

**COLLEGE OF ARTS AND SCIENCES
EASTERN KENTUCKY UNIVERSITY
GUIDELINES FOR PROMOTION AND TENURE**

Approved on April 20, 2005

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A. STRUCTURE OF COLLEGE COMMITTEE

1. For the purposes of electing/selecting members to the College of Arts & Sciences Promotion and Tenure Committee, the departments within the College are divided into the following areas:

Area I: Department of Art & Design, Department of English & Theatre, Department of Foreign Languages & Humanities, Department of Music, and Department of Philosophy & Religion.

Area II: Department of Biological Sciences, Department of Chemistry, Department of Computer Science, Department of Earth Sciences, Department of Mathematics & Statistics, and Department of Physics & Astronomy.

Area III: Department of Anthropology, Sociology & Social Work, Department of Economics, Department of Geography, Department of Government, Department of History, and Department of Psychology.

2. The College Promotion and Tenure Committee shall consist of eleven members comprised of the Dean as a non-voting member, the Associate Dean for Administrative Affairs and Research as a non-voting member, six elected members of the faculty, two from each Area (See A-1), and three members of the faculty appointed by the Dean, one from each Area.
3. The Associate Dean shall chair the committee as a non-voting member. His/her role shall be that of a facilitator and to ensure that appropriate procedures and policies are adhered to and are applied in a consistent manner. He/she shall not otherwise participate in the evaluation of candidates for promotion and/or tenure.
4. The faculty member serving as the College representative to the University Promotion and Tenure Committee (see Section F) shall attend all the College committee meetings as a non-voting observer. This procedure is adopted in order to familiarize the individual with cases that he or she shall handle at the University committee level.
5. The Dean shall conduct election of faculty members of the committee according to the schedule shown in Table 1. Each eligible department (see A-14) of the College shall nominate one individual for election to the committee. Only full-time, tenured faculty holding the rank of professor or associate professor are eligible for membership on the committee. Department chairs are not eligible for membership on the Committee. All full-time, tenured and tenure-track faculty of the College are eligible to vote for candidates nominated for membership on the committee. After the vote, candidates shall be ranked according to the number of votes received.

Table 1. Representation schedule by Area beginning with the 2005/06 academic year

	YR 1		YR 2		YR 3	
Area 1	3 I	2 I	2 R	1 R	1 R	3 N
Area 2	2 I	1 I	1R	3 N	3 N	2 R
Area 3	1 I	3 I	3 N	2 R	2 R	1 R

Key: YR = year, I = initial election, R = returning, N = New election

6. During the initial election (2005-06), the members shall be elected for three-, two- and one-year terms as indicated in Table 1. The unequal number of years for this group is for the purpose of setting up the initial staggering of the committee membership and for establishing three-year rotations of elected committee members. Individuals receiving the most votes from each of the three Areas will serve the longest term for that Area according to Table 1. The individual with the second most votes for each Area shall serve as the second elected representative for that Area, while the individual with the third most votes shall serve for one year as an alternate. The purpose of the alternates will be to replace the elected Area representatives should the need arise.
7. In subsequent years, two individuals will be elected for three-year terms as indicated in Table 1. For each Area, the individual receiving the most votes shall be the new elected representative, while the individual with the second most votes shall serve for one year as an alternate. For Areas where election of a committee member is not required in a given year, an alternate shall be elected from nominations by departments not already represented on the committee for the year. The individual with the most votes shall be the alternate.
8. If an alternate serves for only one year, his/her service shall not affect his/her eligibility or that of his/her department for representation on the committee according to the schedule in Table 1. If, on the other hand, an alternate serves for two or more consecutive years, he/she shall be deemed to have served as a regular committee member and his/her eligibility or that of his/her department for representation on the committee shall be governed by the schedule in Table 1.
9. When appointing the required additional committee members (see A-2), the Dean shall also appoint alternates. In making these appointments, the Dean shall consider the diversity of the College in terms of factors such as, but not limited to, department, gender, race, rank, and age. The appointed faculty members shall serve for one-year terms. They may be reappointed for a maximum of three years so long as their reappointments meet other eligibility requirements in this document.
10. The committee members and alternates shall be elected no later than September 1 of the year in which it is to function. Appointment of committee members and alternates by the Dean shall be made as soon as possible after the elections, but no

later than September 10. Normally, the elections will be held in the spring semester preceding the academic year the committee is to function.

