creative.	37%	17%	46%
43. Allow faculty to take tenure when changing dep't. at univ. request.	8%	11%	81%
44. Allow faculty to take tenure when changing dep't. at faculty's request.	17%	17%	66%
45. Allow dep't. to decide if terminal degree out of field counts in P/T.	18%	19%	62%
46. Require peer review of teaching.	25%	15%	60%
47. Require univ-wide methods for evaluating teaching.	39%	23%	39%
48. Ask univ. to determine alternate ways to evaluate teaching.	34%	23%	43%
49. Permit only refereed scholarly/creative work to be considered.	67%	14%	19%
50. Create a separate rank system for faculty at Model Lab School.	25%	20%	55%

In choosing items for the survey, the Ad Hoc Committee referred to the issues identified by the University Promotion and Tenure Committee and determined other items relevant to the committee's overall goals. In forming recommendations, the Ad Hoc Committee considered survey findings but did not feel compelled to align completely its recommendations with the findings of the survey. Percentages may not add to 100% due to rounding.

## **Part IV: Implementing Recommendations Concerning the Promotion and Tenure Process**

### **A. Recommendations for the Promotion and Tenure Process**

The committee recommends the following general process:

The dean of the college and the department chair shall initiate the tenure process. It shall be the responsibility of the faculty member to initiate his or her application for promotion. In the evaluation process for tenure and promotion, separate recommendations shall be made by faculty committees and administrators. Following review and recommendations at the departmental level, all applications for tenure and promotion shall go forward for review and recommendations by the dean, Provost, and President. If a candidate receives a positive recommendation for promotion or tenure from the department committee and chair, the application shall not be forwarded to the College Promotion and Tenure Committee but shall be forwarded to the dean. If a candidate is not recommended for tenure by the committee or administrator at any level, the application shall be reviewed by the promotion and tenure committee at the next level. The chair, dean or Provost shall initiate the review. If a candidate is not recommended for promotion by the committee or administrator at any level, the application shall not be reviewed further, unless the candidate appeals to the next level. As in the past, the Provost and President shall make recommendations to the Board of Regents concerning promotion and tenure, and final decisions concerning promotion and tenure are the responsibility of the Board of Regents.

### **B. Recommendations Concerning the Responsibilities of Applicants for Promotion or Tenure:**

The applicant shall:

1. Review the criteria and procedures and ensure that he or she meets the indicated requirements, such as term of service and terminal degree. If exceptions to the usual requirements have been approved, the applicant shall so indicate and explain, providing appropriate written documentation.
2. Initiate the process by submitting a letter to the department chair and college dean by September 10<sup>th</sup>, indicating intent to apply for promotion.
3. As necessary, discuss the promotion process, schedule, and criteria with the department chair or the chair of the department committee for promotion and tenure.
4. Gather and organize appropriate materials for review by committees and administrators serving in the promotion and tenure process.
5. Complete the application form and submit it with appropriate documentation to the department chair no later than November 1<sup>st</sup>.
6. Meet with the chair of the department committee and the chair of the department to discuss the department-level evaluations and recommendations and to sign the appropriate form, indicating receipt of the recommendations and evaluations.
7. Not be required to request a review when the departmental-level recommendation for tenure is negative. The application for tenure will be reviewed automatically at all levels. The applicant may submit a statement to the committee.
8. If the department-level recommendation for promotion is negative, examine the procedures for appeal, and determine whether or not to appeal.
9. If desired, initiate the promotion appeal process by submitting a letter to the college dean (copy to department chair and chair of the department committee) no later than five working days following receipt of the recommendations and evaluations from the department committee and the department chair. The letter shall request an appeal hearing

- and provide grounds for the appeal.
10. If appealing the department-level recommendation, meet with the College Promotion and Tenure Committee. Present appropriate information and explanation supporting the appeal.
  11. Once the appeal hearing has been completed, meet with the college dean and the chair of the college committee to discuss recommendations and evaluations and to sign the appropriate form, indicating receipt of the recommendations and evaluations.
  12. If desired, initiate an appeal to the University Promotion and Tenure Committee by submitting a letter to the Provost (copy to dean, department chair, and chair of the department committee) no later than five working days following receipt of the college-level recommendations concerning the appeal.
  13. If appealing, meet with the University Promotion and Tenure Committee and present appropriate information and explanation supporting the appeal.
  14. Following the hearing with the university committee, meet with the Provost to discuss the recommendations and evaluations concerning the appeal and to sign the appropriate form, indicating receipt of the recommendations and evaluations.
  15. If desired, initiate an appeal to the university's President by submitting a letter to the President (copies to the Provost, chair of the university committee, and dean of the college) appealing the recommendation at the university level.
  16. Meet with the university President to discuss grounds for appeal.

The President shall present a positive or negative recommendation to the Board of Regents, which has the authority to approve recommendations for promotion and tenure. The President shall inform the applicant by letter of decisions concerning the appeal.

### **C. Recommendations Concerning the Department Committee on Promotion and Tenure**

#### **Recommendations Concerning Committee Membership:**

1. Members of the committee shall be full-time, tenured faculty and shall be elected from the full-time, tenured faculty of the department. An alternate also shall be elected. The election shall take place before September 10.
2. The committee shall consist of a minimum of three members of the department. The maximum number shall be determined by the department.
3. The department shall determine the term of service on the departmental promotion and tenure committee.
4. The department chair shall not serve as a member of the committee, but the committee may invite the chair to meet with the committee to discuss candidates. The chair may request to meet with the committee.
5. The department committee and department chair shall submit separate recommendations.
6. If a member of the committee faces a conflict of interest in considering an application for promotion or tenure, the member shall not serve in the committee's work concerning a particular applicant but may serve in considering other applicants for whom there is no conflict of interest. If a member cannot serve, the elected alternate shall serve instead. The member facing a conflict of interest shall notify the chair of the committee, who shall notify the department chair and request that the alternate serve.
7. If the department cannot comply with these provisions because of small size or other circumstances, the dean and department chair shall arrange for appropriate representation from other tenured, full-time faculty.

#### **Recommendations Concerning Responsibilities of the Department Committee on Promotion and Tenure:**

Faculty members on the department's promotion and tenure committee shall have the primary responsibility for evaluating applicants for promotion and tenure and making recommendations. After reviewing applications and making recommendations, the committee shall forward all applications for tenure to the department chair, dean, Provost, and President.

If the department-level recommendation concerning promotion is negative, an applicant may appeal to the College Promotion and Tenure Committee. If the candidate does not appeal, the application for promotion will not be reviewed further.

If the department-level recommendation concerning tenure is negative, the application will be reviewed automatically by the promotion and tenure committees and administrators at all levels. This review shall be initiated by the department chair.

