

III -1

Version of 8/05

### **PART III**

## **FACULTY APPOINTMENT, PROMOTION, AND TENURE POLICIES**

### **ACADEMIC FREEDOM**

Eastern Kentucky University endorses the American Association of University Professors' statement concerning academic freedom, which states, in part,

“The teacher is entitled to full freedom in research and in the publication of the results, subject to the adequate performance of his other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.”

“The teacher is entitled to freedom in the classroom in discussing his subject, but he should be careful not to introduce into his teaching controversial matter which has no relation to his subject. Limitation of academic freedom because of religion or other aims of the institution should be clearly stated in writing at the time of appointment.

“The university teacher is a citizen, a member of a learned profession, and an officer of an educational institution. When he speaks or writes as a citizen, he should be free from institutional censorship or discipline, but his special position in the community imposes special obligations. As a man of learning and an educational officer, he should remember that the public may judge his profession and his institution by his utterances. Hence he should at all times be accurate, should exercise appropriate restraint, should show respect for the opinion of others and should make every effort to indicate that he is not an institutional spokesman.” (“1940 Statement of Principles on Academic Freedom and Tenure,” American Association of University Professors Policy Documents and Reports, [Washington, D.C., 1984] 3. Because the “Statement of Principles” has been endorsed by one hundred organizations, AAUP has not revised the Statement to conform to contemporary standards of sex-fair language.)

### **TENURE**

The provisions for tenure are applicable to each president, professor, associate professor, assistant professor, and instructor. A faculty member shall be eligible for tenure after completing a ~~six five~~-year probationary period of continuous full-time service and attaining the rank of assistant professor or above. If, by the end of the ~~six five~~-year probationary period, promotion beyond the rank of instructor cannot be justified or if for any other reason a faculty member is not recommended for tenure, a one-year terminal contract shall be tendered. At the time of initial appointment, and upon the recommendation of the President, the Board of Regents may accept service at another institution in lieu of any part of the ~~six five~~-year probationary period at this institution.

If the employment of a faculty member serving during the probationary period is to be terminated at the completion of the current annual contract, that faculty member shall be given written notice of non-reappointment, or of intention not to recommend reappointment, in accordance with the following timetable:

- A. Not later than March 1 of the first academic year of service, if the appointment expires at the end of that year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination.
- B. Not later than December 15 of the second academic year of service, if appointment expires at the end of that year; or, if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination.

- C. At least twelve months before the expiration of an appointment after two or more years at the institution.

Any faculty member who intends to terminate employment at the end of the current annual contract has a strong professional obligation to indicate this in writing to the President of the University at the earliest possible date. In no case should this date be later than March 1 or 30 days after receipt of the subsequent year's contract, whichever comes later.

III -2 Version of 8/05

Attainment of tenure status by a faculty member shall remain in effect unless just cause shall be shown for terminating employment. Tenure status shall remain in force during good behavior and efficient and competent service, and a tenured faculty member shall not be terminated except for any one of the following causes: in competency, neglect of or refusal to perform assigned duties, or immoral conduct. In addition, bona fide financial exigencies may be cause for termination of employment.

Should the institution determine that a tenured faculty member is to be discharged, a written notice of the cause(s) for such action shall be given to the faculty member. Tenured faculty receiving such a notice have the right to be heard in person or by counsel before the Board of Regents. Within 15 days after receiving a notice of charges, the individual concerned shall send a written request for a hearing to the secretary of the Board of Regents. The Board of Regents shall set the time of the hearing no sooner than 15 days nor later than 45 days after receiving the request.

## **FACULTY APPOINTMENTS**

There are six kinds of appointments to the faculty: (1) temporary, (2) probationary, (3) tenure, (4) visiting faculty, (5) lectureships, (6) adjunct, and (7) retirement transition program.

### **1. Temporary Appointments**

Temporary appointments are normally for replacements for regular faculty members, visiting faculty, and part-time teaching assignments. (A separate handbook has been developed for part-time instructors.) Temporary appointments are for limited periods of time and for special purposes including outside funded projects. Time served in a temporary appointment may count toward tenure requirements if followed by a full-time probationary appointment or promotion.

Faculty appointed at the rank of instructor also have temporary appointment status since they cannot obtain tenure as an instructor.

### **2. Probationary Appointments**

- a. Initial full-time appointments at the rank of assistant professor and above are probationary.
- b. Probationary appointments are made annually.

### **3. Tenure Appointments**

- a. Applicability. The provisions for tenure are applicable to each president, professor, associate professor, assistant professor, and instructor.
- b. Eligibility. A faculty member shall be eligible for tenure after completing a **six** five-year probationary period of continuous full-time service at Eastern and attaining the rank of assistant professor or above. Leaves of absence may not be counted toward the five years of

full-time service, but they shall be considered as continuous service. A faculty member may thus take a year's leave of absence after four years, return, and after an additional year be eligible for tenure. Previous service in other institutions normally does not count toward tenure requirements. For faculty employed at mid-year, the probationary period does not begin until the beginning of the next academic year.

**c. Interruption of Continuous Full-time Service may occur for a maximum of two one-year periods at the mutual agreement of department and candidate for extenuating circumstances related to family obligation or professional development. Such an extension may occur regardless of whether the faculty has been granted leave of any kind. The extension shall in no way affect the deliberations or demands of the tenure process.**

d. Tenure Recommendations. Recommendations for tenure originate in the department in which tenure is granted. The President recommends approval of tenure to the Board of Regents, which has the authority to grant tenure. For complete details of the tenure review process, see the section entitled "University Promotion and Tenure Policy" in this section of the Handbook.

#### **4. Visiting Faculty Appointments**

The Board of Regents has established the visiting instructor, assistant, associate, and professor ranks to accommodate four types of appointments:

- a. For individuals who are employed, usually on a one-year basis, to serve as replacements for faculty members who are on leave.
- b. For individuals who are recruited and employed in relationship to an outside-funded project and whose continued employment is contingent not only on successful performance but also on continuation of funding.
- c. For individuals recruited for positions in units where enrollment trends are either downward or unstable or where program changes that will affect staffing needs are anticipated.
- d. For individuals who are recruited for teaching during the summer terms or for teaching assignments of shorter duration.>

#### **POLICIES AND PROCEDURES FOR ESTABLISHING SHARED FACULTY APPOINTMENTS**

Eastern Kentucky University (EKU) is committed to the fullest use of available professional expertise, including allowing the opportunity for faculty to request shared appointments as long as the appointments are consistent with professional policies, Affirmative Action guidelines, and the appropriate needs of an academic unit. The concept of share appointments between two (2) faculty members with similar professional expertise has been widely adopted in colleges and universities across this country. A similar arrangement is deemed appropriate at Eastern Kentucky University to provide professional opportunities for two (2) faculty members interested in sharing one faculty position (1 FTE) to further enhance the professional expertise available to students.

The University recognizes that the establishment of shared appointments is not an entitlement, but an opportunity that can be offered, (1) at the time of hire, or (2) requested by a faculty member occupying the full faculty position, and then approved by the department head, the college dean, and the Provost and Vice-President for Academic Affairs.

Examples of such job sharing might be:

1. Two tenured faculty who occupy two (2) full-time positions (2 FTE) in a department request to share one faculty position (splitting the position on a determined percentage) on a permanent or continuing basis and therefore vacating 1 FTE position.
2. Two (2) prospective faculty members apply for 1 FTE tenure track position as a shared position on a permanent or continuing basis (the percentage for each determined at time of appointment).
3. One (1) tenure-track or tenured faculty member (1 FTE) requests to share his/her appointment by working a determined percentage of 1 FTE position on a continuing basis, leaving the remainder of the position vacant to be filled by a new faculty member on a continuing or permanent basis.
4. One tenure-track or tenured faculty member (1FTE) requests to work a percentage such as 50% of the appointment for a mutually agreed upon number of semesters or years (such as 1-3 years) and a new faculty member will be recruited as a Visiting Instructor or Professor for the term of the shared appointment. At the end of the agreed upon term, the tenure-track or tenured faculty member will return to a full-time appointment, or whatever type of appointment was agreed upon when the shared appointment was approved.

All faculty members who are in shared positions are eligible for all faculty benefits as stated in the Faculty Handbook on a basis proportional to their appointment. For clarification, the following are guidelines, procedures and expectations of shared appointments:

1. Faculty members seeking a shared appointment must have their request and credentials evaluated and a positive recommendation forwarded by the faculty and chair of the department according to the needs and requirements of the department.
2. Faculty members receiving a shared appointment will receive letters of appointment (i.e. contracts) at the beginning of the shared appointment stating the terms of their shared appointment.
3. In a shared appointment, the faculty members together are expected to fulfill the stated requirements of the position as it was originally intended for one faculty member (1 FTE).
4. Evaluations of teaching, research, and service will be conducted on a basis consistent with the percentage of each faculty member's respective appointment.
5. The two (2) faculty members occupying a shared appointment shall be assigned a full-time teaching load or its equivalent as approved by the department during the regular academic year.
6. No faculty member in a shared position shall be permitted to be employed outside the University in a full-time position during the regular academic year.
7. Faculty members in a shared appointment shall be assigned service responsibilities in proportion to their respective appointments equivalent to the total amount expected of 1 FTE faculty member.
8. Faculty members in a shared appointment will be available for advising in proportion to the percentage of their respective appointments and according to departmental, college, and university policies.
9. Faculty members in a shared appointment shall be provided with available office space, supplies, and equipment.
10. The University will make available to the shared position (1 FTE) annual funding for professional travel for each faculty member in proportion to that faculty member's percentage of appointment.

