

COLLEGE OF EDUCATION

**PROCEDURES AND POLICIES FOR
PROMOTION AND TENURE**

Approved by College on June 4, 2020

Approved by the Provost on _____

Table of Contents

I. Introduction (Principles)

II. Candidates Procedures and Responsibilities

III. Departmental/School Procedures and Responsibilities

IV. College Procedures and Responsibilities

V. Dean Procedures and Responsibilities

Appendix A: Tenure and Promotion Matrix

I. INTRODUCTION

This document describes and identifies the College of Education's process for promotion and tenure. The document agrees with the policies described in the University's approved procedures for tenure and promotion but shall not supersede or conflict with them, The College Procedures and Policies are meant to add specificity to how our College manages the procedures of promotion and tenure and to guide applicants in completing their applications.

The contents listed herein explain the requirements and procedures to be utilized by faculty and the compilation of supportive evidence and appeal (reconsideration) procedures to insure due process for all members of the College of Education.

Eastern Kentucky University, as a matter of principle, complies with the American Association of University Professors and the Association of American Colleges and Universities —1940 Statement of Principles on Academic Freedom and Tenure. The AAUP and AAC&U statement addresses policy and procedural expectations for a wide variety of institutions of higher education. These principles have served as a guide in adopting the procedures as applied to the College of Education as well as the University Policy.

Principles

1. The policy principles identified in the University policy (4.6.4P) shall be applied to the College and the department evaluations of all faculty.
http://policies.eku.edu/sites/policies.eku.edu/files/policies/4.6.4_promotion_and_tenure BOR_9.28.12_0.pdf
2. The primary and initial recommendation on matters of promotion and tenure shall be the responsibility of Department committee selected by each Department to do these evaluations. Throughout the College process, it will be remembered that the Department evaluations are given weight appropriate to this primacy.
3. The Departmental and College procedures not determined by the promotion and tenure procedures outlined in the University policy referenced above shall be developed by the faculty composing these units or their representatives and shall be known and agreed to by the faculty.

II. CANDIDATE PROCEDURES AND RESPONSIBILITIES

- A. Candidates should be familiar with Department, college, and University promotion and tenure policies and procedures.
- B. No later than May 1, the Department Chair shall notify faculty eligible for tenure in the next academic year of their eligibility. If a faculty member has not been notified by May 1 of tenure eligibility and believes this to be in error, the faculty member must submit a written request for review to the Department Chair, with a copy to the Dean.
- C. No later than September 1, eligible candidates for tenure and/or promotion shall notify the Department Chair in writing, with a copy to the Dean, of the intent to apply for tenure and/or promotion in the present academic year.

- D. It is the responsibility of the candidate to apply for tenure and/or promotion by the deadline stipulated in the Department promotion and tenure policy document. A candidate who is eligible for tenure but fails to submit an application shall be given a terminal appointment.
- E. Should an applicant for promotion choose to withdraw from candidacy, the applicant shall so inform the Department Chair, the Dean, and the Provost in writing. Should an applicant for tenure choose to withdraw from candidacy, the applicant shall so inform the Department Chair, the Dean, and the Provost in writing, and shall submit a letter of withdrawal prior to March 20 in the academic year the candidate is seeking tenure. Tenure candidates who withdraw from the process will be issued a terminal appointment.
- F. The Candidate will be responsible for putting all promotion and tenure material in the universities current recording system for faculty teaching, service and scholarship. ~~At the time of generating this document, that system is digital measures.~~ The documentation for promotion and tenure must be recorded in this system to be considered as part of the application.
- G. Materials will be prepared as specified in the Guidelines for Completing the Promotion and/or Tenure Application.

III. DEPARTMENT PROCEDURES AND RESPONSIBILITIES

- A. Each Department shall establish procedures for: 1) selecting a committee to consider promotion and tenure, and 2) operational guidelines for the committee. These shall include procedures for initial consideration, reconsideration and appeal.
- B. Procedures shall be approved by a majority vote of the members of the Department and reviewed by the Dean of the College for compliance with the University and College documents. They shall be filed in the Dean's office and the Departmental office.
- C. Changes in the procedures shall be made by a majority vote of the members of the Department and reviewed by the Dean by May 1 prior to the academic year in which they are to take effect.
- D. Department Chairs shall NOT serve as members on promotion and tenure committees at any level or on the Faculty Evaluation Appeals Committee. Furthermore, these individuals shall not sit in during committee deliberations unless stipulated by Department or College policy.
- E. The committee shall be elected by September 10 for that academic year. The committee shall consist of no fewer than three voting members, elected from the full-time tenured faculty.
- F. If a faculty member (or a member of their immediate family) is being considered for promotion and/or tenure, that person shall not serve on the committee.
- G. The committee shall use the University form for its report for recommending promotion and/or tenure.
 - 1. The Department committee shall make a written recommendation, stating reasons for or against tenure and/or promotion. The voting members of the committee shall complete the appropriate recommendation form(s) for tenure, promotion, or both. Members of the committee shall sign the form(s), indicating the report's accuracy as it was approved by the majority of the committee. The application, the written recommendation, and the signed form(s) shall be submitted to the Department Chair.

