

COLLEGE OF SOCIAL SCIENCES AND INTERDISCIPLINARY STUDIES
APPOINTMENT, RETENTION, TENURE AND PROMOTION PROCEDURES

Revised and Approved
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INTRODUCTION

The procedures for the Committee on Appointment, Retention, Tenure and Promotion of the College of Social Sciences and Interdisciplinary Studies are established to provide the means whereby the performance of individual faculty members and their contributions to department, college and university goals may be equitably documented and assessed. In the development of these policies and procedures, the College recognizes the uniqueness of individual faculty members, of the departments of which they are a part, and of their specific disciplines. Implicit in these procedures is an emphasis on evaluation that will help the candidate become a stronger and more effective teacher in keeping with the central mission of the university. At the same time, these procedures are designed to provide each Secondary Committee with sufficient material of a diverse nature to make an informed judgment on which to base its recommendation to the Dean and the Vice President for Academic Affairs.

- I. Composition and Election of the College ARTP Committees (hereafter called the Secondary Committees)
 - A. Secondary Committees
 - 1) SSIS will have two types of Secondary Committees – one type shall review all probationary faculty members being considered for retention; the second type shall review all faculty who have applied for tenure and/or promotion. The SSIS Faculty Council, in consultation with the Dean, shall determine the number of Secondary Committees of each type needed to review tenure and promotion cases in the coming two years.
 - 2) The guidelines to govern that determination shall be that:
 - a. Each Secondary Committee considering retention cases should, on average, review ten to thirteen (10-13) cases per year over the two year period of their terms;
 - b. Each Secondary Committee considering tenure and promotion cases should, on average, review six to nine (6-9) cases per year over the two year period of their terms
 - c. Any individual year's assignments may fall outside this range, due to hiring patterns or unanticipated requests for reviews for early tenure and/or promotion or by those past their original eligibility date for promotion who seek review later.
 - 3) Each Secondary Committee shall have five members. Eligibility for membership is described in Section I.C below. However, in the event of vacancies, recusals, or absences, any action taken by at least three members of the committee shall be a valid action.

B. Elections

1) Each Secondary Committee member shall be elected to two year terms. All members shall be elected at the same time. Should a vacancy occur, the Faculty Council may determine whether or not to authorize an election to fill such a vacancy for the remainder of the term, provided that no Secondary Committee shall fall below three members. In assessing whether or not to authorize elections, the Faculty Council shall consider when in the ARTP review cycle the vacancy occurs and whether or not such an election would be disruptive to work that the Secondary Committee has already begun. The Faculty Council shall be guided by the principle that an election to fill a vacancy is appropriate unless holding such an election would delay or disrupt the Secondary Committee's work.

2) Prior to holding an election to fill any vacancy in the membership of a Secondary Committee, the Faculty Council shall designate which departments will have their faculty reviewed by which Secondary Committee. The designations shall be in place for the two-year life of that elected Secondary Committee. The Faculty Council shall take into consideration the number of cases to be reviewed by each Secondary Committee with the goal of distributing the workload equitably.

3) Candidates shall run for specific Secondary Committees which shall be clearly marked so that voters know who would consider which cases, if elected.

4) Eligibility to vote for candidates for membership on all Secondary Committees shall be open to all tenured and probationary faculty members of the College, including FERP faculty who are in a duty status in the semester in which the election is held. Faculty members who have been in a non-pay status for more than one year shall not be eligible to vote.

5) The Faculty Council shall be responsible for holding elections and for counting the ballots. The Faculty Council may enlist assistance from the Dean in conducting the elections.

6) When counting votes, the five candidates receiving the highest vote totals shall be deemed elected except that:

a. No more than two Associate Professors may be elected to each Secondary Committee considering retention cases so that if more than two Associate Professors are among the five with the highest vote totals, only those Associate Professors with the two highest vote totals shall be elected. The names and vote totals of all other candidates who are Associate Professors shall be removed from the list and the next highest vote-getter(s) shall be elected.

b. No more than two FERP faculty members may be elected to any Secondary Committee so if more than two FERP faculty members are among the five with the highest vote totals, only those FERP faculty members with the two highest vote totals shall be elected. The names and vote totals of all other candidates who are FERP faculty members shall be removed from the list and the next highest vote-getter(s) shall be elected.

7) In the event of a tie vote between or among candidates that would affect the composition of the Committee, a run-off ballot shall be submitted to the SSIS faculty.