11. Faculty members in a shared appointment will be eligible for faculty grants, faculty development funds, release time for research (on a proportional basis), improvement of instruction funds, and all other faculty development opportunities available to full-time faculty members.
12. Faculty/staff scholarships will be shared proportionally by faculty members in the shared position (1 FTE).
13. Each faculty member in a shared appointment (1 FTE) who has completed fourteen (14) semesters of service at the University is eligible to apply for a sabbatical leave in proportion to that faculty member's percentage of appointment.
14. Each faculty member sharing an appointment shall have full voting rights as a faculty member.
15. The actual annual salary that the faculty members receive will be their base salary multiplied by the appropriate percentage of the position that they are sharing.
  - a. If two tenured faculty who occupy two full-time positions (2 FTE) in a department request to share one faculty position (1 FTE), their base salaries will be their current EKU salaries.
  - b. If two (2) prospective faculty members apply for 1 FTE tenure track position as a shared position, the base salaries of each faculty member shall be determined individually by rank, years of service, and other appropriate comparative measures as used for full-time faculty.
16. Each year, the base salary of each faculty member will be adjusted based on his/her merit pay award, cost of living increase, and any promotions or other salary adjustments that she/he receives. After all appropriate adjustments are made, the actual annual salary that the faculty member receives in the next academic year will be his/her base salary multiplied by the appropriate percentage of the position being shared.
17. The University currently provides to each permanent full-time employee a standard health care benefit that covers the cost of a single health insurance policy. For a faculty member in a shared position, the University will contribute an amount to the single insurance policy in proportion to that faculty member's percentage of appointment. The employee will pay for any remaining cost of the University health care plan of his/her choosing.
18. The University will pay retirement benefits for each of the two (2) faculty members sharing a position (1 FTE) in proportion to each of their salaries.
  - a. For faculty presently employed at EKU who are moving from a full-time position (1 FTE) to a shared position, and who are currently member of the Kentucky Teachers' Retirement System (KTRS), the University will no longer be able to deduct the current contribution (presently 6.16%) of the faculty member to KTRS. In addition, the University will supplement the faculty member's salary by the University's current contribution to KTRS (presently 10.59%), plus the appropriate FICA. Service credit for shared positions will be prorated by KTRS in keeping with the system's regulations. The faculty member may use these funds to purchase service credit from KTRS proportional to his/her percentage of the shared position.
  - b. For new faculty members who are hired directly into a shared faculty position, and for other faculty members who are not members of KTRS, the faculty retirement benefit (plus the appropriate FICA) will be paid by the University in proportion to that faculty member's salary, except it will be allocated to an alternate retirement option offered by EKU, such as TIAA-CREF or Valic.
19. Each faculty member in a shared appointment, who is on a tenure-track appointment, shall be

considered for tenure and/or promotion independently of the other faculty member with whom they are sharing the position.

20. Each faculty member in a tenure-track shared position shall be eligible for tenure after completing the standard probationary period required by ECU plus an additional two (2) years. Exceptions to this may be negotiated if the faculty member has had previous full-time service at ECU or another university.
21. The years of service requirement for a faculty member in a shared appointment who is seeking promotion to any of the ranks shall be the same as for a faculty member whose appointment is not shared, plus an additional two (2) years. Exceptions to this may be negotiated if the faculty member has previous full-time service at ECU or another university.
22. When a faculty member in a shared appointment leaves the University for any reason, the remaining member (if tenured, or on tenure-track) shall assume the full responsibilities of the position unless the University and the faculty member both agree that the faculty member's responsibilities shall remain the same.

#### **GUIDELINES FOR RECRUITING TENURE-TRACK FACULTY ACADEMIC AFFAIRS**

1. The departmental search committee should meet with the Department Chair to draft the position announcement/advertisement once authorization is granted from the Office of the Provost and the Dean of the College for the search to begin (Appendix A, Request for Action on Vacancy). The announcement/advertisement must contain statements specifying the rank at which the candidate is to be employed, that the position is tenure earning, the minimum required qualifications and credentials, a reference to ECU's competitive compensation, application instructions and contact information. The announcement/advertisement should contain a request for a list of at least three references, together with their telephone numbers and e-mail addresses. At this stage of the process, it is generally counterproductive to request letters of recommendation. The announcement/advertisement should state the date on which the initial review of applications will begin and should clearly state that the search will continue until the position is filled. The following statement must be included at the end of the announcement/advertisement:

Eastern Kentucky University is an Equal Opportunity/Affirmative Action Employer.

2. In order to facilitate the review process, it is recommended that a draft of the announcement/advertisement be shared with the College Dean, the Equal Opportunity Office, and the Provost as early as possible in the process. Those three offices promise a 24-48 hour turnaround.
3. Two versions of the advertisement should be prepared. The longer version is for use in less expensive media and the shorter is for use in the more expensive media. The longer version should be posted on the Department's home page. Each advertisement should contain the appropriate web address where the full announcement can be found.
4. The advertisement plan for the position should include a cost estimate (See Appendix B, AA-1 Form). Human Resources can provide that information based on a draft of the announcement/advertisement.
5. It is also recommended that departments prepare an attractive announcement of the position to be sent to colleagues at similar departments across the country, and make every effort to identify and solicit a broad pool of qualified applicants.
6. Appropriate paperwork (Appendix B, AA-1 Form) is to be filed with the Equal Opportunity Officer, the College Dean and the Provost.

7. Each search committee is to select a Chair and have it understood that the committee Chair is the only contact person for communications with the candidates.
8. The Chair of the search committee is to keep all records from the search, including CVs and related materials from all applicants, evaluations of each applicant, notes from all reference calls made, and interview notes. At the end of the search process, the entire file should be transferred to the College Office for storage for five years.
9. The search committee is to develop a clear set of selection criteria for evaluating applicants and a search process timetable.
10. Each applicant is to be screened for minimum education and experience requirements. If an individual does not satisfy these requirements, the individual is not a qualified applicant and should not be given further consideration for the position. A letter should be sent to any such individual clarifying the status of the individual's application.
11. After initial screening under item 10 above, each remaining application received should be acknowledged, and the affirmative action compliance information form and a postage-paid envelope provided by the Equal Opportunity Office should be included with the acknowledgment.
12. The search committee will then conduct an initial review of the applicants and provide the Department Chair and the Dean with a summary of the applicant pool. At this point, a review of the candidate pool will be made by the Dean to ensure that it is a viable pool of applicants. If it is determined that it is not, the search can be continued or reopened at a later date.
13. The search committee will rigorously apply the stated criteria to the applicant pool to develop a list of semi-finalists. Careful notes must be kept as to the reason(s) why each applicant does or does not meet the criteria. These notes must be retained as a part of the search file.
14. The search committee will check the listed references of the semi-finalists. References can be collected in the form of traditional letters, faxed letters, e-mail communications, or telephone calls to the references. Telephone reference checks have been proven to be very effective means of gathering a good deal of information about candidates in a timely manner. Careful notes of any telephone conversation need to be kept as part of the applicants' files.
15. If reference checks are made by telephone, the caller should use a script so that the same topics are covered with each reference call for each candidate. (It is understood, though, that as in any conversation, the discussion can go in many directions. The important point is that at least the same topics are covered in each reference call.)
16. It is important through the search process that candidates be kept informed as to the status of the search process.
17. It is imperative that throughout the search process all candidates, internal and external, are treated exactly the same. No candidate should be given more or less of an advantage.
18. Following reference checks, the search committee may choose to arrange to do video interviews or telephone conference calls with some of the semi-finalists for the purpose of exploring key issues with a larger group of candidates than be brought on to campus. Once again, a script should be developed and followed for each discussion with a candidate. Records of those discussions must be kept as part of the search file.
19. The search committee will submit up to three finalists for on-campus interviews (In extraordinary circumstances either less or more candidate interviews may be approved). Prior to inviting any candidates to campus, the Chair of the search committee should review the status of the search with the Dean. The search committee must be able to articulate why the proposed interviewees

were selected for on-campus interviews. The Chair of the search committee and the Dean must ensure that all qualified applicants were given equitable employment consideration. Complete Appendix C (AA-1.1 Form) and forward to the College Dean. After all approvals, forward a copy to the Equal Opportunity Office.

20. The search committee together with the Department Chair shall plan the campus visits of the finalists. Appointments should be scheduled with the College Dean as well as with other appropriate individuals. Interviews may also be scheduled with the Provost if judged to be appropriate. Copies of the finalists' resumes should be shared with each person with whom an interview meeting is scheduled.
21. Planning for the campus visits of candidates should be done as much in advance of the visit as possible. Efforts should be made to bring in candidates on a Saturday for two reasons: 1) the air fare is less expensive, and 2) the candidate will have better opportunity to experience the Richmond area in a leisurely fashion before formal interviewing begins. It is hoped that departments will also use the weekend for informal socializing with candidates.

III -11

Version of 8/05

22. Departments working in conjunction with their College Offices should prepare complete informational packets to be mailed to the candidates well in advance of their campus visits.
23. All individuals who will interact with the candidates should be counseled on the legal considerations of an interview and the fact that good candidates will be interviewing us as much as we will be interviewing them.
24. Cost containment is also an issue in searches. In addition to controlling the high costs of airfares, departments should consider housing candidates in an area hotel with whom we have a negotiated rate for two reasons. First, the university has established a negotiated rate per room per night with the following hotels/bed & breakfast: Best Western Holiday Plaza-\$50.00, Best Western Road Star Inn-\$45.00, Red Roof Inn-\$43.00, Comfort Suites-\$48.60, Hampton Inn-\$64.00 and the Bennett House-\$75.00. Second, the university has negotiated a direct billing process so that departments will not have to charge their accounts and then get reimbursed. Hosted meals should be kept within reason. While it is important to provide candidates with gracious hospitality, it is also important to keep the cost of hosted meals under control. No more than two to three individuals should be included in candidate meals.
25. While on campus, candidates should meet with as broad of a range of persons as possible. A formal feedback mechanism, preferably a written form developed in advance by the search committee, should be provided for everyone who meets with the candidates.
26. Questions about salary should be referred to the Dean. Candidates can be told that our salaries are very competitive. But the actual salary for a position is not determined until the top candidate is identified. At that time, a series of discussions occur between the Chair, the Dean and the Provost about the appropriate salary following an analysis of national data from at least two to three sources.
27. Following the campus visits of all finalists, the search committee will meet with the Department Chair to discuss the candidates in relation to the stated criteria, assess the feedback received on the candidates, and provide a listing of "acceptable" and "unacceptable" candidates to forward to the Dean together with a narrative of their relative strengths and weaknesses.
28. Recommendation regarding recommended candidates, rank and salary are to be forwarded to the

Dean, who in turn, will discuss them with the Provost. Following that discussion, final paperwork (See Appendix D, the AA-2) will be prepared for approval by the Department Chair, the Dean, the Provost, and for review by the Equal Opportunity Officer. Once approval to proceed is given, the Dean will authorize an offer of employment to be made. If the offeree accepts the position, the Dean's office will prepare the PAF. **The Provost and deans shall ensure that agreed-upon exceptions to tenure and promotion policy are documented at the time of a faculty member's initial appointment, or thereafter, in a full-time, tenure track position so that such contractual exceptions are recognized and applied in the review of application for tenure and promotion.**

**NOTE:** The hiree is not to begin work until a fully executed contract is in place.

29. Care should be taken following a hiring that the transition to Eastern Kentucky University is made as smooth as possible for the new colleague. Frequent contact should occur between the new colleague and the home department during the period of transition to EKV.

