

## **Promotions (Academic)**

### **I. Introductory Statement**

Promotion to any rank is a recognition of past achievement and a sign of confidence that the individual is capable of greater responsibilities and accomplishments. This document is intended to set forth institutional policy for the promotion of faculty who hold professorial rank. Additional policy statements shall be adopted by departments/units and schools and shall be consistent with general University policy.

### **II. Criteria for Promotion**

Each faculty member who receives a professorial-rank appointment shall be provided a copy (by the department/unit chair/dean/unit director at the time of appointment) of the approved guidelines with respect to research or creative achievement, teaching, and service that he or she is expected to meet in order to be recommended for promotion to a higher rank. Faculty members holding joint academic appointments must be informed in writing at the time of their appointment precisely what the role of each of the academic units in which the appointment is to be held will have with regard to decisions concerning promotion. At that time, the faculty member must be given, in writing, the guidelines or standards of each of the units, the methods to be used for informing the faculty member of his or her progress toward promotion, and a statement about how possible disagreements between units will be handled. Should the standards be altered, each faculty member shall receive written notification of the changes from the chair or dean. The actual emphasis given to each of these three categories of activity should be suitably proportioned to reflect the varying responsibilities of each department/unit or school to the University's overall mission. The Provost/Executive Vice Chancellor for Academic Affairs shall have the responsibility of assuring that each school's or department's/unit's standards are consistent with the University's mission.

In applying the following general guidelines, one should note that three or even four years are generally too brief a period in which to justify promotion to associate professor. Therefore, a recommendation for promotion before the five-year period should be rare and special. Promotion to associate professor or professor prior to the completion of the candidate's tenure probationary period in no way assures the candidate of a favorable tenure decision. Although there are special cases in which it will be acceptable to award tenure without concurrent or subsequent promotion to the rank of associate professor or higher, these cases should be limited to special circumstances.

The following definitions are intended to guide faculty and appropriate administrators in their evaluation of candidates for promotion. Each school or department/unit shall develop guidelines within this general framework which reflect its role in the University's mission. These guidelines require approval by the appropriate dean and subsequently by the Provost/Executive Vice Chancellor for Academic Affairs and by the Chancellor. Parts of the guidelines below apply

only to tenure track faculty members. In general, directions which apply only to research faculty are specified.

*A. Research or Creative Achievement:* In order to maintain the highest professional standards, one must judge a faculty member's accomplishments in research and creative achievement against the prevailing professional standards of the faculty member's academic discipline. Achievements in this area should make contributions to the expansion of knowledge and indicate the continuing professional vitality of the candidate. Examples of such activity include, but are not limited to, books or journals published by commercial or university presses; articles in refereed or other scholarly professional journals with international, national, or regional reputations; papers read at scholarly conferences; editorial work; receipt of research grants, or contracts which support continued research; publications or performances of musical compositions; art exhibitions; and the production of plays, motion pictures, records, or video tapes.

*B. Teaching:* Teaching is central to the University's mission. Since it is difficult to evaluate teaching with precision, information on a faculty member's classroom performance and related activities should be gathered from a wide variety of sources. Student evaluations (when available), peer evaluations, information about student advisement, evidence of the nominee's ability to motivate a wide range of students, development of new instructional techniques and teaching materials, publication of textbooks or other materials which indicate an interest in teaching, direction of dissertations and theses, receipt of educational contracts which support teaching, and teaching awards are examples of the types of information or evidence of activities needed to make an informed judgment on the faculty member's qualifications as a teacher.

*C. Service:* Service refers to the application of professional expertise which contributes to the solution of problems faced by modern society and which enriches the life of the larger community served by the University. Service is related to the faculty member's academic discipline and includes such varied activities as consultantships, clinical activities, editorial work for professional organizations, and other forms of funded and unfunded public service. Faculty contributions to University, school, or departmental activities and governance shall also be considered in evaluation of service.

### **III. Promotion in Rank**

When a faculty member is being considered for promotion, his or her contributions should be assessed in regard to all three criteria from the preceding section. See the section on Criteria for Promotion for information about promotion procedures for persons holding joint appointments. Favorable action should result when the individual has demonstrated a level of competence and distinction appropriate to the proposed rank. Under no circumstances should a person be promoted to a higher rank without evidence of scholarly research or creative achievement. Additionally, no recommendation for promotion shall be made for teaching faculty without

evidence of the candidate's effectiveness as a teacher. Service to the University, profession, or community should be discharged with merit and should reflect favorably on the University and on the individual's academic status.

