



Approval Status
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**College of Natural Sciences and Mathematics  
Appointment, Retention, Tenure, and Promotion Policy**

**Notice:** *All citations to University ARTP Policy herein are to the Policy as it stood when the University last approved this document. Subsequent changes to the language and enumeration of University ARTP Policy sections may not be reflected in this document. The reader is therefore strongly advised, and urged to consult the most recently adopted text and enumeration of cited sections of University ARTP Policy posted in the University Policy Manual on the University's website. Any discrepancy between the University policy and this document will be resolved in favor of the Collective Bargaining Agreement and University policy.*

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## Composition of the Secondary Review Committees

- 1.1. The College will utilize two separate Secondary Review Committees: a “Retention Committee” that shall only evaluate faculty for retention, and a “Retention, Tenure, and Promotion Committee” that is able to evaluate faculty for retention, tenure, and/or promotion.
- 1.2. The Secondary Review Committees shall each consist of five members.
- 1.3. The Retention Committee shall consist of tenured faculty at the rank of associate professor or above.
- 1.4. The Retention, Tenure, and Promotion Committee shall consist of tenured faculty at the rank of full professor.
- 1.5. Up to two members of each committee may be full-time FERP faculty (defined as one with either a 1.0 work assignment for one semester or a 1.0 work assignment divided between both semesters in a given academic year).
- 1.6. FERP faculty may serve only during the semester or semesters of their employment. Depending on the timing of the Committee's workload, this may limit service by FERP faculty to those whose assignment covers both semesters of the academic year.
- 1.7. For each secondary committee, no more than two faculty members from any one department shall serve concurrently.
- 1.8. Committee members of either secondary review committee may not participate in primary-level evaluation of any faculty during the period in which they serve.
- 1.9. All members of each committee shall serve a two-year staggered term.

## 2. Election and Terms of Committee Members

- 2.1. During the fall semester, the Dean's Office shall generate a list of the number of WPAF files requiring retention and/or tenure/promotion review in the following academic year. Candidates for tenure/promotion shall be assigned to the Retention, Tenure, and Promotion Committee. Candidates for retention will be divided between the Retention Committee and the Retention, Tenure, and Promotion Committee in such a way as to balance the workload of the two Committees. Candidates of the same rank (e.g. P2 or P4) shall be reviewed by the same committee. The Dean shall notify each faculty member who is up for review which secondary committee has been assigned to review their file. If a probationary faculty notifies the Dean's Office of their intent to apply for early tenure and promotion and their file is assigned to the Retention Committee, the file will automatically be reassigned to the Retention, Tenure, and Promotion Committee.

- 2.2. By the eighth week of the Spring semester, the Dean's Office shall produce a call for nominations for the Retention Committee and for the Retention, Tenure, and Promotion Committee. Probationary and tenured faculty of the College shall nominate members to the Committees. Faculty may self-nominate. Only full professors may be nominated for the Retention, Tenure, and Promotion Committee. If a full professor is nominated to serve on both committees, the Dean's Office will ask them which nomination(s) they would like to accept. Full professors may serve on both committees simultaneously if nominated and elected to both. All nominations must be received by the Dean's Office by the end of the tenth week of the Spring semester. If the college is unable to provide enough qualified nominees to fill either Committee, the college will request nominations of qualified faculty from other colleges.
- 2.3. After receiving nominations, the Dean's Office shall prepare separate election ballots for each Committee, listing all eligible nominees by department. Elections for each Committee shall be completed by the end of the twelfth week of the Spring semester. In this election, each faculty member eligible to vote may vote to fill each vacant position on each Secondary Committee. For example, if there are two vacancies on the Retention Committee and five candidates, voting faculty will be asked to select two candidates from the slate of five. If there is only one vacancy, faculty will be asked to select one candidate.
- 2.4. The Chair of the NSM Academic Council, the committee responsible for college-level policy, shall work with the Dean's Office to tally and report the election results to the candidates and the College. If necessary, ties shall be broken by a run-off election.
- 2.5. For each of the Secondary Review Committees, the nominees receiving the highest number of votes shall be elected, except that no more than two members of each department shall serve on a single Secondary Review Committee. (The election of members is still subject to 1.2-5 above.) A member's term begins with the initial, spring meeting of the committee, convened by the Dean's Office (see 3.1 below) and continues through the next two academic years.
- 2.6. By the end of the fourteenth week of the Spring semester an organizational meeting of the incoming Secondary Review Committees shall be convened by the Dean's Office. At this meeting the Committees will each elect a chair, receive their charge, and establish a schedule of activities for the following academic year. This organizational meeting is considered part of the next RTP cycle. A member's responsibilities begin with this meeting and continue through the following two years.
- 2.7. Vacancies
  - 2.7.1. In the event of a vacancy on either committee, the Dean's Office will initiate an election process for a new committee member. A call for nominees will be distributed