30. Departments should develop formal mentoring programs for new faculty members, which should begin in the first semester of employment at EKV.

### **PROFICIENCY IN ENGLISH**

In addition to other qualifications, all persons appointed to teach at Eastern Kentucky University (full-time faculty, part-time faculty, and graduate teaching assistants) shall demonstrate appropriate proficiency in oral and written communication in English. It is the responsibility of the department chair to interview all candidates and to certify that each person recommended for appointment has demonstrated such proficiency.

The law shown on the following page, enacted by the 1992 Kentucky General Assembly, also applies to "Proficiency in English":

(1) Each state university shall institute English language, proficiency assessment for all instructors, including teaching assistants, for whom English is not their primary language. The instructors shall be evaluated periodically to demonstrate their ability to deliver all lectures and oral presentations in an English speech pattern that the students understand.

(2) Subsection (1) of this section shall not apply to the teaching of foreign language courses.

(3) If an instructor receives an unsatisfactory evaluation, he/she shall have one semester to demonstrate his/her ability. If an instructor receives a second unsatisfactory evaluation, his/her employment shall be terminated.

### **CRITERIA FOR DETERMINING RANK FOR INITIAL APPOINTMENT TO THE UNIVERSITY FACULTY**

The criteria listed below are intended for guidance in determining rank for initial appointment. These criteria are most directly applicable to the disciplines in which graduate terminal degree programs are generally available and in which it is customary for university faculty members in these disciplines to hold the graduate terminal degree. It is specifically recognized that university programs in certain specialized fields require faculty whose education and/or experience will be different from the stated criteria. In special cases, professional competency may be substituted for advanced degrees

#### *For Appointment to Instructor*

- 1.1 Educational qualifications - Master's degree in appropriate discipline
- 1.2 Experience - evidence of successful teaching and/or related work experience

#### *For Appointment to Assistant Professor*

- 1.1 Educational qualifications - terminal graduate degree in appropriate discipline

1.2 Experience - evidence of successful teaching (may be part-time teaching or service as graduate assistant) and/or related work experience

or

2.1 Educational qualifications - Master's degree plus advanced graduate study (equivalent to "ABD") in appropriate discipline

2.2 Experience - evidence of successful teaching (may be part-time teaching or service as graduate assistant) and/or related work experience

or

3.1 Educational qualifications - Master's degree plus one year (24 semester hours) of advanced graduate study in appropriate discipline

3.2 Experience - three years of successful teaching and/or related work experience

*For Appointment to Associate Professor*

1.1 Educational qualifications - terminal graduate degree in appropriate discipline

1.2 Experience - three years of successful college or university teaching at the assistant professor level (including administrative experience) and/or directly related work experience

1.3 Evidence of scholarly and/or creative achievements

*For Appointment to Professor*

1.1 Educational qualifications - terminal graduate degree in appropriate discipline

1.2 Experience - five years of successful college or university teaching at the associate professor level (including administrative experience) and/or directly related work experience

1.3 Evidence of scholarly and/or creative achievements

**CRITERIA FOR THE SELECTION OF FACULTY MEMBERS FOR SERVICE IN THE GRADUATE SCHOOL**

Faculty service in the Graduate School is divided into three categories:

1. Full Graduate Faculty
2. Associate Graduate Faculty
3. Graduate Instruction

Recommendation for service in any of the three categories begins with the department chair and must be approved by the dean of the college and the Graduate Council.

The supervision of theses and service as a chair of a Graduate Advisory Committee is restricted to Full Graduate Faculty. Normally service on Graduate Advisory or Graduate Examination Committees and teaching graduate courses is restricted to Full or Associate Graduate Faculty.

*A. Full Graduate Faculty Status Criteria:*

1. Earning the highest degree normally given in the field,
2. A record of scholarly activity during the past five years, including publication in a refereed journal or comparable activity,
3. A minimum of two years of graduate faculty experience at the associate level in an accredited institution,

4. A teaching record of at least one graduate level course every two years, and
5. Service as a member of a comprehensive examination on thesis committee during the past five years.

Full Graduate Faculty are appointed for a term of five years determined by the date of the activity which was accepted as fulfilling the publication criteria.

- B. *Associate Graduate Faculty* status is provided for faculty who have earned the highest degree normally given in the field while working towards completing the requirements necessary for Full Graduate Faculty.
- C. *Graduate Instruction* status is normally reserved for faculty who are not tenure-track faculty but who have a teaching expertise that is needed by the department. Graduate Instruction status may allow individuals to serve on a limited number of graduate committees subject to the approval of the Graduate Council. Persons applying for Graduate Instruction status should meet degree requirements for appointment to the university faculty at the rank of at least assistant professor as specified by the Faculty Handbook. Individuals only meeting the requirements for appointment to the university faculty at the rank of instructor will not normally be granted Graduate Instruction status.

### III –13

Version of 8/05

## PROMOTION AND TENURE

### University Promotion and Tenure Policy Statement

Eastern Kentucky University, as a matter of principle, complies with the AAUP standards for faculty promotion and tenure. These standards establish basic policy and procedural expectations for a wide variety of institutions of higher education and for disciplines within universities while providing for appropriate professional flexibility at departmental levels. It is with this understanding that the following statements of principles and procedures are set forth to guide the faculty and the administration.

#### Principles

1. ~~The primary and initial recommendation on matters of promotion and tenure is the responsibility of faculty peers.~~ **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.**
2. The review procedures in the decision-making process shall be open, **documented** and verifiable.
3. The department and college procedures not determined by these promotion and tenure procedures shall be developed by the faculty composing these units or their representatives and shall be known and agreed to by the faculty.
4. Appeal processes shall be included in all promotion and tenure policies.
5. Policies for promotion and tenure shall state the specific criteria to be used in the evaluation and how they shall be applied.

### III –14

Version of 8/05

6. Review processes at each level shall be limited to professionally relevant considerations but shall include documented evidence of performance from the candidate, students, other faculty, and appropriate administrators. The documented evidence shall be part of the individual application file.
7. Review processes at each level shall include appropriate evaluations of performance in teaching, ~~service, and scholarship~~ **scholarship and service**. These evaluations shall become part of the individual application file.
8. ~~The entire individual application file, with all recommendations, shall be forwarded to the final University decision-making body.~~ **The case for or against promotion and/or tenure will be stipulated in writing and found in the candidate's dossier at every step in the process.**
9. At each level, the procedure shall provide a means to notify the candidates formally of the results of the deliberations, including the reasons for the recommendations.
10. At each level, provisions for appeal shall include an opportunity for the decision makers to reconsider the decision prior to referral to another body.
11. All procedures shall be subject to full faculty review at least every five years.
12. Throughout the process, principles of confidentiality shall be respected.
- 13. Membership on college and university level Promotion and Tenure Committees shall be limited to tenured faculty members with the rank of Associate or Full Professor.**
- 14. Departments may mandate external review for promotion and tenure if they so choose and are approved by their college P&T Committee.**
- 15. Department Chairs, College Deans, and the Provost shall NOT serve as voting members on promotion and tenure committees at any level; however they may request or be requested to join such meetings.**
- 16. No individual participant in the process may VOTE at more than one level of the process.**
- 17. Committees shall be comprised of members elected by their peers.**
- 18. Review of applications shall occur in the following way:**
  - a. If all recommendations are positive, the sequence of reviews of all applications for promotion and tenure are as follows: Department committee, Department chair, College Promotion and Tenure Committee, Dean, Provost, President, and Board of Regents.**
  - b. If a candidate is not recommended for tenure by the Department committee, Department chair, College Promotion and Tenure Committee, or Dean, the application will automatically be reviewed by the University Promotion and Tenure Committee prior to being forwarded to the Provost.**
  - c. If a candidate is not recommended for promotion by the Department committee,**

Department chair, College Promotion and Tenure Committee, or Dean, the application shall not be considered further, unless the candidate appeals to the next level. If the candidate does appeal, the sequence of the process shall follow that stated in b.

### **Principles for Establishing Criteria for Promotion and Tenure**

- 1. Criteria for promotion shall be distinct from criteria for tenure.**
- 2. The university shall identify university-wide criteria for tenure and promotion and shall inform faculty of these criteria.**
- 3. Consistent with the university criteria, each college shall identify college-wide criteria for promotion and tenure within the areas of teaching, scholarship, and service.**
- 4. Consistent with university and college criteria, each department shall identify specific criteria for promotion and tenure within the areas of teaching, scholarship, and service.**
- 5. All criteria shall reflect good practices at comparable institutions; shall allow for diversity in faculty contributions and shall reflect ECU's traditional emphasis upon effective teaching.**
- 6. Criteria should also be articulated for special units such as Model Lab, Interpreter Training, etc.**
- 7. Criteria shall be submitted for regular (five year) review and approval by appropriate committee and/or administration.**
- 8. Criteria at all levels will recognize the primacy of teaching over service or scholarly/creative endeavor.**

III –15

Version of 8/05

#### *University Promotion and Tenure Policy*

##### **I. Responsibilities and Application**

###### **A. Responsibilities in the promotion and tenure process**

1. *Tenure.* It is the responsibility of the dean of the college to inform the department chairs of the need to review each person eligible for tenure. It is the responsibility of the department chairs to inform the department promotion and tenure committee. It is the responsibility of the candidate to submit an application. Failure to do so will result in a terminal contract. Appropriate forms shall be made available in department offices.

2. *Promotion.* The candidate for promotion is responsible for initiating the process: the candidate must request a departmental review by presenting a letter to the department chair, with a copy to the dean, no later than September 10 of the year of review. It is the responsibility of the chair to inform the faculty of policies, procedures, and criteria for promotion.

3. It is the responsibility of the candidates for both promotion and tenure to review the Faculty Handbook for University policies on these matters. It is also the candidates' responsibility to provide the department committee with materials listed. The committee is not responsible for collecting these materials.

In the process of being reviewed for promotion or tenure, the candidates necessarily must allow their professional materials to be open to their peers on the various promotion and tenure committees.

4. Department committees may set additional requirements for documentation materials; however, all candidates will provide the committees with the materials listed below:

- a. Accurate factual data required by the application form, which is to be provided by the chair of the department at the candidate's request.
- b. Statements by the candidate in support of the application for promotion or tenure:
  1. In the category of teaching, the candidate should provide any potentially useful information, such as teaching philosophy, descriptions of unique methods or experiments, and attitudes toward evaluation of student work.
  2. In the category of service, the candidate should provide complete details, including documentation, if available, of service to the University, professional and/or community organizations.
  3. In the category of scholarly and/or creative achievements, the candidate should provide accurate and complete details of works published, papers or other presentations, creative performances, exhibitions, grant and contract activities, etc., as appropriate to the academic field. Details such as dates, places, audiences, and professional organizations must be spelled out.