C. Membership

1) Tenured faculty members and retired faculty members who participate in the Faculty Early Retirement Program (FERP) may serve on a Secondary Committee during their semester(s) of service in the academic year. Faculty members emeriti (non-FERP

participants), faculty members on leave, and faculty members who have submitted their resignation for reasons other than retirement shall not be members of a Secondary Committee.

2) Tenured Associate and Full Professors shall be eligible to serve on Secondary Committees reviewing retention cases. No more than two members of each committee shall be Associate Professors during the period of their incumbency. No more than two members of such committees shall be FERP participants during the period of their incumbency.

3) Secondary Committees dealing with tenure and promotion cases will each have five members. Membership on these Committees shall be limited to tenured Full Professors. No more than two members of such committees shall be FERP participants.

4) Nominations shall be sought from the College as a whole for each Secondary Committee. This shall be accomplished in a manner that clearly identifies to which Committee the nomination pertains. In cases in which an individual has been nominated for election to more than one Secondary Committee dealing with either retention cases or with tenure and promotion cases, the Chair of the Faculty Council (or designee) shall ascertain from the nominee his or her preference for nomination to one or the other Committee.

5) A Full Professor may serve on both one Secondary Committee reviewing retention cases and one Secondary Committee reviewing tenure and promotion cases in the same academic year, provided that all other membership criteria enumerated in this section are met.

6) No two members of any given Secondary Committee shall be members of the same SSIS department or program. In cases in which multiple nominees from the same department or program appear on a ballot for the same Committee, the individual from that department receiving the greatest number of votes will be elected, assuming that he or she is among the top five recipients of votes and that the restrictions in Sections B.5.a and B.5.b do not apply. No other members of that department shall be eligible for election to that Secondary Committee, regardless of the number of votes received.

7) Secondary Committee members shall not participate in the evaluation of a candidate at both the Primary Committee and the Secondary Committee levels.

8) Chairs and Program Directors may serve on any of the Secondary Committees that are not responsible for evaluations of candidates from their own departments or candidates who teach in programs they direct. Thus, if the Secondary Committee does not review applications from the Chair's department or Director's program, or if that department has no faculty members who would require review during the person's term of office, he or she may serve if otherwise eligible.

II. Duties of the Department

- A. The department is to provide the candidate at the time of hiring with copies of all university, college, and department regulations regarding RTP.
- B. The department is to provide the candidate at the time of hiring a set of its current performance expectations in each of the four areas of evaluation and he/she should be made aware immediately of subsequent modifications, if any.
- C. The department is to provide, for inclusion in the candidate's WPAF, how the department weights each area in arriving at an overall evaluation of the candidate.

III. Duties of the College Secondary ARTP Committee

- A. The Secondary Committees acting together shall establish and provide to the Primary Committee a standardized format for: (a) assembling their candidates' WPAFs, and (b) presenting performance evaluations and retention/tenure/promotion recommendations.
- B. The Secondary Committees shall receive from the department Primary Committee WPAFs with performance evaluations and recommendations for faculty who are being considered for retention, tenure, and promotion. (In the case of joint appointments, see UARTP Policy for explanations of jurisdiction and procedures). Before the Secondary Committee may review these files and proceed with RTP deliberations, the Dean, as custodian of the WPAFs, shall send each candidate a copy of the Primary Committee's evaluations and recommendations with a letter informing him/her that this material will be placed in his/her WPAF within 5 calendar days, but that s/he has 10 calendar days following receipt of the notification to submit a rebuttal or a response. If a rebuttal or a response is received, it shall be placed in the WPAF and a copy shall be sent to the Primary Committee.
- C. In meeting its responsibility for ensuring departmental adherence to approved policies and procedures, the Secondary Committees 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.
- D. The Secondary Committees shall apply no additional criteria beyond those used by the departments and mandated by the University.
- E. Contents of the WPAF (*see Appendix for actual format and guidelines*):
 1. The candidate may submit an introductory statement reflecting on his/her professional experience and development, as evidenced in the WPAF, since the last review.
 2. A Faculty Development Plan outlining how the candidate intends to organize his/her time in meeting teaching, scholarly activity, and service obligations for the coming three-year period is required. The Plan should result from consultation between the candidate and the department chair or designated faculty member(s) representing the department and must be presented to the Primary Committee. Subsequent revisions may occur at any time in the same manner. The Faculty Development Plan is not a formal agreement or a contract, but rather a set of academic goals and objectives that the candidate intends to pursue in meeting his/her professional responsibilities, consistent with the department's performance expectations (see II B and III E 5 below). For new hires, this Plan should be placed in the WPAF by the end of the first semester after appointment.
 3. A signature page must be included on which the candidate affirms that s/he is 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 which are not supported by materials in the file can be substantiated by documentation available in his/her office upon request.
 4. A statement must be included of how the department weights each area in arriving at an overall evaluation of the candidate (see II C above).