11. If a faculty member or a member of his or her immediate family is being considered for promotion or tenure, the faculty member may not serve on the committee that year. If the faculty member is already a member of the committee, he/she shall be replaced by an alternate for that year, but shall return in subsequent years to complete the balance of his/her term (excluding any years served by an alternate).
12. A faculty member shall not serve on both the College and departmental committees in the same year.
13. A department shall not be represented on the committee by two members, elected or appointed, during the same academic year.
14. Once a department has been represented on the committee by election or appointment, faculty members from that department shall not be eligible for election or appointment until such a time when all departments from the same Area (see A-1) have been represented on the committee. An exception shall be made in the case in which the representative is an alternate who serves on the committee for no more than one year.
15. A working committee shall consist of at least two-thirds of the voting members.
16. An alternate may replace an excused member for voting purposes on tenure or promotion recommendations only if the alternate has been present for all discussions regarding tenure or promotion to that rank.
17. An organizational meeting of the College Promotion and Tenure Committee shall be convened by the Associate Dean for Administrative Affairs and Research no later than the first week of October and a firm schedule of meetings that complies with the current College and University deadlines shall be established for subsequent committee meetings for each type of application.

B. RESPONSIBILITIES OF THE COLLEGE COMMITTEE

1. The College committee shall be responsible for examining promotion and tenure materials prepared by departmental committees and addenda provided by the Department Chair/and or the candidate, and for ensuring that, the departments apply standards equitably, approved criteria and procedures have been followed, promotion and tenure recommendations are consistent with the goals and needs of the College, and unsubstantiated information or material that lacks documentation is not used as part of the decision process.

2. Members of the College committee shall have access to the individual application files upon their receipt by the Dean.
3. The College committee shall have an organizational meeting, convened by the Associate Dean for Administrative Affairs and Research, no later than the first week of October. A firm schedule of meetings that complies with the current College and University deadlines shall be established for subsequent committee meetings for each type of application.
4. The College committee shall begin its review of the recommendations no later than the first week in December.
5. The College committee may ask for clarification of any materials it is reviewing from the departmental committee, Department Chair, or other qualified source.
6. Each candidate for promotion and/or tenure shall select a member of his/her department promotion and tenure committee, or the Department Chair, to present his/her candidacy to the College committee. A Department Chair should be selected only if he/she has participated in the departmental promotion and tenure committee deliberations so that he/she is able to effectively address any concerns the College committee may have. The candidates must provide the College committee chair with the name of the selected representative no later than September 15.
7. Normally, the representative shall make a presentation of no more than 15 minutes to be followed by a discussion of the candidate. The representative shall remain throughout the discussion of the candidate.
8. The College committee will review first the recommendations for tenure and then the recommendations for promotion in ascending order of rank. All candidates for tenure or promotion to a given rank will be considered at single sessions. In addition, voting on each candidate shall be done immediately after discussing the candidate, but the votes shall not be counted until all tenure candidates, or all candidates for promotion to a given rank, have been considered.
9. Decisions shall be made by secret ballot and by majority vote. A tie vote will be considered a negative recommendation.
10. No proxy votes will be allowed. Substitute committee members will not be allowed to join the committee after deliberations have begun.
11. Members of the College committee shall complete the appropriate forms for recommendation for promotion or tenure, providing 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 and verifying the results of the vote.

12. If the College Promotion and Tenure Committee does not agree with the recommendation of the Department Promotion and Tenure Committee and/or the Department Chair, it shall submit a summary statement of justification for the differing judgment. A written summary by the College committee is also required if the applicant has appealed the Department decision or requested a reconsideration of the College Committee.
13. The chair of the College committee shall submit the committee recommendations, with appropriate documentation and required forms, to the College Dean.
14. The College Committee shall complete its recommendations for promotion and tenure by the end of final-examinations week.