5. For promotion, the committee may concentrate on activities since the last promotion, but candidates may provide clearly dated prior activities to demonstrate a record of continued achievement.

#### B. Application

1. Since both rank and tenure are academic designations within the University, they shall be awarded only to personnel who meet the qualifications and criteria for rank or tenure in an existing department or college, whose credentials are approved by the department and college, and who are qualified to perform at that rank in the academic department.
2. A prospective faculty of the University who is being considered for academic rank and/or tenure will be awarded the rank and/or tenure in an existing department only with the prior concurrence of that department.
3. Currently employed faculty who hold academic rank, but not in an established department, must seek promotion or tenure through the academic department and college most closely related to their educational qualifications and/or professional responsibilities.

## II. Department Procedures

- A. Procedures for the selection of the department committee and procedures for the consideration of the matters of promotion and tenure within the department shall be approved by a majority of the full-time teaching members of the department and reviewed by the dean for compliance with this University document. A statement of the procedures shall be filed in both the office of the dean and the department office.

For the purpose of these procedures, full-time teaching is defined as set forth in Part Seven, II, B. of this Faculty/Staff Handbook.

- B. Changes in the department procedures shall be made by a majority vote of the full-time teaching members of the department and shall be reviewed by the dean by May 1 prior to the academic year in which the changes are to take effect.
- C. Each department shall establish procedures and methods for selecting the department committee for promotion and tenure. Department committees for promotion and tenure shall be composed as determined by the full-time teaching faculty of the department, within the following guidelines:
1. The committee shall consist of no fewer than three voting members. They shall be elected from the full-time tenured faculty. If a department is too small to provide such a committee, the department may select tenure-track faculty within the department or faculty outside the department with the advice of the dean of the college. In the latter case, the faculty member may serve on the promotion and tenure committee of more than one department.
  2. The maximum number of members shall be determined by the department.
  3. ~~While it is recommended that the department chair meet with the department promotion and tenure committee,~~ **As appropriate the committee may invite the department chair to confer; however,** the chair of the department may **NOT** ~~at the discretion of the faculty of the department, also serve on the committee. However, the department chair shall not chair the committee.~~
  4. If a faculty member or a member of his or her immediate family is being considered for promotion or tenure, a faculty member may not serve on the committee that year. The department procedures shall provide for an alternate who shall serve throughout the year. If the department cannot comply with this provision because of the size of the department or other unique circumstance, the procedure in II. C. 1. above shall be followed.
  5. The committee shall be elected no later than September 10 of the year in which it is to function.
- D. Each department shall establish clear definitions and delineations of the responsibilities of the committee and the department chair in writing and filed as indicated above.
1. The department committee shall have the following responsibilities:
    - a. **To conduct all reviews in an ethical manner: maintaining confidentiality and recording written minutes of meetings and proceedings.**
    - b. To provide the appropriate professional interpretations for the discipline.
    - c. To ensure that the promotion and tenure recommendations are consistent with the goals and needs of the department.
    - d. To assemble material to accompany the committee's recommendations. These materials shall include the following: (1) Material presented by the candidate. (2) Peer opinions (not limited to committee members) but not anonymous opinions. (3) Formal student evaluations. (4) In addition to student opinion of instruction, each department shall use a systematic method of assessing teaching performance. This method shall include a consideration of the perspectives of students, colleagues, and supervisors and shall be clearly defined and communicated in the department merit pay policy. (5) Results of nontenured evaluations. (6) Data and opinions provided by the chair of the department.
    - e. **To 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 is required for tenure.**

- f. To compose the evaluation narrative using the material above and ensuring that unsubstantiated information or information sets which lack documentation are not used as part of the decision process at the department level.
  - g. To submit to the department chair the committee recommendation with appropriate documentation and required forms as follows: (1) The voting members of the committee shall complete the appropriate forms for recommendation for promotion or tenure. Members of the committee shall sign the form, indicating the accuracy of the report as it was approved by the majority of the committee. (2) Committee recommendations on promotion and tenure shall be based upon secret ballot and majority vote. A tie vote shall be considered a negative recommendation. (3) Justification of the decision by the committee shall be included in the recommendation and shall rest upon documented, verified information.
  - h. To complete and forward to the department chair all promotion application forms and the committee's evaluation and recommendation forms for all candidates.
2. The role of the department chair may vary considerably among the departments in the University. At a minimum, however, the chair shall fulfill the following responsibilities:
- a. Provide the committee with such documentation and data as department policy and committee needs require.
  - b. Upon receipt of the committee's recommendation form and the individual application file, the chair shall review the entire set of material and **write** ~~make a~~ separate recommendation regarding the promotion or tenure **based upon the application, supporting materials, the department committee's evaluation narrative, and other relevant information.** (1) If the department chair does not agree with the recommendation of the committee, he or she shall so indicate on the recommendation form and submit in an addendum a justification for the differing judgment. (2) Justification of the decision of the chair shall rest upon documented, verifiable information and shall be presented to the committee, the candidate, and the dean of the college. (3) Hereafter, the term "divided recommendation" refers to recommendations wherein the committee and the chair do not concur.
  - c. The department chair, together with the chair of the department committee, shall review the recommendation of the department chair and the recommendation of the committee with the candidate, provide the candidate with a copy of the report (and all addenda), and secure the candidate's signed receipt.
 

**NOTE:** Should an applicant for promotion choose to withdraw from candidacy, the applicant shall so inform the department chair and the dean of the college in writing.
  - d. The department chair shall present all positive, divided, and appealed recommendations pertaining to promotion and all recommendations on tenure to the dean no later than December 1<sup>st</sup>.
  - e. **Advise the candidate, as appropriate, of procedures of the appeal process: explaining precise steps, due dates, and expectations for content of appeal letter. Also advise candidate, as appropriate of**

**procedures for review of negative recommendations for tenure.**

E. The department shall establish procedures for the expeditious handling of reconsiderations and appeals.

1. The candidate may request reconsideration of the decision of the department committee or department chair by submitting a written notification by the department chair, with a copy to the dean of the college, within five days\* of notification by the department chair of the decision. The request shall detail grounds for reconsideration and shall include relevant evidence.
2. The committee and/or the department chair shall reconsider the recommendation in light of the information provided in the statement of the candidate. The committee and/or department chair shall consider any new information provided, shall meet with the candidate, and shall record the confirmed or revised recommendation.
3. The candidate shall be notified by the department chair of the results of the reconsideration in sufficient time to provide the candidate an opportunity to request an appeal. Decisions on the reconsiderations shall be processed in the same manner as uncontested decisions - through the department chair to the college dean.
4. If the candidate determines that the decision should be appealed within five days, he or she shall submit a formal statement appealing the decision to the dean of the college, with a copy to the department chair. The statement shall detail the grounds for the appeal and shall include relevant evidence.
5. The dean shall present the appealed recommendation with the statement of appeal to the college committee on promotion and tenure along with other recommendations from within the college.

III. College Procedures

- A. Each college, by majority vote of the full-time tenure-track faculty, shall develop written guidelines for promotion and tenure procedures to include at least the following:
  1. Criteria unique to that college.
  2. Procedures and methods of selecting the college committee to review candidates for promotion and tenure and the selection of the chair of that committee.
  3. Clear definitions of the responsibilities of the college committee and the college administration.
- B. Guidelines developed by the college shall provide for independence of decision making for the committee and the dean, while ensuring that candidates receive full consideration at every point.
  1. The committee shall consist of no fewer than ~~six~~ **five** voting members. **Two full-time, tenured faculty shall represent each department. These representatives shall hold a minimum rank of Associate Professor (or its equivalent in programs where such rank does not obtain, i.e. Model Lab, Interpreter Training Program, etc.).**
  2. The dean of the college **shall NOT serve as a voting member; however, they may request or be requested to join such meetings.** ~~shall serve on the college promotion and tenure committee as a nonvoting member.~~
  3. If a faculty member or a member of his or her immediate family is being considered for promotion or tenure, the faculty member shall not participate in deliberations regarding that candidate.

4. **Members of the College Promotion and Tenure Committee can not simultaneously serve on the Department or University Promotion and Tenure Committees. That is, no one individual may vote upon a particular petition at more than one level in the process.**
  5. **If an elected member cannot serve, an elected alternate should serve in their stead.**
  6. **If these provisions cannot be met, the dean shall arrange for appropriate representation from other qualified faculty.**
  7. The committee shall be selected no later than September 10 of the year in which it is to function.
- C. Each college shall establish clear definitions and delineations of the responsibilities of the committee and the college dean in writing and filed in the Office of the Provost and Vice-President for Academic Affairs.
1. The college committees shall have the following responsibilities:
    - a. **To elect a chair and recording secretary from the elected membership.**
    - b. **To conduct all reviews in an ethical manner: maintaining confidentiality and recording written minutes of meetings, proceedings and recommendations.**
    - c. **To review applications for tenure before considering and voting on applications for promotion to associate professor and professor. In reviewing applications for promotion to assistant professor and tenure, vote on promotion before voting on tenure. Assistant professor is required for tenure.**
    - d. To see that the appropriate professional interpretation for the discipline has been applied.
    - e. To ensure that the promotion and tenure recommendations are consistent with the goals and needs of the college **as well as consistent with the department's own criteria.**
    - f. To review materials prepared by departments and addenda provided by the department chair and/or the candidate.
    - g. To ensure that unsubstantiated information or material which lacks documentation is not used as part of the decision-making process at this level.
    - h. To submit the committee's recommendation with appropriate documentation and required forms to the college dean.
      - (1) Committee recommendations on promotion and tenure shall be based upon secret ballot and majority vote. A tie vote shall be considered a negative recommendation.
      - (2) The voting members of the committee shall complete the appropriate forms for recommendation for promotion or tenure and provide any necessary addenda. Members of the committee shall sign the form, indicating the accuracy of the report as it was approved by the majority of the committee.
  2. The chair of the college committee shall formally inform the dean of the college of the

decision of the committee.

3. The role of the college dean may vary considerably among the colleges in the University. At a minimum, however, the dean shall fulfill the following responsibilities:

**a. The dean shall arrange for the election of members of the College Promotion and Tenure Committee and an alternate.**

**b. The dean shall ensure that the membership of the College Promotion and Tenure Committee does not pose a conflict of interest in evaluating and voting upon applicants. If such a conflict exists, the dean shall arrange for an elected alternate.**

c. The dean shall provide the committee with such documentation and data as college policy and committee needs require.