The Department Committee on Promotion and Tenure shall:

1. Elect a chair and recording secretary from the committee membership.
2. Conduct the review of applicants in an ethical manner, maintaining confidentiality.
3. Apply the college and university policies, procedures, and criteria concerning promotion and tenure.
4. Apply the specific criteria for promotion and tenure identified by the department and approved at the college and university levels.
5. Assemble and organize appropriate materials, to include
  - a. Application form and materials provided by the candidate
  - b. Student opinions of instruction and results of other systematic forms of evaluation
  - c. Previous departmental evaluations of the candidate's performance
  - d. Other evidence required by the department's policies
  - e. Additional clarifying information requested by the committee
6. When appropriate, invite the department chair to confer with the committee.
7. Evaluate the candidate's performance in the designated areas, ensuring fair and consistent application of criteria. Ensure that unsubstantiated information or material which lacks appropriate documentation is not used in the review of applications for promotion and tenure.
8. Vote on applications for tenure before considering and voting on applications for promotion to associate professor and professor. In evaluating applications for promotion to assistant professor and tenure, vote on promotion before voting on tenure. Assistant professor rank is required for tenure.
9. Vote by secret ballot whether to recommend or not to recommend the candidate for promotion or tenure. Base decisions on majority vote, with a tie vote to be considered a decision not to recommend the candidate.
10. Write an evaluation narrative for each candidate, reflecting fair application of criteria and evaluating the candidate's qualifications, not merely summarizing or describing what has been presented in the candidate's application. Ensure that the narrative is clearly and concisely written and reflects awareness of the needs of readers who may not be familiar with the discipline.

11. Complete, date, and sign the appropriate form, indicating that the committee recommends or does not recommend the candidate for promotion or tenure.
12. Keep minutes and maintain records concerning recommendations.
13. Submit the form and evaluation narrative, as well as the application materials, to the department chair.
14. Arrange for the chair of the committee or, if the chair cannot meet, another member of the committee to be available to meet with committees hearing appeals for promotion or further reviews for tenure.

**D. Recommendations Concerning the Responsibilities of the Department Chair in the Promotion and Tenure Process**

The department chair shall:

1. Inform faculty members at the time of initial appointment of the policies and criteria for promotion and tenure, including providing a copy of relevant materials.
2. Arrange for the department to elect members of the department promotion and tenure committee and an alternate before September 10.
3. Ensure that the committee membership does not represent a conflict of interest in evaluating and voting on applicants, as stated in university policy. If such a conflict of interest exists, the chair of the department shall arrange for the elected alternate to serve in considering any candidate for whom a conflict of interest exists.
4. Notify the department of schedules for application and provide forms and criteria to candidates. Notify faculty members who will be reviewed for tenure, and provide forms and criteria.
5. Conduct a meeting with candidates individually or as a group to explain promotion and tenure policies, criteria, application forms, and appropriate supporting materials for application.
6. Provide the department committee appropriate materials, as indicated in the department criteria for promotion, as well as appropriate forms.
7. At the department committee's request, meet with the committee to provide relevant information, or, when desired, request to meet with the committee to provide relevant information.
8. Complete, date, and sign the appropriate form, indicating a decision to recommend or not to recommend the candidate for promotion or tenure.
9. Write an evaluation narrative about the candidate, based on the application, supporting materials, the department committee's evaluation narrative, and other relevant information.
10. Meet with the candidate and the chair of the department committee to present and discuss department-level recommendations and the evaluation narratives. At the meeting, provide the candidate with a copy of the forms and evaluations. Secure the candidate's signature on the dated form, indicating receipt of the forms and narratives.
11. Advise the candidate, as appropriate, of procedures for appeal of negative recommendations for promotion. Explain that the candidate who chooses to appeal must present a letter to the dean of the college for conveyance to the College Promotion and Tenure Committee. Tell the candidate that this letter must be submitted within five working days following the candidate's receipt of the evaluation. Explain that the letter must request an appeal hearing, must detail grounds for appeal, and must provide relevant evidence to support the request for appeal.
12. Advise the candidate, as appropriate, of procedures for review of negative recommendations for tenure.
13. If requested, meet with the college and university promotion and tenure committees, or, when desired, ask to meet with these committees.

## **E. Recommendations Concerning the College Promotion and Tenure Committee**

### **Membership of the College Committee**

1. Two full-time, tenured faculty members shall be elected by full-time, tenured faculty from each department to serve on the committee. Where possible, an alternate also shall be elected. The election shall take place by October 1.
2. The term of service on the committee shall be two years, with arrangement for staggered terms in the first year.
3. Members shall hold the rank of Associate Professor or above (equivalent for faculty serving at Model Lab, in the Interpreter Training Program, in associate degree programs, and in other such units of the university).
4. Members of the College Promotion and Tenure Committee shall not serve also on the Department Promotion and Tenure Committee nor on the University Promotion and Tenure Committee.
5. The committee shall consist of no fewer than six voting members.
6. The dean and department chairs shall not serve as members of the committee. The committee may invite these administrators to meet with the committee, and the administrators may request to meet with the committee.
7. If a member of the committee faces a conflict of interest in considering an application for promotion and tenure, the member may not serve in the committee's work for the particular applicant but may serve for other applicants for whom there is no conflict of interest. If a member cannot serve, the elected alternate shall serve instead. The chair of the college committee or the member of the committee facing the conflict of interest shall notify the dean, who shall request the alternate to serve.
8. If these provisions cannot be met, the dean shall arrange for appropriate representation from other qualified faculty.

### **Responsibilities of the College Promotion and Tenure Committee**

**Note:** The primary responsibilities of the College Promotion and Tenure Committee shall be to (1) review for approval the criteria for promotion and tenure proposed by departments; (2) consider appeals concerning promotion; (3) review applications for tenure that have received a negative recommendation, doing so in terms of procedures and application of approved departmental criteria.

The College Promotion and Tenure Committee shall hear appeals concerning promotion and conduct reviews of negative recommendations concerning tenure. In cases of a negative recommendation concerning promotion at the department level, the college committee shall not evaluate the application unless the candidate requests an appeal. In cases of a negative departmental recommendation for tenure, the application shall be reviewed by the College Promotion and Tenure Committee. This review shall be initiated by the department chair.

The College Promotion and Tenure Committee shall:

1. Elect a chair and recording secretary from the elected membership.
2. Conduct the proceedings in an ethical manner, maintaining confidentiality.
3. Conduct reviews of negative recommendations for tenure prior to hearing appeals on promotion, except in cases of promotion to assistant professor.
4. Review the appropriate forms and evaluation narratives from the department committee

- and department chair concerning the candidate for promotion or tenure.
5. Consider the candidate's letter of appeal concerning a negative recommendation for promotion, or review the candidate's statement concerning a negative recommendation for tenure, if the candidate has chosen to submit one.
  6. Review and apply the department's criteria for promotion and tenure.
  7. Apply the college and university policies, procedures, and criteria for promotion and tenure
  8. Ensure that unsubstantiated information or materials which lack documentation are not used as part of the proceedings.
  9. Upon request, meet with the candidate, the chair of the department, and the chair of the department committee.
  10. Ensure that department criteria for promotion and tenure have been applied appropriately.
  11. Vote by secret ballot to recommend or not to recommend promotion or tenure for the candidate. Base decisions on majority vote, with a tie vote to be considered a decision not to recommend promotion or tenure.
  12. Complete, date, and sign the appropriate form, and provide a written explanation of the grounds for the committee's decision.
  13. Submit the committee's recommendation, materials presented at the hearing, and the appropriate forms to the college dean.
  14. In a timely manner, notify the candidate, the chair of the department, and the chair of the department committee of the college committee's recommendations.