to the college and a ballot listing eligible nominees will be distributed to the faculty. The elected committee member shall serve for the remainder of the two-year term.

2.7.2. In the event of recusals or unfilled vacancies, any action taken by at least three members of a Secondary Review Committee shall be considered a valid action.

### 3. Duties of the Secondary Review Committees

3.1. By the end of the Spring semester the Dean's Office shall establish a schedule of deadlines for the next RTP cycle and standardized format (the *NSM Guide to WPAFs*) for (a) assembling of candidates' WPAFs and (b) presenting of performance evaluations and retention/tenure/promotion recommendations. The Dean's Office shall distribute this guide to all departments by the end of the Spring semester. Departments shall distribute this guide to all eligible candidates for retention, tenure, and promotion.

3.2. The Secondary Review Committees shall receive from the departments WPAFs with performance evaluations and recommendations for faculty who are being considered for retention, tenure, and promotion (each Committee receives only the WPAFs assigned to them according to the process described in section 3.1). Before the Review Committees may review these files and proceed with RTP deliberations, the Dean, as custodian of the WPAFs, shall send each candidate a copy of the department's evaluations and recommendations, with a letter informing the candidate that this material will be placed in their WPAF within 5 days, but that they have 10 days following receipt of the notification to submit a rebuttal or a response to the Dean. If a rebuttal or a response is received, it shall be placed in the WPAF and a copy shall be sent to the department chair and the chair of the Primary Committee.

3.3. Each Secondary Review Committee shall ensure departmental adherence to approved policies and procedures, and shall keep a record of those departments whose chair is not a member of the primary committee, and who, therefore, must submit a separate evaluation and recommendation for each RTP candidate.

3.4. The Secondary Review Committees shall require that each WPAF contain:

3.4.1. a signature page on which the candidate affirms that they are fully aware of the contents of the WPAF, which will be submitted to the four review levels, and certifies that those references in the current indexes that are not supported by materials in the file can be substantiated by documentation available in the candidate's office, upon request.

3.4.2. a signed statement from the primary committee chair and, if applicable, the department chair, affirming that the departmental ARTP procedures were followed.