**d. The dean shall arrange for the department chair or the chair of the department Promotion and Tenure Committee to meet with the College Promotion and Tenure Committee as necessary.**

e. Upon receipt of the committee's recommendation form and the individual application file, the dean shall review the entire set of material and write ~~make a~~ separate recommendation regarding the promotion or tenure.

(1) If the college dean does not agree with the recommendation of the committee, he or she shall so indicate on the recommendation form and submit in an addendum a justification for the differing judgment.

(2) Justification of the decision of the dean shall rest upon documented, verifiable information and shall be presented to the committee and the candidate.

f. The dean shall inform the candidate of the decisions by the college committee and the dean in time to provide the candidate with the opportunity to request a reconsideration or appeal.

g. The dean shall forward positive, divided, and appealed recommendations pertaining to promotion and all recommendations on tenure to the Provost and Vice-President, with copies of the recommendations from the college (and addenda) to the candidate, the chair of the college committee, and the department chair no later than February 15.

**h. In the case of a negative recommendation, the dean shall advise the candidate of procedures for appeal.**

**i. The dean may meet with the Provost or the Chair of the University Committee in response to their request or the dean may initiate such a request for meeting.**

**j. At least every five years the dean shall ensure that each department reviews and revises as needed departmental-level criteria for promotion and tenure.**

- D. Each college shall establish procedures for the expeditious handling of reconsiderations and appeals.

1. The candidate may request reconsideration of the decision of the college committee or the college dean by submitting a written request to the chair of the committee and college dean, with a copy to the Provost and Vice-President for Academic Affairs, within five days of notification of the decision by the college dean. The request shall detail grounds for reconsideration and shall include relevant evidence.

2. The committee and/or the college dean shall reconsider the recommendation in light of the information provided in the request of the candidate. The committee and/or college dean shall consider any new information provided, shall meet with the candidate, and shall record the confirmed or revised recommendation.
3. Decisions on the reconsiderations shall be processed in the same manner as uncontested decisions--through the college dean to the Provost and Vice-President. The candidate shall be notified by the college dean of the results of the reconsideration in time to provide the candidate with the opportunity to request an appeal.
4. If the candidate determines that the decision should be appealed, within five days he or she must submit a formal statement of appeal to the chair of the University Committee on Promotion and Tenure, with a copy to the departmental college dean and to the Provost and Vice-President for Academic Affairs. The statement shall detail the grounds for the appeal and shall include relevant evidence.
5. The Provost and Vice-President shall present the appealed recommendation with the statement of appeal to the University Committee on Promotion and Tenure along with other recommendations from within the University.

---

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

#### IV. University Procedures

- A. The Vice-President and the University Committee on Promotion and Tenure shall develop written guidelines for the committee's promotion and tenure procedures to include at least the following:
  1. The ways that established University criteria are to be applied.
  2. Clear definitions of responsibility for the University Committee and for the Vice-President.
- B. Guidelines developed by the Vice-President and the University Promotion and Tenure Committee shall provide for independence of decision making by the Committee and the Vice-President, while ensuring that the candidates receive full consideration at every point.
  1. ~~The Provost and Vice-President shall serve as a nonvoting member on the Committee.~~  
**Neither the Provost and Vice-President nor a dean nor department chair shall serve on the Committee. The Provost and Vice-president may be invited to meet with the Committee or may request to meet with them, but they will submit separate recommendations.**
  2. If a member of the immediate family of a member of this Committee is being considered for promotion or tenure, the Committee member may not serve during those deliberations. The Committee procedures shall provide for the selection of an alternate, if needed.
- C. The procedures of the University Committee on Promotion and Tenure shall be set forth in writing by the members of the Committee and filed in the Office of the President of the University, with copies to the offices of the Provost and Vice-President for Academic Affairs, the deans of colleges, and all academic departments.
  1. The University Committee on Promotion and Tenure shall have the following responsibilities:
    - a. **To elect a chair and recording secretary from the committee**

- membership.
- b. **To conduct all reviews in an ethical manner: maintaining confidentiality and recording written minutes of meetings, proceedings and recommendations.**
  - c. **To review applications for tenure before considering and voting on applications for promotion to associate professor and professor. In reviewing applications for promotion to assistant professor and tenure, vote on promotion before voting on tenure. Assistant professor is required for tenure.**
  - d. To review the applications to ensure the following:
    - (1) That the promotion and tenure recommendations are consistent with the goals and needs of the University **as well as consistent with the criteria of both the college and department.**
    - (2) That the candidate meets the basic requirements of the University for promotion or tenure.
    - (3) That the appropriate review of the candidate's qualifications has been made by those professionally able to do so and that these reviews have been documented appropriately.
  - e. To review appeals and divided recommendations in light of the above factors and the supporting material submitted on behalf of the parties involved.
  - f. To determine whether the candidate's application should be approved based upon the above reviews.
  - g. The chair of the committee shall notify the Provost and Vice-President for Academic Affairs of the decision of the committee.
2. The University Promotion and Tenure Committee shall consist of ~~as many full-time teaching faculty as it does academic deans. The University Promotion and Tenure Committee shall be composed of the academic deans with an equal number of full-time tenured teaching faculty, one from each area represented by an academic dean.~~ **two tenured full-time faculty from different departments representing each college.**
- a. Each college shall devise its own method for electing a representative from the tenured teaching faculty (excluding chairs) to serve on the University Promotion and Tenure Committee. This representative--as well as a first alternate and a second alternate--shall be elected no later than May of the year preceding the academic year in which the Committee is to serve. ~~When electing The representative and alternates, all people concerned shall consider electing members~~ **shall** holding the rank of Professor (or the highest rank available).
  - b. The faculty representatives shall serve for staggered terms of ~~two~~ **three** years. Any member may be selected for two consecutive terms.
  - c. In the event the elected representative from a college cannot serve or complete the term, the first alternate shall complete the three-year term. If the first alternate also cannot serve, then the second alternate shall complete the three-year term. An exception to this general rule would involve the representative's submitting an application for a Foundation Professorship or for promotion. In this case, the alternate shall serve for that year only.
3. The voting members of the Committee shall complete their portion of the appropriate

University recommendation forms for promotion and tenure and provide any necessary addenda. Members shall sign the forms to indicate the accuracy of the report as it was approved by majority vote.

4. Committee recommendations on promotion and tenure shall be based upon secret ballot and majority vote. A tie vote shall be considered a negative recommendation.
- D. The Provost and Vice-President have several responsibilities in matters relating to promotion and tenure.
1. **The Provost and Vice-President shall arrange for the election of members of the University Promotion and Tenure Committee and alternates.**
  2. **The Provost and Vice-President shall ensure that the membership of the University Promotion and Tenure Committee does not pose a conflict of interest in evaluating and voting upon applicants. If such a conflict exists, the Provost and Vice-President shall arrange for an elected alternate.**
  3. The Provost and Vice-President for Academic Affairs shall review the procedure to ensure that in every case the process followed was consistent with University policies and the policies of the various colleges and departments.
  4. **The Provost and Vice-President shall arrange for the department chair or the chair of the department Promotion and Tenure Committee, the dean or the chair of the College Promotion and Tenure Committee to meet with the University Promotion and Tenure Committee as necessary.**
  5. Having determined that the appropriate procedures have been followed, the Provost and Vice-President shall review the individual application file, accompanying documentation, and addenda to determine whether the application should be supported. This decision shall be based upon documented and verifiable data contained in the file.
  6. If the Provost and Vice-President do not concur with the recommendation of the University Promotion and Tenure Committee, the basis for the disagreement shall be indicated in writing.
  7. If the Provost and Vice-President agree with the recommendation of the University Promotion and Tenure Committee, the Vice-President shall sign the recommendation form and indicate agreement.
  8. **The Provost and Vice-President shall ensure that the candidate shall be notified in time to provide the candidate with the opportunity to request a reconsideration or appeal.**
  9. **Where a negative recommendation obtains, The Provost and Vice-President shall meet the candidate in person to advise the candidate as appropriate, of appeal procedures, and to secure the candidate's signature on a dated form indicating receipt of relevant reports.**
  10. The Provost and Vice-President shall submit all recommendations to the President of the University by March 15. Copies of the recommendation shall be given to the chair of the University Promotion and Tenure Committee, the appropriate academic deans, the appropriate department chairs, and the candidates.
  11. **The Provost and Vice-President may meet with the President and the ECU Board of Regents in response to their request or the Provost and Vice-President may initiate such a request for meeting.**
  12. **The Provost and Vice-President shall ensure that deans and chairs supervise the establishment of written criteria for promotion and tenure**

**and that these are consistent with and approved by the university promotion and tenure committee.**

- 13. At least every five years the Provost and Vice-President shall ensure that each college and department reviews and revises as needed college-level and departmental-level criteria for promotion and tenure.**
  - 14. The Provost and Vice-President shall ensure that new faculty members receive at the time of their appointment the criteria for promotion and tenure.**
  - 15. The Provost and Vice-President shall ensure that criteria applied in the review of applications is consistent with the terms of agreement established at the candidate's initial appointment in a tenure-track position.**
  - 16. Arrange early in the fall semester for meetings wherein experienced faculty and administrators inform faculty members of the criteria for promotion and tenure.**
- E. The President of the University shall evaluate each recommendation on its merits and shall determine the appropriate recommendations to be submitted to the Board of Regents.
  - F. Official notification of a candidate that tenure will not be awarded shall be given one year prior to the candidate's termination of employment at the University.
  - G. Reconsideration and appeal procedures shall be provided at the University level also.
    1. During the reconsideration and appeals, the Committee reserves the right to request the presence and response of a department chair, college dean, or representative of any committee involved in the original decision.
    2. The candidate may request reconsideration of the decision of the University Committee or the Vice-President by submitting a written request to the chair of the Committee or to the Vice-President, with a copy to the President of the University, within five days of notification by the Vice-President of the decision. The request shall detail grounds for reconsideration and shall include all relevant evidence not previously presented.
    3. The Committee and/or the Vice-President shall reconsider the recommendation in light of the new information provided in the request of the candidate, shall meet with the candidate, and shall record the confirmed or revised recommendation.
    4. Decisions on reconsiderations shall be processed in the same manner as uncontested decisions - through the Vice-President to the President. The candidate shall be notified by the Vice-President of the decision on the reconsideration in time to provide the candidate with the opportunity to submit an appeal.
    5. If the candidate determines that the decision should be appealed, a formal request appealing the decision shall be submitted to the President of the University within five days. Copies shall be provided to the Vice-President and to the chair of the University Promotion and Tenure Committee.
    6. The appealed recommendation, with the request of appeal, shall be presented to the President of the University, along with other recommendations from within the University. The recommendations will be submitted to the Board of Regents, with the recommendations from the President, at the appropriate meeting for the consideration of faculty promotion and tenure.
    7. If the President rules against the appeal by the candidate, the candidate shall be informed prior to the submission of the approved recommendations to the Board of Regents.