**F. Recommendations Concerning the Responsibilities of the College Dean in the Promotion and Tenure Process**

The college dean shall:

1. Arrange for the election of members of the College Promotion and Tenure Committee and an alternate.
2. Notify the College Promotion and Tenure Committee of an appeal concerning a negative promotion recommendation or the need for a review of an application for tenure that has received a negative recommendation, and request the committee to meet at a designated time.
3. Ensure that the membership of the College Promotion and Tenure Committee does not pose a conflict of interest in evaluating and voting on applicants, as stated in university policy. If such a conflict of interest exists, the dean shall arrange for an elected alternate to serve in considering any candidate for whom a conflict of interest exists.
4. Provide the College Promotion and Tenure Committee with the candidate's letter of appeal concerning a negative recommendation for promotion; the candidate's statement concerning a negative recommendation for tenure, if provided; the appropriate forms for decisions; the application materials; and the forms and evaluation narratives completed at the department level.
5. At the college committee's request, meet with the committee to provide relevant information, or, when desired, request to meet with the committee to provide relevant information.
6. Ensure that the department chair and the chair of the department committee meet with the college committee when requested.
7. Review and apply the department's criteria for promotion and tenure.
8. Review applications for tenure.
9. Make a recommendation and, if negative, write an evaluation based on the candidate's application, supporting materials, the evaluation narratives from the department level, and,

- if appropriate, the letter of appeal, and the recommendations of the College Promotion and Tenure Committee.
10. Complete, date, and sign the appropriate form.
  11. In a timely manner, notify the candidate of the recommendation and request a meeting with the candidate.
  12. Meet with the candidate and the chair of the college committee to present and discuss college-level recommendations and the evaluation narratives. At the meeting, provide the candidate with a copy of the forms and evaluations. Secure the candidate's signature on the dated form, indicating receipt of the forms and narratives.
  13. Advise the candidate, as appropriate, of procedures for appeal of negative recommendations for promotion. Explain that the candidate who chooses to appeal must present a letter to the Provost for conveyance to the University Promotion and Tenure Committee. Tell the candidate that this letter must be submitted within five working days following the candidate's receipt of the evaluation. Explain that the letter must request an appeal hearing, must detail grounds for appeal, and must provide relevant evidence to support the request for appeal.
  14. Advise the candidate, as appropriate, of procedures for review of applications for tenure that have received a negative recommendation. Reviews are automatic when an application for tenure has received a negative recommendation.
  15. If requested, meet with the college and university promotion and tenure committees, or, when desired, ask to meet with these committees.
  16. Notify the Provost of the actions at the college level. Provide the Provost with all relevant forms, application materials, evaluation narratives, and additional materials presented to the college committee.
  17. As requested, meet with the Provost and the Chair of the University Promotion and Tenure Committee, or, if desired, ask to meet with them.
  18. At least every five years, ensure that each department reviews and revises, as needed, department-level criteria for promotion and tenure.
  19. Ensure that new faculty members receive at the time of their initial appointment the criteria for promotion and tenure.
  20. Ensure that criteria applied in the review of applications are consistent with the terms of agreement established at the candidate's initial appointment in a tenure-track position.

## **G. Recommendations Concerning the University Promotion and Tenure Committee**

### **Recommendations Concerning Membership of the Committee:**

1. Two tenured, full-time members of the faculty from different departments shall represent each college on the committee and shall be elected by tenured, full-time faculty in the college. An alternate also shall be elected and shall serve in the event that a member of the committee cannot serve. The election shall take place by November 1.
2. Members of the University Promotion and Tenure Committee shall hold the rank of Professor.
3. Deans, department chairs, and the Provost shall not serve as voting members of the University Promotion and Tenure Committee. Administrators may be invited to meet with committees or may request to meet with them. The University Promotion and Tenure Committee and the Provost will submit their recommendations separately.
4. Representatives on the University Promotion and Tenure Committee shall not serve on the promotion and tenure committees at the department or college levels.
5. If a member of the committee faces a conflict of interest in serving on the committee, the member shall not serve in the committee's work concerning the particular candidate but may serve for other candidates for whom there is no conflict of interest. If a member

cannot serve, the elected alternate shall serve instead. The chair of the university committee or the member facing the conflict of interest shall notify the Provost. The Provost and the appropriate dean shall request the elected alternate to serve.

6. The term of service on the committee shall be two years, with arrangements for staggered terms in the first year.
7. If these provisions for membership cannot be met, the Provost and dean shall arrange for appropriate representation on the university committee.

### **Responsibilities of the University Promotion and Tenure Committee**

**Note:** The primary responsibilities of the University Promotion and Tenure Committee shall be to (1) review for approval the criteria for promotion and tenure proposed by departments (2) consider appeals concerning promotion; (3) review applications for tenure that have received a negative recommendation, doing so in terms of procedures and application of approved departmental criteria.

The University Promotion and Tenure Committee shall hear appeals concerning promotion and conduct reviews concerning tenure. In cases of a negative recommendation concerning promotion at the college level, the university committee will not review the application unless the candidate requests an appeal hearing. In cases of a negative recommendation concerning tenure, the university committee automatically will conduct a review. The review shall be initiated by the college dean.

The University Promotion and Tenure Committee shall:

1. Elect a chair and recording secretary from the committee membership.
2. Conduct the proceedings in an ethical manner, maintaining confidentiality.
3. Review applications that have received a negative recommendation for tenure prior to hearing appeals on promotion, except in cases of promotion to assistant professor.
4. Review the appropriate forms and evaluation narratives from the department level, the candidate's application materials and appeal letters, and forms and recommendations from the college-level hearing.
5. Consider the candidate's letter of appeal concerning a negative recommendation for promotion, or review the candidate's statement concerning a negative recommendation for tenure, if one has been submitted.
6. Review and apply the department's criteria for promotion and tenure.
7. Apply the college and university policies, procedures, and criteria for promotion and tenure.
8. Ensure that unsubstantiated information or materials which lack documentation are not used as part of the proceedings.
9. When requested, meet with the candidate.
10. As needed, meet with the college dean, chair of the college appeal committee, department chair, and chair of the department committee to hear grounds for their recommendations.
11. Vote by secret ballot to recommend or not to recommend promotion or tenure for the candidate. Base decisions on majority vote, with a tie vote to be considered a negative decision.
12. Complete, date, and sign the appropriate form, and provide a written explanation of the grounds for the committee's decision.
13. Submit the committee's recommendation, explanation, materials presented, and the appropriate forms to the Provost.
14. In a timely manner, notify the chair of the department, the chair of the college committee,

the dean of the candidate's college, and the candidate of the recommendations of the university committee.