- 3.4.3. a separate evaluation and recommendation regarding the candidate's retention, tenure, or promotion from those department chairs who are not members of their primary committees.
- 3.5. If, during the review process, the absence of required evaluation documents is discovered, the Dean shall consult with the Office of Faculty Advancement to determine whether approval for the required addition(s) to the file must be sought from the University Peer Review Committee, as described in the University Appointment, Retention, Tenure, and Promotion (UARTP) Policy Article 4.03F. If the inclusion of an absent evaluation document is allowed, the file shall then be returned to the primary level with appropriate instructions and a request for complete re-evaluation of the file in a timely manner. The candidate shall indicate on the signature page (see 3.4) that they are aware of the material provided. If the college is asked to provide a faculty member to serve on the University Peer Review Committee (see UARTP 4.03.F), the Retention, Tenure, and Promotion Committee will select one person from among its members to serve.
- 3.6. All evaluative judgments and decisions of the Secondary Review Committees shall be based on the data in the faculty member's WPAF. The Committees shall apply no additional criteria beyond those stated in the department, college, or university RTP policies.
- 3.7. The Secondary Review Committees shall concur with the primary level recommendations in matters of retention, tenure, and promotion, except for compelling reasons. If the department chair must submit a separate evaluation and their recommendation conflicts with that of the primary committee, the appropriate Secondary Review Committee must give careful consideration to the arguments of both parties.
- 3.8. All voting will be by secret ballot. A simple majority of the Committee's vote will be required for any decision.
- 3.9. All members of each Secondary Review Committee must review all WPAFs assigned to that committee. To be eligible to vote in the evaluation of a candidate, a committee member must have attended all meetings in which deliberations on the candidate took place. Evaluation of a candidate requires the review and voting of a minimum of three committee members. All deliberations and minutes shall be confidential.

Each final retention, tenure, or promotion recommendation submitted to the Dean by either Secondary Review Committee shall have been approved by a simple majority of that Committee.

The Secondary Review Committees shall prepare letters for each candidate assigned to them, informing the appropriate next level of review (as stated in the CBA, section 22) of its reasons for recommending (or not recommending) retention, tenure, or promotion. The

chair of the Committee shall submit the letter to the Dean. Before the WPAFs may be reviewed by the next level of review (i.e. the Dean), each candidate must be given a copy of the Committee's letter. A copy shall also be sent to the appropriate department chair. The faculty member shall have the right to submit a written rebuttal statement or response, which shall be put into the WPAF and shall also be sent to the department chair and the Primary Committee chair.

Upon request, the candidate must be given an opportunity to appear before the Secondary Review Committee that reviewed their WPAF to make a statement and/or discuss the candidate's WPAF. In such cases the procedures in the UARTP Policy, Article 9.02 shall be followed.

3.10. If a Secondary Review Committee's review of a retention, tenure, or promotion recommendation cannot be completed within the time frame specified by the University, the respective file(s) shall automatically be transferred to the next level of review and the candidate(s) shall be so notified.

#### 4. Review Procedures

4.1. Appointment Review Procedures: In accordance with the UARTP Policy Article 6.01, the Secondary Review Committees play no role in the appointment of new faculty; thus, the adherence to the appointment procedures shall be left to the appropriate department, College, and University administrators.

4.2. Performance Review Procedures: For retention, early tenure, tenure, early promotion, and promotion, each department shall conduct its evaluations according to its policies, the policies of the College, and the policies of the University.

4.2.1. Each primary committee and, if applicable, each department chair shall precede its recommendation by a detailed, but concise evaluation of the candidate's performance in each of the following areas:

- Teaching Effectiveness
- Scholarly and Creative Achievements
- Institutional Service
- Community Service

4.2.2. Each Secondary Review Committee shall review the WPAF of each candidate assigned to them and recommended for retention, tenure, or promotion to ensure the primary level's recommendations are in accordance with that department's RTP policy.

4.2.3. The Secondary Review Committees shall prepare letters for each candidate assigned to them, informing the next appropriate level of review of the reasons for

recommending (or not recommending) retention, tenure, or promotion see section 3.9 above.

#### 4.3. Additional Performance Review Procedures: Early Tenure

The Retention, Tenure, and Promotion Committee shall review the WPAF of each candidate recommended for early tenure to ensure that the candidate meets the requirements for retention and the criteria outlined in Section 5.06 A and B of the UARTP Policy.

#### 4.4. Promotion Procedures

4.4.1. The Retention, Tenure, and Promotion Committee shall ensure that the departments evaluate each candidate for promotion as outlined in 4.2 above.