2. If the Department Chair's recommendations coincide with findings and recommendations of the Department committee, the Chair will indicate approval of that action.
3. If the Department Chair disagrees with the committee's findings, the Chair will so indicate on the form, and will attach to the form the rationale for disagreeing with the committee's recommendation.
4. The Department Chair, and/or together with the chair of the Departmental committee, shall review the recommendation of the Department Chair and the recommendation of the Departmental committee with the candidate, provide the candidate with a copy of the report (and all addenda), and secure the candidate's signed receipt.
5. A faculty member may request reconsideration of the decision of the Department committee or Department Chair by submitting a written notification to the chair of the committee and the Department chair, with a copy to the Dean, within ten calendar days of notification and shall include relevant evidence.
6. All recommendations will be submitted in a folder which shall include the University form and any statement or material the candidate chooses to submit, providing the Departmental committee and the Department Chair are fully aware of these items. The request for reconsideration should address concerns raised by the Department committee and/or the Department Chair and may include additional information in support of that clarification.
7. The Dean will submit the recommendations approved by the Departmental committee and/or by the Department Chair to the College Promotion and Tenure Committee.

H. GOOD PRACTICES FOR DEPARTMENTS

1. All Department Chairs, members of Departmental and College Promotion and Tenure Committees, and candidates for promotion and/or tenure are expected to be familiar with and to comply with the University, College of Education and Departmental promotion and tenure policies.
2. Throughout the promotion and tenure processes, principles of confidentiality must be respected.
3. To ensure the procedural rights of the candidates for promotion and/or tenure, the Department Chair should provide copies/web addresses of the College and Departmental promotion and tenure guidelines to the candidate and to the appropriate Departmental committees as soon as a determination has been made that the faculty member is to be considered for promotion and/or tenure.
4. Policies for promotion and tenure shall state specific criteria to be used in the evaluation and how they shall be applied.
5. Policies for promotion and tenure shall include a method for Departments to periodically and regularly reassess their policies and procedures to insure that they are continuing to support the stated purpose, mission, and goals of the University. The policies shall specify that the Department Chair is responsible for ensuring that the reassessment is conducted at least every five years.

6. A Departmental promotion and tenure committee should be chaired by an experienced individual who has previously served on a promotion and tenure committee.
7. Credit toward tenure and/or promotion. Some candidates for promotion and/or tenure may wish to apply prior service at another institution or place of employment toward the ECU probationary period. This must be agreed upon by the Department Chair and College Dean at the time of initial appointment and documented in the initial hiring letter and contract. Furthermore, for work at another institution to be considered for promotion and tenure purposes at ECU, complete documentation must be provided, including teaching evaluations, service record, and scholarly accomplishments.

IV. COLLEGE PROCEDURES AND RESPONSIBILITIES

- A. The College promotion and tenure committee shall review applications. The committee ensures that College-level criteria are met and that the appropriate review of the candidate's qualifications has been made and the Department criteria have been fairly applied.
- B. The College Committee shall consist of a minimum of six members that include one tenured faculty member with rank of Associate Professor or above from each Department and tenured faculty members with a rank of Associate Professor or above elected at-large from the College.
- C. The Dean or Associate Dean shall NOT serve as members on promotion and tenure committees at any level or on the Faculty Evaluation Appeals Committee. Furthermore, these individuals shall not sit in during committee deliberations unless stipulated by Department or College policy. However, the Dean or Associate Dean may convene the College Committee and serve as a resource to the committee on the policies and procedures that apply.
- D. The College promotion and tenure committee may consult with the Department Chair, the chair and/or member(s) of the Department committee, and/or the candidate prior to making a recommendation.
- E. Decisions shall be made by secret ballot and by majority vote. A tie vote will be considered a negative recommendation.
- F. The voting members of the committee shall complete the appropriate recommendation form(s) for tenure, promotion, or both. If the committee does not concur with the recommendations of the Department committee, the Department Chair, or both, the College committee shall state in writing the reasons for the differing recommendations. Members of the committee shall sign the form(s), indicating the report's accuracy as it was approved by the majority of the committee. The application, the written recommendation, and the signed form(s) shall be submitted to the College Dean.
- G. Faculty members shall be elected by the following method:
 1. A minimum of six committee members shall be elected. The faculty of each Department shall elect one member from its full-time tenured teaching faculty with the rank of associate professor or above. ~~Additional Two~~ members at large shall be elected from the college faculty to ensure that the membership of the committee includes a minimum of six committee members.