C. RESPONSIBILITIES OF THE COLLEGE DEAN

1. By September 5, the Dean shall send a list of faculty eligible for tenure to the Departmental Chair for transmittal to the candidate and the departmental 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. A candidate for promotion is responsible for initiating the process by presenting a letter requesting a departmental review to the Department Chair, with a copy to the Dean, no later than September 10 of the year of review.
2. The Dean shall be a nonvoting member of the College Promotion and Tenure Committee and attend all meetings of the committee.
3. The Dean shall submit all positive and divided recommendations from departmental chairs and appeals from candidates to the College committee. The Dean shall not submit to the College committee recommendations for promotion disapproved by both the departmental committee and the Department Chair unless the candidate appeals these decisions. All recommendations on tenure shall, however, be submitted to the College committee.
4. Upon receipt of the College committee's recommendation form and the individual application file, the Dean shall review all materials and make separate recommendations regarding the promotion or tenure of the candidates.
5. 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. Justification of the decision of the Dean must rest upon documented, verifiable information.
6. In cases where the Dean disagrees with the recommendation of the College Promotion and Tenure Committee, the Dean shall inform the Committee and the candidate, including an explanation for the differing recommendation. If the Dean

agrees with the College committee, he/she is not required to provide any written evaluation, though it may be desirable.

7. The Dean shall inform the candidate, in writing, of the decisions by the College committee and the Dean prior to submission of the recommendations to the next level. The notification should be done in time to provide the candidate with the opportunity to request a reconsideration and appeal.
8. The Dean shall forward positive, divided, and appealed recommendations pertaining to promotion and all recommendations on tenure to the Provost and Vice President for Academic Affairs, with copies of the recommendations from the College (and addenda) to the candidate, the chair of the College committee, and the Department Chair in accordance with the dates published in the *Faculty Handbook*.
9. The Dean shall not forward to the Provost and Vice President for Academic Affairs recommendations for promotion disapproved by both the College Committee and the Dean unless the candidate appeals these decisions. All recommendations on tenure shall, however, be forwarded to the Provost and Vice President for Academic Affairs.

D. RECONSIDERATION¹ AND APPEAL² OF THE COLLEGE COMMITTEE'S DECISION

1. The candidate may request reconsideration of the decision of the College committee by submitting a written statement to the chair of the College committee with copies to the Dean and to the Provost and Vice President for Academic Affairs within five days³ of notification of the decision by the College Dean. The request for reconsideration shall detail the grounds for reconsideration and shall include relevant evidence.
2. In order for a committee member to vote on a reconsideration, he or she must have voted on the recommendation being reconsidered. A quorum hearing a reconsideration shall be at least two-thirds of those members who voted on the original recommendation.

¹ Reconsideration refers to a situation in which a candidate requests **the same** committee that has made a recommendation (usually a negative one) on his/her application to reconsider the recommendation. Upon reviewing the request (which must detail grounds for reconsideration and include relevant evidence), the committee may reverse or reaffirm its initial recommendation.

² An appeal refers to a situation in which a candidate requests a **higher committee** to reverse the recommendation of a **lower committee**. The statement of appeal must detail grounds for the appeal and include relevant evidence. A candidate may not appeal to a higher committee before first asking for reconsideration from the lower committee.

³ 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.

3. The College committee shall meet with the candidate and then reconsider the recommendation (without the candidate present) in light of the information provided in the reconsideration statement of, and the meeting with, the candidate.
4. The College committee shall decide the reconsideration by secret ballot and by majority vote. A tie vote shall be considered a negative recommendation.
5. The chair of the College committee shall submit the committee recommendations, with appropriate documentation and required forms, to the College Dean.
6. The Dean shall formally notify each candidate in writing of the results on any requests for reconsideration by the College Committee in time to provide the candidate with an opportunity to request an appeal.
7. Decisions on reconsiderations shall be processed in the same manner as uncontested decisions are, through the Dean to the Provost and Vice President for Academic Affairs.
8. The candidate may appeal the reconsideration decision by, within five days of notification by the Dean, submitting a written statement of the appeal to the chair of the University Promotion and Tenure Committee, with a copy to the 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.

E. RECONSIDERATION¹ AND APPEAL² OF THE DEAN'S RECOMMENDATION

1. The candidate may request reconsideration of the Dean's decision by submitting a written statement to the Dean, with copies to the chair of the College committee and to the Provost and Vice President for Academic Affairs within five days of notification of the decision by the College Dean. The request for reconsideration shall detail the grounds for reconsideration and shall include relevant evidence.
2. The Dean shall meet with the candidate, together with the chair and another member of the College committee, and then reconsider the recommendation in light of the information provided in the reconsideration statement of, and the meeting with, the candidate.
3. The Dean shall formally notify each candidate in writing of the results on any requests for reconsideration by the Dean. This notification must be provided in time to give the candidate an opportunity to request an appeal.
4. Decisions on reconsiderations shall be processed in the same manner as uncontested decisions are, through the Dean to the Provost and Vice President for Academic Affairs.