4.4.2. Primary Committees and, if applicable, the department chair shall state the department's relative weights of the four areas of review (Teaching Effectiveness, Scholarly and Creative Achievements, Institutional Service, and Community Services) (see UARTP section 5.5.D) in their evaluation letters.

4.4.3. If departmental policies require ranking of the candidates, the department's recommendation(s) for promotion shall state the rank order and the specific reason for the rank order. However, no other individuals who are recommended for promotion and ranked should be identified by name in that recommendation.

4.4.4. The department must normally submit a promotion recommendation (positive or negative) for any tenured assistant or associate professor who has reached the level specified in UARTP Policy 8.01 D, unless that person requested in writing not to be considered for promotion. Such a written request must be forwarded to the Retention, Tenure, and Promotion Committee. The department shall evaluate the person's performance and submit the WPAF to the Committee, indicating the reasons for the recommendation.

Associate professors without tenure are not eligible for promotion to full professor. However, an associate professor without tenure may also submit a request for promotion to full professor at the time they apply for tenure. In this case, the Retention, Tenure, and Promotion Committee will make separate recommendations for tenure and promotion.

4.4.5. Tenured associate professors may present to their department a written request for consideration of early promotion to full professor. The department's recommendation must be accompanied by what is considered to be evidence of



outstanding performance in teaching effectiveness and two of the three remaining categories (see UARTP Policy 5.07).

- 4.4.6. Untenured assistant professors may request in writing to be considered for early tenure and promotion to associate professor (see UARTP Policy 7.02, 8.01C).
  - 4.4.7. If a tenured or untenured assistant professor requests consideration for early promotion to associate professor, the primary level's recommendation(s) for promotion of such an individual must be accompanied by what is considered to be evidence of outstanding performance in teaching effectiveness and two of the three remaining categories (see UARTP Policy 5.07).
  - 4.4.8. All of the members of the Retention, Tenure, and Promotion Committee shall proceed to read all the candidate's files and prepare recommendations, as described in 3.6-8 above.
  - 4.4.9. The Dean shall then review the files and prepare their own recommendations for the candidates based on material contained in each candidate's WPAF.
  - 4.4.10. Each candidate, their department chair, and the chair of the primary committee shall receive a copy of the letters in which the Retention, Tenure, and Promotion Committee and the Dean explain the reasons for their recommendations to the President or Vice President. The faculty member shall have the right to submit a written rebuttal statement or response no later than 10 days following receipt of the Dean's recommendation. A copy of the response or rebuttal statement shall be put into the WPAF and shall also be sent to the department chair, the Primary Committee, and the Retention, Tenure, and Promotion Committee.
  - 4.4.11. If the Retention, Tenure, and Promotion Committee and/or the Dean recommends promotion of a candidate whom the Primary Committee ranked lower than a candidate from the same department, who is not being recommended for promotion by the Committee and/or the Dean, then the Committee and/or the Dean must explain in writing, the reasons for this recommendation.
  - 4.4.12. After all of the above procedures have been followed, the WPAF's shall then be forwarded to the next level of review.
5. Temporary rank faculty members under consideration for an initial three-year contract or for the renewal of a three-year contract (following the procedures described in the Unit 3 MOU) will be evaluated by the NSM Dean.
    - 5.1. The Dean will review the WPAF provided by the faculty member. At minimum, the WPAF shall include student evaluations of teaching performance for faculty with teaching duties,

an evaluation by the Department Committee indicating whether or not the faculty member has performed the duties of their position in a satisfactory manner, and the recommendation of the Department Chair. The Dean will then determine if the faculty member's teaching effectiveness is satisfactory or unsatisfactory. A satisfactory evaluation by the Dean is required for a three-year contract to be issued or renewed.

## Appendix – History of NSM RTP Policy Amendments

- 2013 Approved by NSM Academic Council, May 7, 2013
- 2005 Approved by NSM Academic Council, October 1, 2004. Approved by VPAA Rick Brown on April 29, 2002.