2. Members shall not serve on the Departmental committee, the College Committee, or the Faculty Evaluation Appeals Committee (FEAC) during the same academic year. Anyone who will be considered for promotion and/or tenure shall not serve. Faculty may not serve if a member of their immediate family will be considered for promotion and/or tenure.
3. In the absence of a faculty member from an individual department who meets the criteria to serve on the College Promotion and Tenure Committee, a member at large will be elected.
4. The elected members shall serve for one year.
5. Committee must be elected no later than September 10th of the year it is to function.
6. The Committee shall elect an elected member or two to serve as chair or co- chairs of the committee.

H. Initiation of Evaluations

1. No later than September 1 of the year the candidate wishes to be considered, faculty members who wish to be reviewed for tenure and/or promotion must address a letter to the Department Chair with a copy to the Dean requesting an evaluation by the Department's Promotion and Tenure Committee.
2. No later than April 15, the Dean shall notify the Department Chair of faculty eligible for tenure in the next academic year.
3. No later than May 1, the Department Chair shall notify eligible candidates for tenure and provide them with guidelines and deadlines for application submission in the next academic year.
4. If a faculty member has not been notified by May 1 of tenure eligibility and believes this to be in error, the faculty member must submit a written request for review to the Department Chair, with a copy to the Dean.
5. Failure to comply with these dates does not result in de facto tenure.

V. **DEAN PROCEDURES AND RESPONSIBILITIES**

- A. The Dean shall review the application and recommendations. The Dean may consult with previous decision makers and/or the candidate prior to making a recommendation. The Dean shall provide a separate recommendation regarding tenure and/or promotion. If the Dean does not concur with the recommendations of the Department committee, the Department Chair, the College committee, or all three, the Dean shall state in writing the reasons for the differing recommendations.
- B. The Dean shall notify the candidate in writing of the recommendations of the College committee and of the Dean, with justification for these decisions.

- C. The Dean shall forward application materials, all recommendations on tenure and positive recommendations pertaining to promotion to the Provost and Vice President for Academic Affairs no later than the date specified in the academic affairs calendar for that year.
- D. Promotion applications receiving a negative recommendation by the Dean shall not be reviewed further unless the candidate submits a brief letter to the Dean, with a copy to the Department Chair, within 5 calendar days of notification by the Dean requesting that the review process continue. This is not an appeal.
- E. The Dean shall forward recommendations to the Vice-President no later than the date specified in the academic affairs calendar for that year.

APPENDIX A

Tenure and Promotion Matrix

This matrix is a guideline and is not intended to be a checklist guide.

This Matrix is meant as a General Guideline for the College of Education

Tenure Criteria

Note: “with evidence” is listed in many places below and means you should be able to provide evidence of each item where it is stated but it does not mean you must provide evidence as a part of your application materials.

Teaching	Service	Scholarship
Accomplished overall with evidence and Accomplished with evidence in three of the four categories	Competent to Accomplished overall with evidence and Accomplished with evidence in two of the four categories	Competent to Accomplished in scholarly activities with evidence. and Accomplished with evidence in two or more categories

Promotion Criteria

Promotion to Assistant Professor

Teaching	Service	Scholarship
Competent to Accomplished overall with evidence and Accomplished with evidence in two of the four categories	Competent with evidence in at least three categories or Accomplished in one category and Competent in one other category with evidence	Competent with evidence in two or more categories

Promotion to Associate Professor

Teaching	Service	Scholarship
Competent to Accomplished overall with evidence and Accomplished with evidence in two of the four categories	Competent to Accomplished overall with evidence and Accomplished with evidence in two of the four categories	Accomplished in scholarly activities with evidence. and Accomplished with evidence in two or more categories

Promotion to Professor

Teaching	Service	Scholarship
Accomplished overall with evidence and Exceptional in one of the four categories and Accomplished in one other category with evidence	Accomplished overall with evidence and Exceptional in one of the four categories and Accomplished in one other category with evidence	Accomplished to Exceptional overall with evidence and Exceptional in one of the categories with evidence and Accomplished with evidence in two of the other four categories