#### V. Consideration of Faculty Holding Administrative Positions

- A. All the procedures and guarantees outlined above for faculty apply equally to faculty in administrative posts insofar as their academic faculty position or rank is concerned.
- B. Certain additional observations need to be made when the procedures are applied to administrative faculty. There are practical considerations of balancing administrative time against time served as a member of the faculty. These include the following:
  1. Administrators shall be judged by the same criteria as any other faculty. Teaching, service, and scholarship standards shall meet the approval of the various committees and administrators. Administrative performance shall not substitute for any of these three areas.
  2. The consideration for academic rank or tenure of a faculty member serving in an administrative post shall be made by the department and the college in which the administrator holds academic rank. If the administrator is normally a part of the process (as a department chair or dean would be) that administrator's recommendation is omitted and the committee's recommendation is forwarded to the next level.
  3. Procedures for reconsideration and appeal are no less a part of the process for faculty holding administrative posts than for any other faculty member. The same principles apply as for consideration of recommendations: if the administrator is normally part of the process of reconsideration or appeal, that person's responsibilities are omitted and the matter is forwarded to the next level.

#### VI. The procedure for amending this promotion and tenure document is as follows:

- A. A written request to amend the document is to be submitted to a member of the Faculty Senate.
- B. The member of the Faculty Senate is to submit the amendment to the Faculty Senate.
- C. If the proposed amendment is approved by the Faculty Senate, it proceeds through the appropriate channels for approval by the Board of Regents.
- D. The time for completion of the acceptance or rejection of the proposed amendment shall not exceed one calendar year from the initial proposal to the Faculty Senate.

### **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, and scholarly-creative activities, with 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.

~~The criteria listed below are intended for guidance in determining eligibility for promotion. These criteria are most directly applicable to the disciplines where terminal degree programs are generally available and when it is customary for university faculty members in these disciplines to hold the terminal degree. It is specifically recognized that University programs in certain technical and specialized fields require faculty whose education and/or experience will be different from the stated criteria. In special cases, professional competency may be substituted for advanced degrees. For faculty employed at mid-year, the time in rank does not begin until the beginning of the next academic year.~~

*For Promotion to Assistant Professor*

1.1 Educational qualifications -- terminal graduate degree in appropriate discipline

~~1.4~~ **1.2** Time in rank -- minimum of one 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.**

~~1.2~~ **1.3** Experience -- evidence of successful teaching ~~and/or related work experience~~ **(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).**

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

~~1.3~~ **1.5** Evidence of potential for **Demonstrated engagement in scholarly/and/or creative achievements 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.**

or

~~2.1~~ Educational qualifications — Master's degree plus advanced graduate study (equivalent to "ABD") in appropriate discipline

~~2.2~~ Experience — evidence of successful teaching and/or related work experience

~~2.3 Evidence of potential for scholarly and/or creative achievements~~

~~2.4 Evidence of potential for service to the University, the profession, and the community~~

~~2.5 Time in previous rank — minimum of two years of full-time service~~

or

~~3.1 Educational qualifications — Master's degree plus one year (24 semester hours) of advanced graduate study in appropriate discipline~~

~~3.2 Experience — evidence of successful teaching and/or related work experience~~

~~3.3 Evidence of potential for scholarly and/or creative achievements~~

~~3.4 Evidence of potential for service to the University, the profession, and the community~~

~~3.5 Time in previous rank — minimum of three years of full-time service~~

*For Promotion to Associate Professor*

1.1 Educational qualifications -- terminal graduate degree in appropriate discipline

~~1.5~~ **1.2** Time in previous rank -- minimum of three 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 third year.**

~~1.2~~ **1.3** Experience -- evidence **sustained record** of successful college or university teaching (including administrative) experience and/or related work experience **(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).**

**1.4 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.**

~~1.4~~ **1.5** Evidence of service to the University, the profession, and the community **Record of effective professionally related service in the department and in the college or university; in the profession; and, as appropriate, in the community.**

~~1.3~~ **1.6** Evidence of **Record of successful peer-reviewed** scholarly/and/or creative achievements **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.**

or

~~2.1 Educational qualifications — Master's degree plus advanced graduate study (equivalent to the "ABD") in appropriate discipline~~

~~2.2 Experience—fifteen years of successful college or university teaching (including administrative) experience and/or directly related work experience~~

~~2.3 Evidence of scholarly and/or creative achievements~~

~~2.4 Evidence of service to the University, the profession, and the community~~

~~2.5 Time in previous rank—minimum of ten years of full-time service~~

or

~~3.1 Educational qualifications—Master's degree plus one year (24 semester hours) of advanced study in appropriate discipline~~

~~3.2 Experience—twenty years of successful college or university teaching (including administrative) experience and/or directly related work experience~~

~~3.3 Evidence of scholarly and/or creative achievements~~

~~3.4 Evidence of service to the University, the profession, and the community~~

~~3.5 Time in previous rank—minimum of fifteen years of full-time service~~

*For Promotion to Professor*

~~1.1 Educational qualifications -- terminal graduate degree in appropriate discipline~~

~~1.5~~ **1.2 Time in previous rank -- minimum of five years of full-time service **experience in rank at ECU or a term agreed upon and documented at the time of initial appointment; candidates may apply for promotion in the fifth year.****

~~1.2~~ **1.3 Experience -- evidence **sustained record of superior** successful college or university teaching (including administrative) experience and/or related work experience **(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).****

**1.4 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.**

~~1.4~~ **1.5 Evidence of service to the University, the profession, and the community **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.****

~~1.3~~ **1.6 Evidence of **Sustained record of successful peer-reviewed** scholarly/and/or creative achievements **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.****

or

~~2.1 Educational qualifications—Master's degree plus advanced graduate study (equivalent to the "ABD") in appropriate discipline~~

~~2.2 Experience—twenty five years of successful college or university teaching (including administrative) experience and/or directly related work experience~~

~~2.3 Evidence of scholarly and/or creative achievements~~

~~2.4 Evidence of service to the University, the profession, and the community~~

~~2.5 Time in previous rank—minimum of ten years of full-time service~~

### **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 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, and scholarly-creative activities, with 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 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. 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 six years, unless otherwise specified in writing at the time of initial appointment to a tenure-track position**
- 3. Performance in the areas of teaching, service, and scholarly/creative activities that meets established department criteria.**
  - 3.1 Teaching – 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.**

**3.2 Service – 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.**

**3.3 Scholarly/Creative Activities – 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 scholarly/creative activities, creative products or performances, publications, presentations, exhibitions, grant proposals/awards, professionally related innovations, and other forms of scholarship of discovery, interpretation, application, or pedagogy.**

## EVALUATION OF NONTENURED FACULTY

The following policies apply specifically to tenured track faculty in years one through four of employment. Fifth year faculty will be evaluated by policies and procedures detailed in the section entitled "University Promotion and Tenure Policy" in this section of the Handbook.

### *I. Procedure*

The procedure for the evaluation of nontenured faculty for years one through four of employment is based on the principle that the department chair is ultimately responsible for the evaluation report. The chair must ensure that the report is a fair and accurate description of the faculty member's performance including both strengths and weaknesses.

#### A. Evaluation Committee

1. Each department shall select a committee(s) to advise the chair in the writing of the evaluation report for nontenured faculty.
2. The method of selecting the committee shall be approved by a majority vote of the full-time tenure-track faculty of the department and approved by the dean. It is expected that the committee will be selected whenever possible from among the senior faculty in the department. Departments which do not have a sufficient number of faculty may select faculty outside the department with the advice and consent of the dean.
3. The department chair shall chair the committee.
4. Once the committee is selected, the department chair shall announce the names of the committee members to the department and shall report the names of the committee members to the dean.

#### B. Completion of the Evaluation Report

1. In the writing of the evaluation report, the chair shall indicate the extent of the committee's involvement in the process. The committee shall review the evaluation and may indicate areas of disagreement on the report form.
2. While the department chair is responsible for the evaluation report, he or she may delegate the writing of the report to the committee. Should the chair elect to delegate, the report shall include the extent to which the chair agrees with the details of the report.

C. Information to Be Used in Completing the Evaluation Report

1. Self evaluation
2. Peer evaluation
3. Student evaluation data
4. Data from other systematic method(s) for evaluating teaching effectiveness
5. Results of previous evaluations
6. Other information as available

D. Action Subsequent to Completion of Evaluation Report

1. A copy of the evaluation, including reasons for the recommendation, shall be given to the faculty member immediately.
2. The faculty member may respond to the evaluation and recommendation by one of the following:
  - a. Acceptance of the evaluation and recommendation. The report is then forwarded to the dean.
  - b. Filing a statement, including any documentation desired, to be appended to the document. This statement shall be submitted to the department chair within five days\*. The report and the appended material are forwarded to the dean.
  - c. Requesting reconsideration of the report by the department promotion and tenure committee.
    - i. Requests for reconsideration shall be submitted to the chair of the committee by the faculty member concerned within five days\* of receiving the evaluation report from the department chair. Requests for reconsideration shall detail grounds for reconsideration and shall include relevant evidence.
    - ii. The committee shall reconsider the evaluation and recommendation in light of the information provided in the statement of the faculty member. The committee shall consider any new information provided, meet with the faculty member and department chair, and make its decision. If the faculty member cannot agree to a meeting date within ten calendar days from receipt of the request for reconsideration, the faculty may forfeit the right to present evidence beyond that furnished in the reconsideration request. The chair of the committee shall inform the faculty member of the committee decision. The original evaluation, all information provided by the faculty member, and the report of the department promotion and tenure committee shall all be forwarded to the dean.

D.

3. The dean shall examine all of the material provided by the department.
  - a. If the dean concurs with the recommendation of the department, the dean shall submit the report, with his or her recommendations, to the Vice President for Academic Affairs.