#### **H. Recommendations Concerning the Responsibilities of the Provost in the Promotion and Tenure Process**

The Provost shall

1. Arrange for the election of members of the University Promotion and Tenure Committee, as well as an alternate(s) for each college, and request that the committee members elect a chair and recording secretary to serve annually.
2. Request the university-level committee to meet at a designated time to consider appeals concerning promotion or review applications for tenure that have received a negative recommendation.
3. Ensure that the membership of the University Promotion and Tenure Committee does not pose a conflict of interest in evaluating and voting on applicants, as stated in university policy. If a conflict of interest exists, arrange for an elected alternate to serve in hearings concerning applicants for whom a conflict of interest exists. If the Provost faces a conflict of interest in promotion and tenure hearings, the President shall appoint an alternate to serve in particular cases.
4. Provide the University Promotion and Tenure Committee with the candidate's letter of appeal, the candidate's application materials, and the recommendation forms and evaluation narratives completed at the departmental and college levels.
5. When requested, meet with the University Promotion and Tenure Committee, or, when desired, request to meet with the committee.
6. Ensure that the department chair, the chair of the department committee, the college dean, and the chair of the college committee meet with the university committee when requested.
7. Review and apply departmental criteria for promotion and tenure. Ask the members of the University Promotion and Tenure Committee to do the same.
8. Review applications for tenure.
9. Make a recommendation based on the candidate's application, supporting materials, the evaluation narratives from the college and departmental levels, and the candidate's letter of appeal concerning promotion or, if provided, statement concerning tenure. If this recommendation differs from recommendations at other levels, provide a written justification.
10. Complete, date, and sign appropriate forms concerning recommendations for promotion and tenure.
11. In a timely manner, notify the candidate of the recommendation and request a meeting with the candidate.
12. Meet with the candidate and the Chair of the University Promotion and Tenure Committee to discuss the recommendation. Present the candidate with a copy of the completed recommendation form, which shall include reasons to support the recommendation. Secure the candidate's signature on the dated forms, indicating receipt of the forms and the relevant narratives.
13. Advise the candidate, as appropriate, of the policies and procedures for appeal of negative recommendations for promotion to the President, including deadlines for such appeal. Tell the candidate that an appeal must be submitted in writing within five working days following the candidate's receipt of the evaluation. Explain that the letter must request an appeal hearing, must detail grounds for appeal, and must provide relevant evidence to support the request for appeal.

14. Advise the candidate, as appropriate, of procedures for review of applications for tenure that have received a negative recommendation.
15. If requested, meet with the President and the ECU Board of Regents to discuss recommendations concerning promotion and tenure, or, when desired, ask to meet with them.
16. Request deans and chairs to arrange for departments to establish written criteria for promotion and tenure, and ensure that these criteria are reviewed for approval by the college and university level promotion and tenure committees.
17. At least every five years, arrange for departments and colleges to review and revise, as needed, department-level criteria for promotion and tenure.
18. Ensure that new faculty members receive at the time of their initial appointment the criteria for promotion and tenure.
19. Ensure that criteria applied in the review of applications are consistent with the terms of agreement established at the candidate's initial appointment in a tenure-track position.
20. Arrange early in the fall semester for meetings in which experienced faculty and administrators inform faculty members of the criteria and procedures for promotion and tenure.

## Part V: Implementing Recommendations Concerning Tenure

### A. Procedures

1. Continue the practice that the Provost and President shall make recommendations concerning tenure to the Board of Regents, which has the authority for approval or disapproval of recommendations for tenure.
2. Revise the *Faculty Handbook* section on tenure, including more specific criteria.
3. Designate the probationary period for tenure to be six years, unless specified otherwise at the time of initial appointment.
4. Require a terminal degree relevant to the person's teaching appointment. Require departments to determine what constitutes such a terminal degree. Arrange for this definition to be reviewed and approved at the college and university levels.
5. Establish university-wide criteria for tenure. (See section below.)
6. Require departmental faculty, with consideration for multiple-discipline departments, to identify specific criteria for tenure. Departmental faculty are full-time faculty the majority of whose teaching and related duties are assigned to the department.
  - a. Criteria shall reflect good practice in the discipline as determined by members of the department, appropriate professional and academic organizations in the discipline, and other regional comprehensive universities.
  - b. Criteria shall be identified within the areas of teaching, service, scholarly/creative activities, and working effectively with others inside and outside the university in professionally-related activities.
  - c. Recommendations on tenure shall reflect EKU's traditional emphasis on teaching.
  - d. Criteria shall allow for diversity in faculty contributions.
  - e. Criteria recommended by the departments shall be submitted for approval by college and university promotion and tenure committees and by appropriate administrators. A time frame for providing criteria shall be established by the college dean. The department chair and the college dean shall initiate committee work devoted to identifying specific criteria for tenure within the broader criteria established by the university.
  - f. Approved criteria shall be written and held in offices of chairs, deans, and the Provost and shall be made available to prospective and continuing faculty.
  - g. Faculty, chairs, deans, and appropriate administrators shall review the departmental criteria for tenure at least every five years and revise them as needed.
7. Recognize that the primary responsibility for decisions on recommendations for tenure is that of faculty peers in the candidate's department.
8. Require administrators to inform faculty at the time of initial appointment of the criteria and procedures for tenure.
9. At the time of initial appointment, inform faculty in writing if, upon recommendation by the President, the Board of Regents accepts service at another institution in lieu of any part of the six-year probationary period at EKU.
10. Continue the current practice that faculty be permitted to apply for promotion prior to being considered for tenure.
11. Advise candidates who have been denied tenure at the department level that the application will be reviewed automatically by the College Promotion and Tenure Committee, the college dean, the University Promotion and Tenure Committee, the Provost, and the President.
  - a. Such review shall be on the grounds of new information, misinterpretation of information provided by the candidate, or a failure to apply criteria consistently.
  - b. Candidates are responsible for initiating appeal of negative promotion

recommendations by providing a letter detailing grounds for appeal and requesting a hearing. Reviews of negative tenure recommendations shall be initiated by the department chair. Candidates may provide a letter concerning the application for tenure and indicate their willingness to attend a hearing.

- c. In cases in which the department chair and committee disagree on tenure applications, the chair and committee shall prepare separate recommendations, and the application shall be reviewed by the College Promotion and Tenure Committee and dean. In cases in which the dean and the college committee disagree on tenure applications, the dean and committee shall prepare separate recommendations, and the application and recommendations shall be reviewed by the University Promotion and Tenure Committee, the Provost, and the President.
12. Continue ensuring that the process for tenure be open and documented and that decisions are based on appropriate, relevant, professional documentation.
13. Continue the policy that if a faculty member is denied tenure, a one-year contract shall be tendered.
14. Continue applying the current policy concerning faculty serving during a probationary period whose employment is terminated at the completion of the current annual contract. (See *Faculty Handbook*.)
15. Continue to endorse the AAUP statements on academic freedom indicated in the *Faculty Handbook*.

## **B. University-wide Criteria for Tenure**

See “Recommended University-Wide Criteria for Tenure,” Appendix B.