5. A summary statement by the Primary Committee must be included appraising the candidate's performance in each of the four categories of evaluation: competent teaching performance, scholarly or creative achievements, contributions to the institution, and contributions to the community. The statement must address the department's expectations for adequate performance in each of the areas (see II B above).
 6. A separate evaluation and recommendation must be included regarding the candidate's retention, tenure or promotion from those department chairs who are not members of their Primary Committee. The summary evaluation must address department expectations for adequate performance in each of the areas of evaluation (see II B and III E 5 above).
 7. Evidence/documentation must be included supporting the department's evaluation of the candidate. This evidence must include student evaluations and course syllabi.
 8. A signed statement must be included from the Primary Committee chair and, if applicable, the department chair, affirming that the departmental ARTP procedures were followed.
- F. If, during the review process, the absence of required evaluation documents is discovered, the Dean's office shall consult with Human Resources to determine whether approval for the required addition(s) to the file must be sought from the University Peer Review Committee as described in UARTP Policy. The file shall then be returned to the Primary Committee with appropriate instructions and a request for completion of the file in a timely manner. The candidate shall indicate on the signature page (see III E 3 above) that s/he is aware of the material provided.
- G. All evaluative judgments and decisions of a Secondary Committee shall be based on the preponderance of evidence in the faculty member's WPAF.
- H. Except for compelling reasons, a Secondary Committee shall concur with the Primary Committee recommendations in matters of retention, tenure, and promotion. If the department chair must submit a separate evaluation and his/her recommendation conflicts with that of the Primary Committee, a Secondary Committee must give thoughtful assessment of the arguments of both parties and then decide by a secret vote with which recommendation it concurs. A majority of the Secondary Committee's vote will be required for such a decision.
- I. If a Secondary Committee has questions about the Primary Committee's recommendations or evaluations, it may seek written clarification for the Primary Committee and such clarification should be forthcoming in a timely manner. The candidate must be given a copy of the written clarifications. Such clarification shall not breach the confidentiality of Primary Committee deliberations.
- J. In order to vote, a Secondary Committee member must be present when any substantive evaluations and final recommendations for retention, tenure or promotions are made. These deliberations and the minutes thereof shall be confidential.

Each final retention, tenure or promotion recommendation submitted to the Vice President for Academic Affairs by a Secondary Committee shall have been approved by a simple majority of the Committee, with abstentions counting as negative votes.

A Secondary Committee shall prepare a letter for each candidate, informing the Vice President for Academic Affairs of its reasons for recommending (or not recommending) retention, tenure or promotion. Before the WPAFs may be reviewed by the next level,

each candidate must be given a copy of the Committee's letter. A copy shall also be sent to the department chair. The faculty member shall have the right to submit a written rebuttal statement or response no later than 10 calendar days following receipt of the recommendation. A copy of the response or rebuttal statement shall be put into the WPAF and shall also be to all previous levels of review.

Upon request, the faculty member must be given an opportunity to appear before a Committee to make a statement or discuss his/her WPAF, or both. In such cases the procedures in the University ARTP Policy, Article 9.02, shall be followed.

The Dean shall then make a separate, independent evaluation and recommendation based on material contained in each candidate's WPAF and shall apply no additional criteria beyond those identified in the appropriate Primary and Secondary documents mandated by the University.

Before the WPAFs are submitted to the final level of review (i.e., the Vice President for Academic Affairs), each candidate must be given a copy of the Dean's letter, which states the reasons for his/her recommendation regarding retention, tenure or promotion. A copy shall also be sent to the department chair. The faculty member shall have the right to submit a written rebuttal statement or response no later than 10 calendar days following receipt of the recommendation. A copy of the response or rebuttal statement shall be put into the WPAF and shall also be sent to the department chair.

- K. If a Secondary 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 and the candidate(s) shall be so notified.
- L. All ballots used in a Secondary Committee's RTP deliberations shall be kept for a period of three years.