- b. If the dean does not concur with the recommendation of the department, a copy of the dean's recommendation and the report, including the reasons for that recommendation, shall be given to the faculty member and the department chair. The faculty member may respond to the evaluation and recommendation by one of the following:
    - i. Acceptance of recommendation. The report is then forwarded to the Provost and Vice President for Academic Affairs.
    - ii. Filing a statement, including any documentation desired, to be appended to the document. This statement shall be submitted to the dean within five days. The report and the appended material are forwarded to the Provost and Vice President for Academic Affairs.
    - iii. Requesting reconsideration of the report by the college promotion and tenure committee.
      - (a) Requests for reconsideration shall be submitted to the dean by the department and/or faculty member concerned within five days of receipt of the evaluation report. Requests for reconsideration shall detail grounds for reconsideration and shall include relevant evidence.
      - (b) The committee shall reconsider the evaluation and recommendation in light of the information provided by the department and/or faculty member. The committee shall consider any new information provided, meet with the faculty member and department chair, and make its decision. The dean will inform the faculty member of the committee decision. All information will be forwarded to the Provost and Vice President for Academic Affairs.
4. After the Vice President and President have made their recommendations, the faculty member shall be notified by the department chair. The chair shall provide a copy of the final report to the faculty member. The faculty member shall sign the last page of the report indicating receipt of a copy of the report.
  5. When written notification of non reappointment or of a terminal contract is necessary, the letter shall be prepared and signed by the President. The letter shall be received not later than the applicable notification date specified in the Faculty Handbook (see section "Tenure" in this section of the Handbook).
  6. Any further appeal shall be based on procedural grounds and shall be addressed in writing to the Provost and Vice President for Academic Affairs within five days of receipt of notification of non-reappointment.

---

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

## *II. Evaluation of Nontenured Faculty Administrators*

- A. Chairs All of the same procedures shall apply with the following differences:
  1. The dean shall take the chair's place on the department committee and be responsible for the report.
  2. An evaluation of administrative performance shall be included.

B. Deans All of the same procedures shall apply with the following differences:

1. The Provost and Vice President for Academic Affairs shall be responsible for the report and shall appoint an evaluation committee composed of chairs and one faculty member elected from each department of the college.
2. An evaluation of administrative performance shall be included.

### *III. Schedule of Evaluation*

- A. Each department chair shall provide each first year faculty member an information copy of the evaluation form (blank) and go over it in some detail prior to the time of evaluation. This shall be done early in the first semester of employment.
  3. All evaluations shall be completed according to the schedule established by the Provost and Vice President for Academic Affairs. The schedule shall permit notification of non reappointment by the dates specified in the current Faculty Handbook (see section "Tenure" in this section of the Handbook).

### *IV. Appeal Procedure of Nontenured Faculty Administrators*

A. Chairs The same appeal procedures shall apply as for faculty with the following differences:

1. The letter of appeal shall be addressed to the dean of the college, who shall call a meeting of the college promotion and tenure committee.
2. If the individual is still not satisfied, he or she must write a letter to the Provost and Vice President for Academic Affairs, who will appoint a committee to consider the appeal.
3. Any further appeal shall be directed to the President of the University.

B. Deans The same procedures shall apply as for faculty with the following differences:

1. The letter of appeal shall be addressed to the Provost and Vice President for Academic Affairs, who shall appoint a committee to consider the appeal.
- Any further appeal shall be directed to the President of the University.

## **EVALUATION OF ACADEMIC ADMINISTRATORS**

The major thrust of the evaluation of academic administrators shall be to improve the effectiveness of Eastern Kentucky University's academic administration. To accomplish this, the evaluation process shall require the active support and appraisal from all persons in a position to express valid viewpoints in the performance of individual administrators. These evaluations shall be conducted in a fair and objective manner. All information shall be treated in an appropriately professional manner.

The evaluation procedures in this document are in addition to the annual merit pay evaluations of all academic administrators.

All administrators at Eastern Kentucky University serve with annual appointments and at the pleasure of the President and Board of Regents. It should be understood throughout this document that all decisions regarding appointment or reappointment of academic administrators require approval at this level.

### *General Principles and Procedures*

1. The immediate supervisors of the evaluatee shall have overall responsibility for the preparation of the evaluation.
2. Each administrator being evaluated shall prepare a self appraisal report covering the period of time since the last evaluation.
3. Primary evaluation input will be requested from all individuals who work directly with the evaluatee. These data shall be solicited on the standard Appraisal of Administrative Activity Questionnaire. Questions may be added to the questionnaire provided the immediate supervisor of the evaluatee approves them one year in advance. All completed questionnaires (whether signed or unsigned) shall be treated confidentially and shall be used by the recipients of the questionnaires in evaluating the administrator. To the extent possible, identifiable information and comments will not be provided to the administrator being evaluated; however, the recipients of the questionnaires shall review and utilize all questionnaires to prepare evaluation reports and recommendations.
4. Since the focus of administrative evaluations is the improvement of administration, evaluation reports shall include specific recommendations. The evaluatee's response to these recommendations shall be one basis for the annual merit review process and future evaluations.

#### *I. Administrative Evaluation of Department Chairs*

- A. A department chair, tenured or nontenured, shall be evaluated during the second and fourth year of service and every four years thereafter. In unusual circumstances, if requested by the chair or the departmental faculty, and with the concurrence of the dean, the chair may be evaluated more frequently. In addition, the President, Vice-President, or dean may request more frequent evaluations.
- B. The teaching faculty of each academic department shall determine whether or not the department shall have a Chair Evaluation Committee by majority vote using a secret ballot.
- C. Each academic department that so chooses shall establish a Chair Evaluation Committee. The membership of this committee shall be determined by a majority vote of the department faculty. However,
  1. if the chair is being evaluated as a nontenured faculty member, the Chair Evaluation Committee and the Nontenure Evaluation Committee shall be the same;
  2. if the chair is being evaluated for tenure or promotion, the Chair Evaluation Committee shall be the Department's Promotion and Tenure Committee; and
  3. if an administrative evaluation of a chair is being held during the same year as a nontenure evaluation, or a tenure or promotion evaluation, the evaluations shall be done concurrently.
- D. The dean shall meet with the Chair Evaluation Committee early in the year in which the evaluation is to take place to discuss the specific timetable for the evaluation, the procedures for distributing the previously approved questionnaire, and other matters related to the evaluation.
- E. The duties of the Chair Evaluation Committee shall be to:
  1. Develop and submit to the dean for review additional questions which the department may wish to add to the questionnaire. (Additional questions must have been approved one year in advance of the evaluation.)
  2. Review the chair's self appraisal report and the completed department faculty questionnaires (in keeping with the need for confidentiality) and submit a report and recommendations to the dean.

- F. All faculty in the department shall be given the opportunity to complete the questionnaire. The completed questionnaires shall be transmitted to the dean of the college.
- G. The dean shall make the completed department faculty questionnaires available to the Chair Evaluation Committee, provided the department has such a committee.
- H. After reviewing the chair's self appraisal, the questionnaires, the Chair Evaluation Committee's report and recommendations, and other available information (e.g., questionnaires completed by other chairs in the college and other individuals who work directly with the chair), the dean shall write an evaluation report, with recommendations. This report shall include a summary of the faculty questionnaires if there is no department Chair Evaluation Committee.
- I. The dean shall meet with the chair to discuss the Chair Evaluation Committee's report and recommendations if such a report has been made, as well as his/her own report and recommendations, and shall provide the chair with copies of the report(s). The dean shall then transmit the report(s), including recommendations, to the Vice-President.
- J. The chair may submit, within five days of receiving the reports, a written response to the evaluation report(s) and recommendations to the Vice-President with copies to the dean of the college and, if appropriate, the Chair Evaluation Committee.

## *II. Administrative Evaluation of Academic Deans*

- A. Academic deans shall be evaluated during the second and fourth year of service and every four years thereafter. In unusual circumstances, if requested by the dean, college chairs, or college faculty, and with the concurrence of the Vice-President, the dean may be evaluated more frequently. In addition, the President or Vice-President may request more frequent evaluations.
- B. Academic support administrators who work directly with the dean as well as all college faculty and college chairs will be given the opportunity to complete the questionnaire. The completed questionnaires shall be transmitted to the Associate Vice-President.
- C. The faculty of each college shall, by majority vote using a secret ballot, determine whether or not the college shall have a Dean Evaluation Committee.
- D. Each college which so chooses shall establish a Dean Evaluation Committee. The membership of this committee shall be determined by a majority vote of the college faculty. However,
  - 1. if the dean is being evaluated as a nontenured faculty member, the Dean Evaluation Committee and the Nontenure Evaluation Committee shall be the same;
  - 2. if the dean is being evaluated for tenure or promotion, the Dean Evaluation Committee shall be the Promotion and Tenure Committee; and
  - 3. if an administrative evaluation of a dean is being held during the same year as a nontenure evaluation, or a tenure or promotion evaluation, the evaluations shall be done concurrently.
- E. The Provost and Vice-President for Academic Affairs shall meet with the Dean Evaluation Committee early in the year in which the evaluation is to take place to discuss the specific timetable for the evaluation, the procedures for distributing the previously approved questionnaire, and other matters related to the evaluation.
- F. The duties of the Dean Evaluation Committee shall be to:
  - 1. Develop and submit to the Provost and Vice-President for Academic Affairs for review additional questions which the college may wish to add to the questionnaire. (Additional questions must have been approved one year in advance of the evaluation.)

2. Review the dean's self appraisal report and the completed college faculty questionnaires (in keeping with the need for confidentiality) and submit a report and recommendations to the Associate Vice-President's for Academic Affairs.
- G. The Associate Vice-President shall make the completed college faculty questionnaires available to the Dean Evaluation Committee, provided the college has such a committee.
  - H. After reviewing the dean's self appraisal, the questionnaires, the Dean Evaluation Committee's report and recommendations, and other available information (e.g., questionnaires completed by other deans and other individuals who work directly with the dean), the Associate Vice-President shall write an evaluation report, with recommendations. The Associate Vice-President shall summarize the results of the questionnaires, including the faculty questionnaires if there is no Dean Evaluation Committee, and shall transmit this summary, the questionnaires, and his/her own evaluation report and recommendations to the Vice-President.
  - I. The Vice-President shall meet with the dean to discuss the evaluation results, as well as his/her own report and recommendations, and shall provide the dean with copies of the report of the Dean Evaluation Committee (if appropriate), summary of results and a written copy of his/her own report and recommendations.
  - J. The dean may submit, within five days of receiving the reports, a written response to the evaluation reports and recommendations to the President with a copy to the Vice-President, and, if appropriate, the Dean Evaluation Committee.