Teaching Matrix

Categories	Exceptional	Accomplished	Competent	Novice
Instructional Planning	Demonstrates well-organized approach to teaching that places emphasis on relationship and application of knowledge and skills and models of best practices in the professions	Demonstrates an organized approach to teaching that places emphasis on the relationship and application of knowledge and skills.	Demonstrates an organized approach to teaching. Inconsistent emphasis on application of skills and knowledge.	Lapses in organizational approach to teaching. No emphasis on application of skills and knowledge.
	Establishes reasonable, quality oriented standards of performance, shares those standards with students, and evaluates objectively according to those standards	Establishes reasonable standards of performance, shares those standards, and evaluates according to the standards	Establishes evaluation criteria for course work	Evaluation criteria lacks clarity, is subjective, or not shared with students.
	Demonstrates appropriate use of educational technology for planning and implementation of instructional goals, well-designed learning activities, and student assessment in distance learning courses (e.g., two-way video, online).	Demonstrates appropriate uses of educational technology for planning and implementation for course management and teacher, content, and student-student interaction in distance learning courses (e.g., two-way video, online).	Moving toward integration of technology into teaching and learning activities	Little to no integration of technology into teaching and learning activities.
	Instructional plans reflect understanding of the function of their course(s) within the program, Department, College, and University	Instructional plans reflect understanding of the function of their course (s) within the program, Department and college	Instructional plans reflect an understanding of the function of their course(s) within the program and Department	Instructional plans reflect a lack of understanding of the function of their course(s) within the program or department.
Instructional Effectiveness	Demonstrates exceptional teaching methods/skills	Demonstrates good teaching methods and skills for all of his/her courses	Demonstrates good teaching methods and skills for most of his/her courses	Demonstrates ineffective teaching methods and skills.
	Majority of student evaluations (more than 50% on official university evaluation of courses taught) rate overall instructor mean as '4' to '5'. Majority of student comments when evaluated across	Majority of student evaluations (more than 50% on official university evaluation of courses taught) rate overall instructor mean as '4'. Majority of student comments when evaluated across	Majority of student evaluations (more than 50% on official university evaluation of courses taught) rate overall instructor mean as	Majority of student evaluations (more than 50% on official university evaluation of courses taught) rate overall instructor mean as

	semesters are consistent with quantitative ratings	semesters are consistent with quantitative ratings	'3' to '4'. Majority of student comments when evaluated across semesters are consistent with quantitative ratings	3 or below. Or inconsistency noted in student comments and quantitative ratings
Department Evaluation of Instruction	2 nd form of teaching evaluation, which may include peer evaluation and/or Department chair evaluations, rate teaching as above average to high	2 nd form of teaching evaluation, which may include peer evaluations and/or Department chair evaluations, rate teaching as average to above average	2 nd form of teaching evaluation, which may include peer evaluations and/or Department chair evaluations, rate teaching style as average	2 nd form of teaching evaluation, which may include peer evaluations and/or Department chair evaluations, rate teaching style as average to below average or 2 nd form of evaluation is not provided
Academic advising	Majority of advising evaluations rate advising skills as exceeds expectations	Majority of advising evaluations rate advising as meets expectations to exceeds expectations	Majority of advising evaluations rate advising as meets expectations	Majority of advising evaluations rate advising as below expectations or no advising evaluation data is provided

Effective Teaching Methods may include but are not limited to:

- Presents material in a manner that brings attention immediately to the topic, problem area or skill
- Is enthusiastic about teaching and able to hold the students' attention by gesture, voice, expressions, and general delivery.
- Uses a variety of teaching styles and techniques appropriately and models best practices for his/her specific area of teaching
- Returns exams, quizzes, homework projects within a reasonable span of time
- Responds to students' inquiries within a reasonable span of time
- Meets classes on time
- Defines student learning outcomes for every class
- Effectively organizes instruction to meet class objectives
- Consistently informs students of course expectations
- Provides students with timely and meaningful feedback

Technology may include but is not limited to:

- Distance education (ITV and online classes) and online course development

- Effective use of Course Management System such as Blackboard and its advanced features
- Use of word processing, database, spreadsheet, and multimedia software
- Development of digital case studies
- Use of social media for effective instruction
- Use of online library resources
- Adaptive/assistive devices/equipment
- Smart Classroom