1. Terminal degree, as defined by the candidate’s department
2. Probationary period of 6 years, unless otherwise specified in writing at the time of initial appointment
3. Performance that meets established departmental criteria
4. A continuing record of successful teaching, demonstrated, for example, through student opinion of instruction, peer observations/evaluations, course outlines, assignments, students’ work, views of alumni, and other evidence required by the department
5. Evidence of effective, professionally-related service, demonstrated, for example, by service in the department, college, or university; service in the profession; and, as appropriate, professionally-related service in the community
6. Evidence of scholarly/creative activities relevant to the faculty member’s appointment, demonstrated, for example, through an active program of research, participation in professional development to enhance scholarship/creative activities, creative products or performances, professionally-related innovations, grant proposals/awards, publications, presentations, exhibitions, and other forms of scholarship of discovery, interpretation, application, or pedagogy
7. A record of working effectively with students and colleagues inside and outside the university in professionally-related activities

## **Part VI: Implementing Recommendations Concerning Promotion**

### **A. Procedures**

1. Continue the practice that the Provost and President shall present recommendations from the department and college levels, as well as their own recommendations, to the Board of Regents, which has the authority for final decisions concerning promotion.
2. Recognize that faculty peers at the department level, as supported by faculty at the college and university levels, have the main responsibility for recommendations concerning promotion.
3. Base the recommendations concerning promotion on evaluation of candidates' performance in the areas of teaching, service, scholarly/creative activities, and ability to work effectively with others inside and outside the university in professionally-related activities.
4. In forming recommendations on promotion, maintain Eastern's traditional emphasis on performance in teaching.
5. Establish reasonably specific, university-wide criteria for promotion.
6. Require departments to determine, within the broad university-wide criteria, more specific criteria for promotion to different ranks, with these criteria reflecting good practice in the discipline, as determined by appropriate professional organizations and other regional comprehensive universities.
7. Submit the criteria in writing for review and approval by the College Promotion and Tenure Committee, by the college dean, and by the University Promotion and Tenure Committee, the Provost, and the President. Criteria must be approved by May 1<sup>st</sup> to be effective in the next year.
8. Review and, as appropriate, revise departmental criteria for promotion at least every five years, staggering the reviews for a reasonable workload.
9. Provide faculty at the time of initial appointment written explanation of the criteria and procedures for promotion. Notify candidates in writing if criteria or procedures change.
10. Advise faculty who have not been recommended for promotion by the department committee or the department chair of the appeal process, including explaining that the candidate is responsible for initiating an appeal hearing through a written letter to the college dean.
11. Require that any approved exceptions concerning the required term of service at ECU for promotion be documented in writing at the time of initial appointment, with documentation held on record in appropriate administrative offices.

### **B. University-wide Criteria for Promotion**

See "Recommended University-wide Criteria for Promotion," Appendix C.

#### **1. Assistant Professor**

- a. Terminal Degree
- b. Minimum 1 year of experience at ECU prior to applying for promotion or a term of full-time service agreed upon and documented at the time of initial appointment.
- c. Evidence of successful teaching, as demonstrated through student opinion of instruction, at least one other systematic form of evaluation, and other evidence requested by the department (e.g., course outlines, assignments, students' work, etc.).

- d. Satisfactory performance in professionally-related service in the department, college, or university; in the profession; and, as appropriate, in the community.
- e. Demonstrated engagement in scholarly/creative activities relevant to the faculty member's appointment. Examples of activities include an active program of research, participation in professional development, creative products or performances, publications, presentations, or other forms of scholarship of discovery, interpretation, application, or pedagogy.
- f. Demonstration of working effectively with students and colleagues in professionally-related activities.

**2. Associate Professor**

- a. Terminal Degree
- b. Minimum of 3 years of full-time service at EKU or a term agreed upon and documented at the time of initial appointment; candidates may apply for promotion in the 3<sup>rd</sup> year.
- c. Sustained record of successful teaching, as demonstrated through student opinion of instruction and other evidence requested by the department (e.g., peer observations/ evaluations, course outlines, assignments, students' work, etc.).
- d. Effective contribution to teaching at EKU, for example, revision of curriculum, innovations in teaching, involving students in teaching, teaching in alternative modes and settings, etc.
- e. Record of effective professionally-related service in the department and in the college or university; in the profession; and, as appropriate, in the community.
- f. Record of successful, peer-reviewed scholarly/creative activities, some accomplished at the state, regional, national, or international level. Examples of activities include creative products or performances, professionally-related innovations, grant proposals/awards, publications, presentations, exhibitions, or other forms of scholarship of discovery, interpretation, application, or pedagogy.
- g. A record of working effectively with others inside and outside the university in professionally- related activities.

**3. Professor**

- a. Terminal Degree
- b. Minimum of 5 years of full-time experience in rank at EKU or a term agreed upon and documented at the time of initial appointment; candidates may apply for promotion in the 5<sup>th</sup> year.
- c. Sustained record of superior teaching, as demonstrated through student opinion of instruction and other evidence requested by the department (e.g., peer observations/ evaluations, course outlines, assignments, student's work, etc.).
- d. Additional effective contributions to teaching, for example, innovations in teaching, revision of curriculum, team teaching, involving students in teaching, teaching in alternative modes or settings, etc. Demonstration of leadership in teaching.
- e. Sustained and broad record of effective professionally-related service at multiple levels in the university and in the profession, and, as appropriate, in the community. Demonstration of leadership in service.
- f. Sustained record of successful, peer-reviewed scholarly/creative activities, some accomplished at the state, regional, national or international level. Examples of activities include creative products or performances, professionally-related innovations, grant proposals/awards, publications, presentations, exhibitions, or other forms of scholarship of discovery, interpretation, application, or pedagogy.
- g. A record of working effectively with others inside and outside the university in professionally-related activities.

## Appendices

## **Appendix A: Issues and Suggestions Regarding Policies, Procedures, and Criteria in the University Promotion and Tenure Process**

The Ad Hoc Committee on Promotion and Tenure was asked to address issues identified in this document.

“This list was developed during the February 3 and 4, 2000 meetings of the University Promotion and Tenure Committee. These and additional items were discussed further during the February 18<sup>th</sup> Committee meeting, and possible actions were suggested. The Committee made one broad recommendation which relates to several items: have Dr. Marsden ask the Faculty Senate to appoint an ad hoc committee to review promotion and tenure (P&T) guidelines, procedures, and timetables. Several items on the list below then were referred to this ad hoc committee, based on an assumption that it would be appointed.”

Some items on the list prepared by the University Promotion and Tenure Committee were not referred to the Ad Hoc Committee on Promotion and Tenure and, thus, are not included in the summary below. Further, since the committee was charged to review and make recommendations concerning the promotion and tenure process at large, the committee also addressed relevant matters not on the “Issues” list.

Following is a summary of the items on the list that were considered by the ad hoc committee:

- Should a faculty or administrator serve or participate in discussion of candidates at more than one level?
- Should scholarship requirements be different or the same for associate degree faculty who teach only in that level program?
- How can we ensure that teaching effectiveness is documented in the application?
- A number of items on the list concerned the criteria for promotion and tenure. These might be phrased in general as follows: How can we be more specific about criteria used in evaluating applications for promotion and tenure?
- Are external reviews of some applications needed?
- Should promotion be permitted before tenure?
- Should the probationary period for tenure be extended to seven years?
- Should more time pass before the first evaluation?
- Should a non-tenured rank be created?
- Other items on the list concerned the forms and timetables concerning promotion and tenure. The broad question might be phrased as follows: How can we make the promotion and tenure process more efficient?