5. The candidate may appeal the reconsideration decision by, within five days of notification by the Dean, submitting a written statement of the appeal to the chair of the University Promotion and Tenure Committee, with a copy to the 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.

F. SELECTION OF FACULTY REPRESENTATIVE TO THE UNIVERSITY PROMOTION AND TENURE COMMITTEE

1. The faculty representatives and alternates serve for a period of three years.
2. When necessary (e.g., when the term of serving members expires or there is a conflict of interest), the College representative and alternates for the University Promotion and Tenure Committee shall be elected no later than May in the preceding academic year.
3. When the College representative is unable to serve in a given year, he or she shall be replaced by an alternate, but shall return in subsequent years to complete the balance of his/her term (excluding any years served by an alternate).
4. Each Department may nominate one candidate. Eligible candidates include all full-time, tenured faculty of the College, excluding chairs.
5. It is recommended that departments nominate individuals who have served on the College Promotion and Tenure Committee within the preceding five years. Furthermore, in accord with stated University policy (*Faculty Handbook*, version of 7/04, page III-19), consideration shall be given to “electing members holding the rank of Professor (or the highest rank available).”
6. The representative is expected to attend all meetings of the College Promotion and Tenure Committee but shall not vote at these meetings.
7. If more than three candidates are nominated, election shall be via a two-ballot process, both conducted by the Office of the Dean. Eligible voters will include all full-time tenured and tenure-track faculty.
8. The first ballot will decide by plurality the three candidates to stand for the second and final ballot.
9. The second ballot will decide by plurality the representative, the first alternate, and the second alternate.

G. CHANGES IN COLLEGE PROCEDURES

1. Changes in the College procedures shall be made by a majority vote of the voting full-time, tenured and tenure-track faculty of the College.
2. Changes in the College procedures must be approved by May 1 prior to the academic year in which they are to take effect.

H. SUGGESTED 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 Arts & Sciences, and Departmental promotion and tenure policies.
2. Throughout the promotion and tenure processes, principles of confidentiality shall be respected.
3. To ensure the procedural rights of the candidates for promotion and/or tenure, the Department Chair should provide copies 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 will apply prior service at another institution or place or 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 Personnel Action Form (PAF-1). 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.

If time at another institution has been applied towards the ECU probationary period for tenure, then professional accomplishments over the specific time period agreed upon will be considered as if having occurred during a normal five-year probationary period at ECU. Likewise, if time at another institution has been applied towards time in previous rank for promotion purposes, then professional accomplishments over the specific time period agreed upon will be considered as if having occurred during a normal time in previous rank requirement at ECU. However, it is essential that work performed before appointment at ECU represent part of a sustained professional program that has continued during the time at ECU. In particular, no amount of previous activity will compensate for a lack of professional accomplishments while at ECU.

8. Evaluation of teaching.
 - (a) In accordance with University policy, each Department has the primary responsibility of administering the IDEA Evaluation program and/or another evaluation questionnaire for student opinion of instruction chosen by the Department. In presenting such data, the Department must provide a thorough analysis including a summary clearly indicating how the candidate's performance compares relative to the rest of the faculty in the Department. The candidate's performance should also be compared with those of faculty at the College, University, and national levels if the IDEA instrument is used.
 - (b) In addition to student opinion of instruction, each Department is also required by University policy (*Faculty Handbook*, version of 7/04, page V-5) to use another systematic method of assessing teaching performance. This method shall include a consideration of the perspectives of students, colleagues, and supervisors. For each candidate for tenure and/or promotion, the Department should also provide an evaluation of teaching performance as measured by this alternative method.
9. Standards and criteria for the assessment of scholarly/creative activities and service shall be developed by departments and approved at the Department and College levels and filed in Dean's office.
10. The ability of applicants to work well with colleagues and students in the areas of teaching, service, and scholarly/creative activities is also a very important consideration.
11. University guidelines permit individuals hired as assistant professors to apply for promotion to associate professor after three years of full-time service, whereas the probationary period for tenure is five years. Candidates are strongly encouraged to take full advantage of their probationary period to build the strongest case possible for tenure and promotion.