Service Matrix

Categories	Exceptional	Accomplished	Competent	Novice
Service to the University: Committee Work	Demonstrates leadership or extensive service at College or University level with evidence of service.	Demonstrates leadership or extensive service on Department and College level committees with evidence of service.	Actively serves on Department level committees and one or more College or University level committees with evidence of service (minutes of meetings, documentation of involvement, etc.).	Serves on Department level committees or provides little evidence of service.
Service to the University: Other	Demonstrates engaged leadership and/or extensive work in service activities with evidence (e.g. minutes, agendas, presentations, etc.), such as those areas listed in Competent or Accomplished.	Involved in College and/or Department level service in areas such as those listed under Competent, (examples could also include coordinating programs; assisting part-time colleagues; assisting with accreditation work; analyzing data related to admission, recruitment, retention, accreditation; and sponsoring student groups).	Demonstrates willingness to provide service to the Department (e.g. in such areas as supervising-students, assisting colleagues, mentoring new faculty, serving on program admission interview committees, recruitment events, and providing professional development).	Demonstrates little willingness to provide service to the Department or provides little evidence of service.

Service to the profession.	Demonstrates engaged leadership and/or extensive work for professional organizations with evidence. Provides professionally-related in-service workshops and consultation to schools and other organizations.	Shows active support for professional organizations through committee work and/or leadership roles with evidence. Provides professionally-related in-service, workshops, and consultation to schools and other organizations.	Membership and participation in professional organizations with evidence.	Little membership or participation in professional organizations or no evidence is presented.
Professionally-related service to the community and professionally- related service to community agencies.	Demonstrates engaged leadership and/or extensive involvement in professionally-related community service with evidence.	Is consistently involved in more than one professionally-related community service activity.	Has been involved in one professionally-related community service activity.	No involvement in professionally-related service to the community or no evidence is presented.

Service Notes:

Professionally related service is service that reflects the special training or education of the person who is delivering it. If anyone, regardless of background, could provide the service it is probably not professionally related. All service to the community or to community agencies is valuable and worthwhile but professionally related service is valued more for the P& T process.

Scholarship Matrix

Categories		Exceptional	Accomplished	Competent	Novice
Publications ¹ (Peer reviewed refereed count more than non-peer reviewed non-refereed publications)	Articles Research Scholarship of Teaching Bibliographical Essay Proceedings/Annual	Publishes at national/ international level	Publishes at regional level	Publishes at state/local level	Submits works for publication
	Books Monographs	Entire book or editor of book	Book chapter(s)	Refereed/invited book review	Submits works for publication
	Journal Editor	National level	Regional/state level		
Presentations ¹ (Peer reviewed refereed count more than non-peer reviewed non-refereed presentations)	Professional Organizations Paper Workshop Symposium Seminar	Juried at national/ international level	Juried at regional level	Juried at state/local level	Submits presentation proposals
	Invited ² Participation in forums Television presentations Keynotes	National/ international level	Regional/state level	Local level	Not applicable
	Expert Witness ²	National/ international	Regional/state level	Local level	Not applicable
Grants/contracts ³		Externally Funded (above \$10,000 or Principal Investigator or extensive work with evidence)	Externally (\$10,000 or less)/Internally Funded	Externally/internally Not Funded	No evidence of submitting grants
Creative Activity ²	Performances Exhibits Books for Youth Compositions	Juried at national/ international level	Juried at regional/state level	Juried at local level	Non-juried or no evidence

Technological Achievements	Web Sites (Creation) Video Multimedia Blogs Apps	Content and technologically reviewed, outside University or award recognition inside and/or outside University	Content and technologically reviewed, inside and/or outside college	Content and technologically reviewed, inside and/or outside Department	No evidence of technological achievements or content not reviewed
----------------------------	--	--	---	--	---

Scholarship Notes:

1. To be considered as refereed or juried these tests must be passed:
 - Jury Test - published materials are blind reviewed by professionals and/or utilize editorial review boards (applied to only specific content areas).
 - Vanity Test - the publication receives no more than 15% of the cost of publications from the authors (or the equivalent of the cost of reprints.)
2. Quality Test - professionals in the field should advise as to the rigor of the invited presentations and/or creative activity.
3. Quality Test - professionals in the field should advise as to the rigor of the competition and the significant benefits to the Department, College and/or University.
4. Scholarship is professionally related and reflects the special training or education of the person who is delivering it. If anyone, regardless of background, could produce the scholarship it is probably not professionally related. Faculty may provide readership, viewer analytics, or reference data to substantiate relevance to the profession.
5. Awards related to technology products utilized for instruction may be counted as technological achievement with documentation that demonstrates that the award was made based on the evaluation of the technology rather than the instruction.