## Appendix B: Recommended University-wide Criteria for Tenure

Faculty peers at the department, college, and university levels have the main responsibility for recommendations concerning tenure. Chairs, deans and the Provost are responsible for reviewing all applications for tenure and making separate recommendations. The President shall present recommendations to the ECU Board of Regents, which has the authority for final decisions concerning tenure. Recommendations and decisions shall be based on the evaluation of candidates' performance in the areas of teaching, service, scholarly/creative activities, and ability to work effectively with others inside and outside the university in professionally-related activities, with a recognition that at ECU effective teaching is emphasized.

Departments shall be required to identify and defend criteria for tenure. These criteria shall reflect the broad criteria established for the university and shall reflect good practice in the discipline, as well as practices at comparable regional comprehensive universities. The departmental criteria shall be reviewed for approval by the college dean and by college and university promotion and tenure committees, and recommendations shall be presented to the Provost and President for approval. A systematic review and approval of departmental criteria shall be conducted a minimum of every five years. Throughout the decision making process, faculty and administrators shall recognize the primacy of departmental recommendations.

The criteria that follow are broad criteria for use university-wide. Within these guidelines, departments shall determine specific criteria, which as approved, shall be used in evaluation of candidates for tenure. The following criteria apply to recommendations and decisions concerning tenure. Other criteria may apply to decisions concerning promotion.

1. Terminal Degree, as defined by the candidate's department
2. Probationary Period of 6 Years, unless otherwise specified in writing at the time of initial appointment to a tenure-track position
3. A Record of Working Effectively with Students and Colleagues in Professionally-related Activities
4. Performance in the Areas of Teaching, Service, and Scholarly/Creative Activities that Meets Established Departmental Criteria

<b>Teaching</b>	<b>Service</b>	<b>Scholarly/Creative Activities</b>
<p>A Continuing Record of Successful Teaching</p> <p>(demonstrated, for example, through student opinion of instruction, peer observations/evaluations, course outlines, assignments, students' work, views of alumni, and other evidence required by the department)</p>	<p>Evidence of Effective, Professionally-related Service</p> <p>(demonstrated, for example, by service in the department, college, or university; service in the profession; and, as appropriate, professionally-related service in the community)</p>	<p>Evidence of Scholarly/Creative Activities Relevant to the Faculty Member's Appointment</p> <p>(demonstrated, for example, through an active program of research, participation in professional development to enhance scholarly/creative activities, creative products or performance, publications, presentations, exhibitions, grant proposals/awards, professionally-related innovations, and other forms of scholarship of discovery, interpretation, application, or pedagogy)</p>

## Appendix C: Recommended University-wide Criteria for Promotion

Faculty peers at the department, college, and university levels have the main responsibility for recommendations concerning promotion. Department chairs and college deans are responsible for presenting separate recommendations. The Provost and President shall present recommendations from the department and college levels and their own recommendations to the Board of Regents, which has the authority for final decisions concerning promotion. Recommendations and decisions shall be based on the evaluation of candidates' performance in the areas of teaching, service, scholarly-creative activities, and ability to work effectively with others inside and outside the university in professionally-related activities, with a recognition that teaching is a priority at EKU.

Departments shall be required to identify specific criteria for promotion. These criteria shall reflect the broad criteria established for the university and shall reflect good practice in the discipline, as determined by appropriate professional organizations and comparable regional comprehensive universities. The departmental criteria shall be reviewed for approval by the college dean and by the college and university promotion and tenure committees, and recommendations shall be presented to the Provost and President for approval. A systematic review and approval of departmental criteria shall be conducted a minimum of every five years.

The criteria that follow are broad criteria for use university-wide. Within these guidelines, departments shall determine specific criteria and shall evaluate candidates for promotion in terms of the criteria. The following criteria apply to recommendations and decisions concerning promotion. Other criteria may apply for decisions about initial appointments. From rank to rank, criteria reflect increasing expectations within the same areas of performance considered for promotion in rank.

### Assistant Professor

Terminal Degree

Minimum 1 year of experience at EKU prior to applying for promotion or a term of full-time service agreed upon and documented at the time of initial appointment.

Evidence of successful teaching (demonstrated, for example, through student opinion of instruction, at least one other systematic form of evaluation, course outlines, assignments, students' work, views of alumni, or other evidence requested by the department).

Satisfactory performance in professionally-related service in the department, college, or university; in the profession; and, as appropriate, in the community.

Demonstrated engagement in scholarly/creative activities relevant to the faculty member's appointment. Examples of activities include an active program of research, participation in professional development, creative products or performances, publications, presentations, or other forms of scholarship of discovery, interpretation, application, or pedagogy.

Demonstration of working effectively with students and colleagues in professionally-related activities.

### Associate Professor

Terminal Degree

Minimum of 3 years of full-time service at EKU or a term agreed upon and documented at the time of initial appointment; candidates may apply for promotion in the 3<sup>rd</sup> year.

Sustained record of successful teaching (demonstrated, for example, through student opinion of instruction, peer observations/evaluations, course outlines, assignments, students' work, views of alumni, and other evidence requested by the department).

Effective contribution to teaching at EKU, for example, revision of curriculum, innovations in teaching, involving students in teaching, teaching in alternative modes and settings, etc.

Record of effective professionally-related service in the department and in the college or university; in the profession; and, as appropriate, in the community.

Record of successful, peer-reviewed scholarly/creative activities, some accomplished at the state, regional, national, or international level. Examples of activities include creative products or performances, professionally-related innovations, grant proposals/awards, publications, presentations, exhibitions, or other forms of scholarship of discovery, interpretation, application, or pedagogy.

A record of working effectively with others inside and outside the university in professionally-related activities.

### Professor

Terminal Degree

Minimum of 5 years of full-time experience in rank at EKU or a term agreed upon and documented at the time of initial appointment; candidates may apply for promotion in the 5<sup>th</sup> year.

Sustained record of superior teaching (demonstrated, for example, through student opinion of instruction, peer observations/evaluations, course outlines, assignments, student work, views of alumni, and other evidence requested by the department).

Additional effective contributions to teaching, for example, innovations in teaching, revision of curriculum, team teaching, involving students in teaching, teaching in alternative modes or settings, etc. Demonstration of leadership in teaching.