### *III. Administrative Evaluation of the Associate Vice-Presidents within Academic Affairs*

- A. The Associate Vice-President shall be evaluated during the second and fourth year of service and every four years thereafter. In unusual circumstances, if requested by the Associate Vice-President, academic deans, university chairs, or university faculty, and with the concurrence of the Vice-President, the Associate Vice-President may be evaluated more frequently. In addition, the President or Vice-President may request more frequent evaluations.
- B. All faculty, chairs, deans, and other academic or support administrators who work directly with the Associate Vice-President shall be given the opportunity to complete the questionnaire. The completed questionnaires shall be transmitted to the Vice-President.
- C. The Vice-President shall meet with the Associate Vice-President to discuss the evaluation results, as well as his/her own report and recommendations, and shall provide the Associate Vice-President with copies of the summary of results and a written copy of his/her own report and recommendations.
- D. The Associate Vice-President may submit, within five days of receiving the reports, a written response to the evaluation reports and recommendations to the President with a copy to the Vice-President.

### *IV. Administrative Evaluation of the Provost and Vice-President for Academic Affairs*

- A. The Vice-President shall be evaluated during the second and fourth year of service and every four years thereafter. In unusual circumstances, if requested by the Vice-President, Associate Vice-President, academic deans, university chairs, or university faculty, and with the concurrence of the President, the Vice-President may be evaluated more frequently. In addition, the President may conduct more frequent evaluations.
- B. Chairs, deans, other academic support administrators, and all faculty working directly with the Vice-President will be given the opportunity to complete a questionnaire. The completed questionnaires shall be transmitted to the President.

- C. The President shall meet with the Vice-President to discuss the evaluation results, as well as his/her own report and recommendations, and shall provide the Vice-President with copies of the summary of results and a written copy of his/her own report and recommendations.
- D. The Vice-President may submit, within five days of receiving the reports, a written response to the evaluation reports and recommendations to the President.

*V. Administrative Review of the President by the Faculty*

- A. The President shall be reviewed by the faculty during the second and fourth year of service and every four years thereafter. The Board of Regents or the President of the University may request more frequent reviews.
- B. All Faculty who are members of the Faculty-at Large as designated in "organization of the Faculty of Eastern Kentucky University" shall be given the opportunity to complete the questionnaire as approved by the Executive Committee of the Faculty Senate. The completed questionnaires shall be transmitted to the Executive Committee of the Faculty Senate.
- C. Members of the Executive Committee of the Faculty Senate will be responsible for the tabulation of the responses and the transcription of all comments. A summary will be transmitted to the President and to the Board of Regents. The individual review forms will be confidential and will be destroyed.
- D. The questionnaire used to review the President shall solicit responses in the areas of leadership, management, communication, personal relations, fairness and overall evaluation. Opportunity should be given to provide open-ended comments as well as more quantitative review. Signature on the actual questionnaire should be optional, however, signature on response envelopes may be necessary to ensure faculty status of respondents. Procedures for the distribution of questionnaires and verification of respondents should be the same as those used for the election of the Faculty Regent.

*VI. Administrative evaluation of academic directors and other academic administrators* shall be conducted during the second and fourth year of service and every four years thereafter. In special cases, at the discretion of the immediate supervisor, more frequent evaluations may occur. The President, Vice-President, or dean may request an evaluation at any time. Procedures for these evaluations shall be established by the immediate supervisor and approved through normal administrative channels to include the Vice-President.

VII. The Vice-President shall submit an annual report to the President summarizing all administrative evaluation reports and recommendations.

**EVALUATION OF NON-ACADEMIC ADMINISTRATORS \*\***

The major thrust of the evaluation of administrators shall be to improve the effectiveness of Eastern Kentucky University's administration. To accomplish this, the evaluation process will require the active support and input from persons in a position to express valid viewpoints on the performance of individual administrators. These evaluations will be conducted in a fair and objective manner. All information will be treated in confidence and in an appropriately professional manner.

The evaluation procedures in this document are in addition to the annual merit pay evaluations of all administrators.

\*\*The term "administrators" as used herein includes all of those administrators not in the academic vice-

presidential area, that is, the President's staff and the Vice-Presidents, along with appropriate administrators who report to the Vice-Presidents.

*General Principles and Procedures*

1. The immediate supervisor of the evaluatee will have overall responsibility for the implementation of the evaluation process.
2. Primary evaluation input will be requested from individuals who work directly with the evaluatee. These data will be solicited on the standard Appraisal of Administrative Activity Questionnaire. All completed questionnaires will be treated confidentially and will be used by the recipients of the questionnaires in evaluating the administrator. To the extent possible, identifiable information and comments from the questionnaires will not be provided to the administrator being evaluated; however, the recipients of the questionnaires will review and utilize all questionnaires to prepare evaluation reports and recommendations.
3. Since the focus of administrative evaluations is the improvement of administration, evaluation reports shall include specific recommendations. The evaluatee's response to these recommendations shall be one basis for the annual merit review process and future evaluations.
4. Individuals affected by this policy shall be evaluated during the second and fourth year of service and every four years thereafter.
5. Every individual completing a questionnaire shall transmit it to the evaluatee's immediate supervisor.
6. Each evaluatee's immediate supervisor shall prepare a summary evaluation and meet with the evaluatee to discuss the evaluation and any appropriate recommendations. The evaluatee shall sign the summary evaluation to indicate that it has been reviewed and the summary evaluation shall be placed in the evaluatee's personnel file.
7. The evaluatee may submit, within five days of the discussion of the evaluation, a written response to the evaluation and recommendations to his/her supervisor. This response shall be placed in the evaluatee's personnel file.

**EVALUATION OF PART-TIME INSTRUCTORS**

Part-time instructors shall have the IDEA or other systematic student opinion questionnaire administered in at least one half the courses they teach each semester. Those teaching three or more sections will have this questionnaire administered in two separate courses unless they are teaching all sections of the same course. Those who teach only in the summer will be evaluated during the Summer Session.

In addition to the student opinion questionnaire and the department's other systematic method of evaluating teaching, each part-time faculty member will submit the following for each course: examinations, sample of instructional/assignment activities, and a course syllabus. The department chair will examine these materials and the course grade distributions and will provide necessary feedback to the part-time faculty member.

**DETERMINATION OF SALARY INCREMENTS**

The determination of recommended salary increments for faculty and staff is a responsibility of the organizational unit to which the individual is assigned. University merit pay guidelines are given immediately below. Information concerning specific criteria and procedures is available through the appropriate vice president, dean, chair, or director.

**UNIVERSITY MERIT PAY GUIDELINES FOR ACADEMIC UNITS**

On national and state levels, higher education is accountable for its missions of teaching, service, and

research. The approach of Eastern Kentucky University is to allow its college and departments to retain the flexibility to develop systems for accountability that reflect the unique nature and needs of the disciplines.

Standard awards and merit awards are equally important. Ideally, the University would have sufficient funds both to ensure through the standard award that those who perform satisfactorily do not suffer a real dollar loss in earnings and to ensure through the merit award that those who perform beyond normal requirements are appropriately rewarded. Historically, however, such funding has rarely been available. Thus, the University should balance both these needs and should recognize that an erosion in compensation for those who perform satisfactorily and a failure to reward those who go beyond expectations can each by itself have a deleterious impact on faculty morale and performance. Such an impact would undermine the primary objectives of the compensation policy--to employ, retain, encourage, and reward faculty who contribute to the purpose, mission, and goals of the University.

- I. The faculty of each academic unit shall participate in the development of a system for recommending merit increases for the academic unit. This may be accomplished at the college level, or, with the approval of the dean, at the department level.
  - A. If each department of a college is to have a separate system, the policies shall be recommended by a majority of the faculty in the department, shall be forwarded, with the recommendations of the chair and of the dean, to the Provost for Academic Affairs for review and approval.
  - B. If there is a college wide system, the approval process shall follow the same pattern described in "A" above.
  - C. The current practice which combines a standard award with a merit award and which bases both on performance shall continue. The standard award is a percentage of one's annual salary awarded across the board to all faculty/staff who meet minimum performance standards. The merit award varies from individual to individual and is dependent upon the extent to which an individual exceeds minimum performance standards. University merit dollars are to be divided proportionately among departments based on the number of full-time faculty who are eligible for merit consideration in each department. Individuals who exceed minimum performance standards to an equivalent extent receive merit awards in equal dollar amounts.
- II. In either case, the system must:
  - A. Be designed to differentiate with regard to performance so that no portion of the merit funds may be allocated across the board.
  - B. Conform to the University's policy on nondiscrimination due to age, race, color, religion, sex, handicap, or national origin.
  - C. Parallel the criteria for promotion and tenure, recognizing Eastern's primary mission of teaching.
    1. Salary adjustments, that is, increases occasioned by such circumstances as promotion, equities, and the need to maintain the University in a position of strength, shall be funded prior to the distribution of standard and merit award funds to the college/units.
    2. Academic merit pay systems shall be designed so that no less than 50% of the potential merit award for those with a full time teaching load is based on teaching performance.

- D. Define and clearly communicate the factors which are to be considered in evaluating meritorious performance.
  - 1. Departments may consider basing merit awards on performance over a period of time longer than one year for meritorious performance not previously considered.
  - 2. In addition to student opinion of instruction, each department shall use a systematic method of assessing teaching performance for purposes of merit awards. This method shall include a consideration of the perspectives of students, colleagues, and supervisors and shall be clearly defined and communicated in the department merit pay policy.
- E. Provide for a formal evaluation conference where the faculty member will be notified by the department chair of the merit evaluation.
- F. Require faculty members to actively participate in the merit evaluation process by:
  - 1. Providing documentation of meritorious performance in the form of a report structured according to department/college procedures and
  - 2. Participating in an evaluation conference with the department chair.
- G. Provide a procedure for an appeal of the evaluation which must be filed with the department chair, in writing, within five days of the evaluation conference.
- H. Include a method for departments to periodically and regularly reassess their methods and procedures to insure they are continuing to support the stated purpose, mission, and goals of the University.
- I. Specify the procedures to be used in determining merit pay increases for faculty on paid or unpaid leaves. These procedures:
  - 1. Must include a case by case review by the chair and dean for compliance with the criteria,
  - 2. Must include the specification of prior agreements, in writing, concerning the criteria and process for the evaluation for merit pay, and
  - 3. May allow for differing awards according to the purpose of the leave if the basis of the difference is clearly explained and reflects the goals of the college and/or department.

Faculty receiving terminal contracts due to unsatisfactory performances will not receive a salary increase for their final year.

### **CONTRACTS (Under Revision)**

Within 30 days after the receipt of the official Notice of Faculty Appointment and Personnel Action Form (PAF-I), each person shall submit to the President a written acceptance or rejection of the contractual terms. Subsequently no faculty or staff member should resign after July 1 unless it is agreeable to the University and so stated in writing by the President.