IV. Review Procedures

A. Appointment Review Procedures

In accordance with Article 6.01 of the University ARTP Policy, the adherence to the appointment procedures shall be left to the appropriate Department, College and University administrators.

B. Performance Review Procedures: Retention, Early Tenure, Tenure, Promotion

Each department shall conduct its evaluations according to its policies, the policies of the College, and the policies of the University.

Each Primary Committee and, if applicable, each department chair shall precede their recommendation by a detailed, but concise evaluation of the candidate's performance in each of the following areas. Such evaluations should directly address department expectations for an adequate level of performance in each area [see III B above].

- Competent Teaching Performance
- Scholarly or Creative Achievements
- Contributions to the Institution
- Contributions to the Community

(In the case of joint appointments, see UARTP Policy for explanations of jurisdiction and procedures.)

A Secondary Committee shall review the WPAF of each candidate recommended for retention, tenure or promotion to ensure that sufficient evidence is in the file to justify the

Primary Committee's recommendations. Such evidence must include student evaluations and course syllabi.

Each Secondary Committee shall prepare a letter for each candidate reviewed, informing the Vice President for Academic Affairs of its reasons for recommending or not recommending retention, tenure or promotion (see Article IV. J. Paragraph 2). Following the expiration of the candidate's right to rebut or respond to the Secondary Committee's letter, the Dean shall also review the candidates' WPAFs and make an independent recommendation for each candidate. The candidates shall receive a copy of the Dean's recommendation and have the requisite period to respond to or rebut it and/or request a meeting.

C. Additional Performance Review Procedures: Early Tenure

The Committee shall review the WPAF of each candidate recommended for early tenure to ensure that s/he meets the requirements for retention and the criteria outlined in Section 5.06 A. and B. of the University ARTP Policy.

D. Promotion Procedures

1. Each Secondary Committee shall ensure that the Primary Committees evaluate each candidate for promotion as outlined in B above.
2. If departmental policies require that points or percentages be assigned to the areas of Competent Teaching Performance, Scholarly or Creative Achievements, Contributions to the Institution, and Contributions to the Community, they shall be identified and the point or percentage total assigned to the candidate shall be included in the evaluation.
3. If Primary Committee policies require ranking of the candidates, the Primary's recommendation(s) for promotion shall state the rank order and the specific reason for the rank order without, however, identifying by name other individuals who are recommended for promotion.
4. The Primary Committee must submit a promotion recommendation (positive or negative) for any tenured assistant or associate professor who meets promotion eligibility requirements (see UARTP Policy) unless that person requested in writing not to be considered for promotion (such a written request must be forwarded to a Secondary Committee). The Primary Committee shall evaluate the person's performance and submit the WPAF to the appropriate Secondary Committee, indicating the reasons for the recommendation.
5. Probationary faculty are not normally eligible for promotion. However, if tenure will be granted effective September 1 of the next academic year as a result of Primary and Secondary Committees' recommendations described in Paragraph IV B, such faculty will become eligible to be recommended for promotion.

Tenured faculty may present to their department a written request for consideration of promotion prior to meeting promotion eligibility requirements. The Primary's recommendation(s) for promotion of such individuals must be accompanied by what is considered to be evidence of outstanding performance (see UARTP—Early Promotion criteria).

6. If a probationary faculty requests in writing to be considered for promotion prior to meeting the normal eligibility requirements, the Primary's recommendation(s) for promotion of such an individual must be accompanied by what is considered

to be evidence of outstanding performance (see UARTP—Early Promotion criteria).

7. When all the WPAFs with appropriate recommendations have been received, and all the candidates have had 10 calendar days to respond to or rebut the Primary's recommendation(s), an alphabetical list of the candidates shall be prepared.
 8. All the voting members of a Secondary Committee shall read all the candidates' files to determine whether or not there is sufficient evidence in each file to justify promotion. If the evidence in any file is not satisfactory or does not support the recommendation of the Primary Committee or department chair, the file shall be returned to the department for amplification or completion as described in Paragraph III F.
 9. A Secondary Committee shall approve the list of the candidates it wishes to forward to the next level of review.
 10. The Dean shall then review the files and prepare his own list of candidates recommended for promotion.
 11. Each candidate and his/her department chair shall receive a copy of the letters in which a Committee and the Dean explain the reasons for their recommendations to the Vice President for Academic Affairs. The WPAFs shall be forwarded to the next level of review.
- V. The Council will review the document periodically and entertain suggestions for revisions. All revisions proposed by the Council will be submitted to faculty of the College for approval.