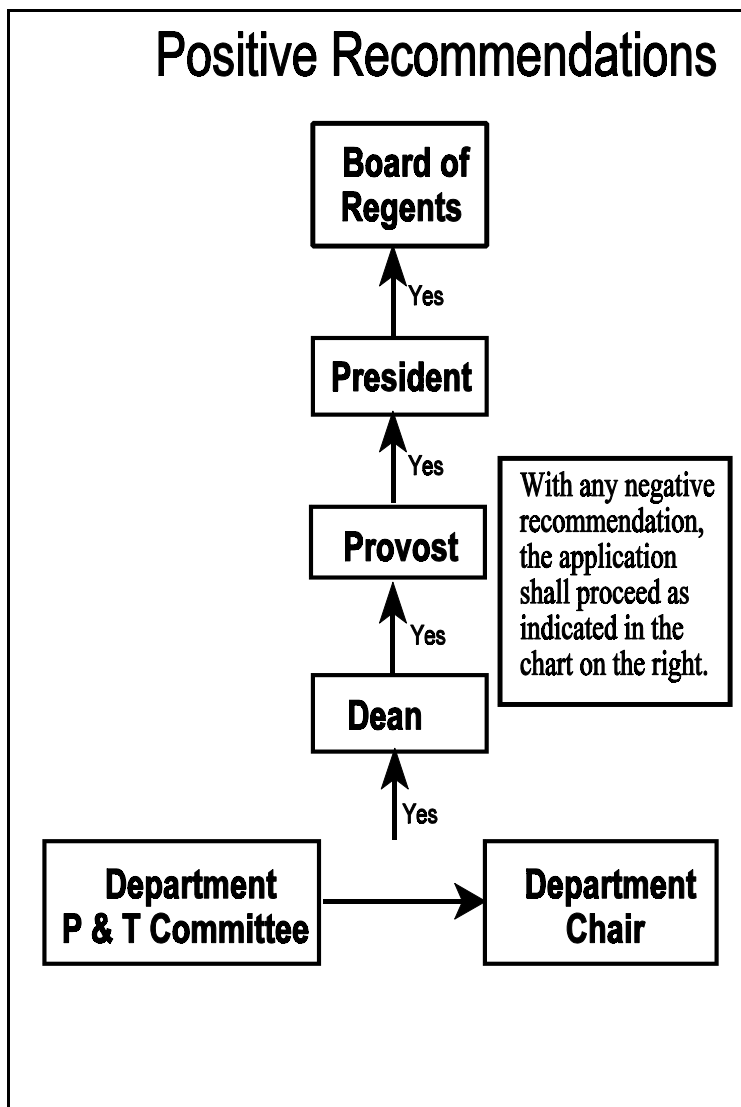
Sustained and broad record of effective professionally-related service at multiple levels in the university and in the profession, and, as appropriate, in the community. Demonstration of leadership in service.

Sustained record of successful, peer-reviewed scholarly/creative activities, some accomplished at the state, regional, national or international level. Examples of activities include creative products or performances, professionally-related innovations, grant proposals/awards, publications, presentations, exhibitions, or other forms of scholarship of discovery, interpretation, application, or pedagogy.

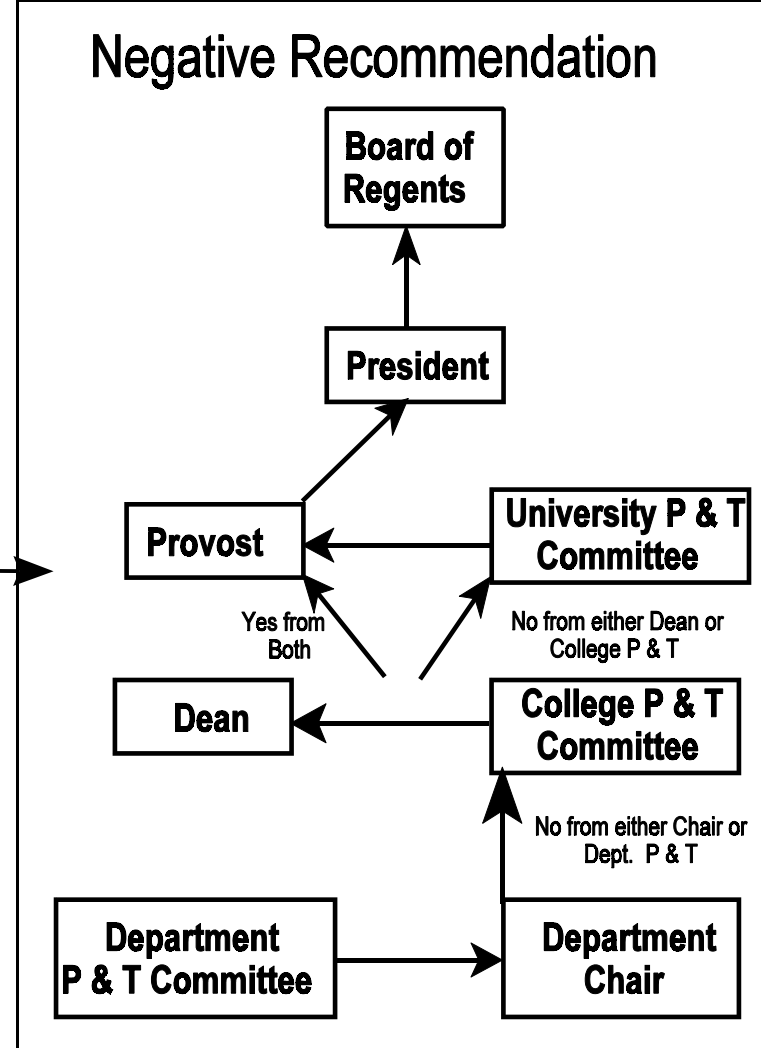
A record of working effectively with others inside and outside the university in professionally-related activities.

**Appendix D: Proposed Tenure Process**

The following diagrams illustrate the proposed process for tenure.  
 Details of the tenure process are delineated in Part I, Sections 5a & 5b.



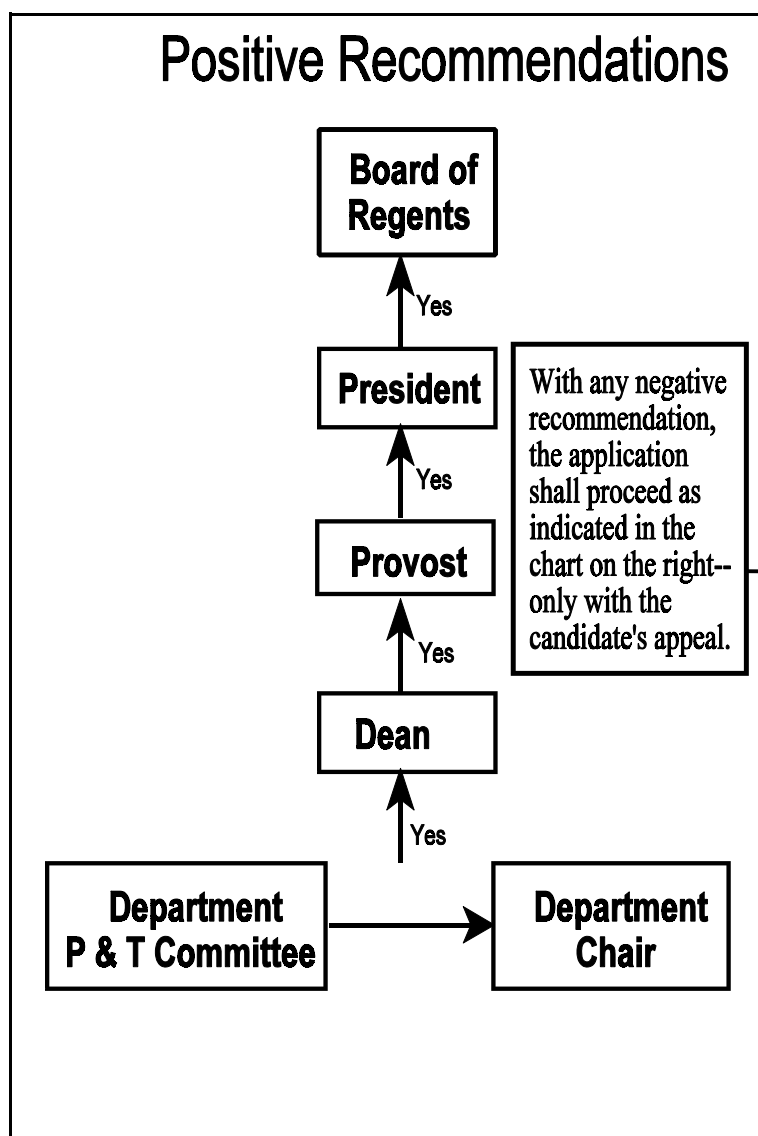
If a candidate is recommended for tenure at the department level, the application shall be reviewed further only by administrators as long as the recommendation remains positive.



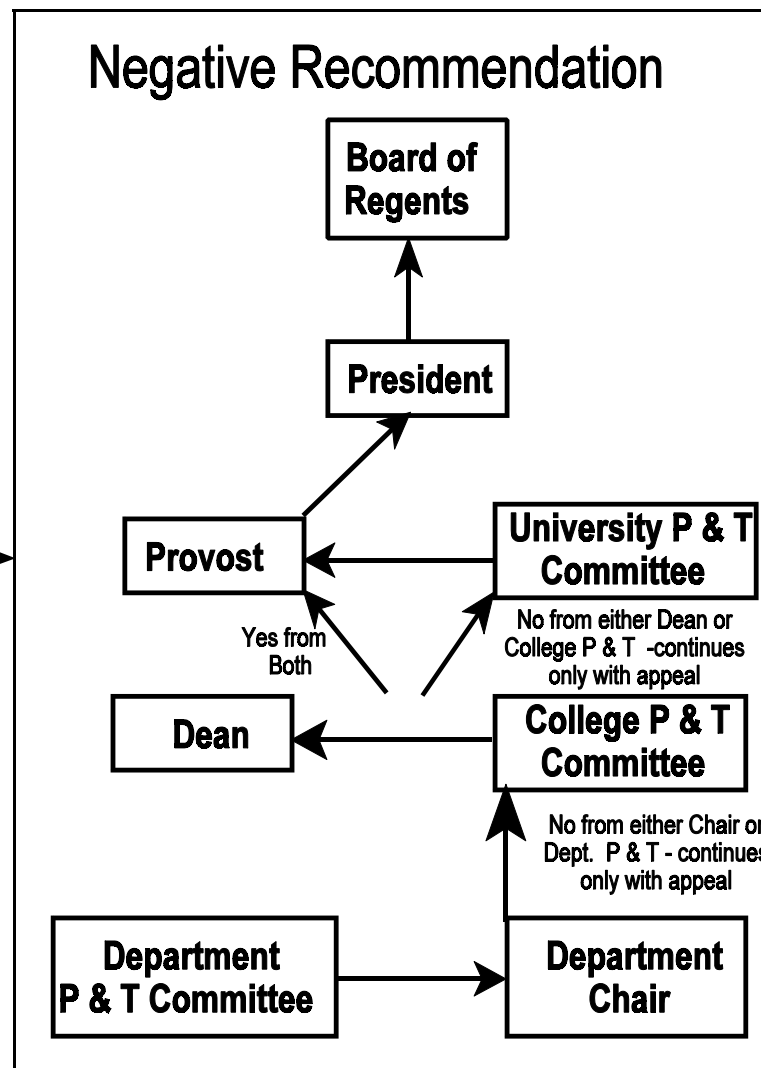
If a candidate is not recommended for tenure at any level, the application shall be reviewed by committees at the next levels. The chair, dean or provost shall initiate the review. All applications for tenure shall be reviewed by administrators.

### Appendix E: Proposed Promotion Process

The following diagrams illustrate the proposed process for promotion.  
 Details of the promotion process are delineated in Part I, Sections 5a & 5c.



If a candidate is recommended for promotion at the department level, the application shall be reviewed further only by administrators as long as the recommendation remains positive.



If a candidate is not recommended for promotion at any level, the application shall not be reviewed at the next levels, unless the candidate appeals. The candidate shall initiate the appeal.

## **Appendix F: Universities Whose Policies for Promotion and Tenure Were Reviewed**

The committee read selected materials concerning promotion and tenure from the following universities, and, in some cases, spoke with faculty members at those universities about promotion and tenure policies and procedures.

California State University, Sacramento  
East Carolina University  
East Tennessee State University  
Indiana State University  
Kentucky State University  
Lamar University  
Marshall University  
Morehead State University  
Murray State University  
Northern Kentucky University  
Southern Illinois University  
University of Illinois  
University of Louisville  
Western Kentucky University  
West Virginia State College System  
Youngstown State University

## Appendix G: List of Selected Sources

- American Association of University Professors. (2001). Policy documents & reports (9<sup>th</sup> ed.). Washington, D. C.: Johns Hopkins University Press.
- American Association of University Professors Committee A on Academic Freedom and Tenure. (2000, November). Incentives to forgo tenure. Washington, D. C.: American Association of University Professors.
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- Diamond, R. M. (1999). Aligning faculty rewards with institutional mission. Bolton, MA: Anker Publishing.
- Finkin, M. W. (1996). The case for tenure. Ithaca, NY: ILR Press, an imprint of Cornell University Press.
- Fogg, P. (2002, February 1). Do you have to be a nice person to win tenure? The Chronicle of Higher Education, p. A8.
- KRS 164.360. Appointment and removal of president, faculty, and employees. Effective May 30, 1997.
- OAG 76-176 Robert L. Chenoweth, Kentucky Assistant Attorney General, to Rufus L. Barfield, Acting Vice President for Academic Affairs, Kentucky State University, March 26, 1976. Consideration of two sections of KSU's "Revised Policies on Promotion and Tenure."
- Lucas, A. (Ed.). (1999). Changing practices in evaluating teaching: A practical guide to improved faculty performance and promotion/tenure decisions. Bolton, MA: Anker Publishing.
- Report suggests tenure evaluation principles. (2000, November - December). Academe, 10 - 13.
- Seldin, P. (1997). The teaching portfolio (2<sup>nd</sup> ed.). Bolton, MA: Anker Publishing.
- Trower, C. A. (Ed.). (2000). Policies on faculty appointment. Bolton, MA: Anker Publishing.

## **Appendix H: Copy of Promotion and Tenure Survey and Cover Letter**

Survey Items included in this Appendix are the cover letter and a copy of the survey. The analysis of results is available at Crabbe Library.