Both because experience in the academic profession is of value in itself and because for promotion there should be evidence of continued excellence and productivity, minimum periods of service in one rank will be expected before promotion to the next. While the requirement for minimum service in an academic rank is not absolute and rigid, exceptions will be made only on the basis of documented exceptional performance in all areas of teaching, service, and research or creative achievement. Credit for time in rank on the basis of professional experience may be negotiated at the time of employment.

*A. From Assistant Professor to Associate Professor:* The advancement from assistant professor to associate professor is based on quality of teaching, research and creative achievement, and performance of service roles. The general requirement is that one should serve five years in the rank of assistant professor before being considered for promotion to associate professor. The faculty member will thus be considered for promotion during his or her sixth year of service, and the promotion will become effective at the beginning of the seventh year.

If teaching is a primary criterion, it should be distinctly superior to that of effective teachers at this and other major institutions. If research or other creative work is a primary criterion, the candidate should have demonstrated a broad grasp of his or her own and related fields and should be establishing a national reputation as a scholar. A definite and comprehensive plan of future research covering a number of years and a beginning thereon which extends well beyond the limits of that presented for the terminal degree should be evident.

*B. From Associate Professor to Professor:* The advancement from associate professor to professor is based upon achievement beyond the level required for the associate professor. The general requirement is that one should serve six years in the rank of associate professor before being considered for promotion to professor. The faculty member will thus be considered for promotion during his or her seventh year in rank as associate professor, and the promotion will become effective at the beginning of the eighth year.

If teaching is a primary criterion, the candidate must have demonstrated an extraordinary ability to stimulate in students, either undergraduate or graduate, a genuine desire for scholarly work. Wherever feasible, he or she should have demonstrated the ability to direct the research of advanced students. If research or other creative work is a primary criterion, the candidate should have shown a continued growth in scholarship which has brought national recognition to the person.

#### **IV. Procedure**

In schools without department/unit organization the dean shall act in the role of the department/unit chair throughout the procedure for promotion consideration. Likewise, when a department/unit chair is a candidate for promotion, the procedural functions of the chair shall be performed by the dean.

A. Application: A person desiring to seek promotion must file an application by September 1 with his or her department/unit chair or unit director.

B. Preparation of the Promotion Dossier: Appropriate forms and guidelines for the preparation of the promotion dossier shall be available in the Office of the Provost/Executive Vice Chancellor for Academic Affairs. Preparation of the promotion dossier is the responsibility of the person who is making application. The dean and the unit director or the department/unit chair shall cooperate with the faculty member especially in providing relevant items which are more easily available to the dean or unit director and department/unit chair. Each department/unit shall establish timetables for submission of the various parts of the application.

If reference to unpublished manuscripts which have been accepted is included, include appropriate letters from editors or publishers in the dossier.

C. Forwarding the Dossier: Every promotion dossier, unless withdrawn by written request to the chair or unit director, shall move through the entire promotion review process. The dossier shall include the prescribed recommendation forms, which shall be available from the Office of the Provost/Executive Vice Chancellor for Academic Affairs.

D. Informing Faculty Member of Progress of Each Step: A faculty member who is being considered for promotion shall be notified in writing at each stage of the process of the recommendation made at that stage. The department/unit chair or director shall notify the person no later than the time the recommendation is sent to the dean or, when appropriate, the Vice Chancellor for Research and shall include, for faculty members, in the notice the recommendation of the departmental faculty and that of the chair.

Likewise, before or at the time of sending the recommendation forward, the academic dean, the Dean of the Graduate School/Vice Chancellor for Research, and the Provost/Executive Vice Chancellor for Academic Affairs will each notify the faculty member and all other offices involved thus far in the administrative chain of his or her recommendation. The notice will include the recommendation of any committee which gives advice on the promotion application.

E. Timetable: On or before September 1--faculty member's application to department/unit head; on or before November 21--department's/unit's recommendation to appropriate dean on or before December 10--dean's recommendation to the Dean of the Graduate School/Vice Chancellor for Research for candidate also being considered for tenure; on or before January 3--dean's recommendation to the Dean of the Graduate School/Vice Chancellor for Research for

candidate not being considered for tenure; on or before January 15 --Dean of the Graduate School/Vice Chancellor for Research's recommendation to the Provost/Executive Vice Chancellor for Academic Affairs; on or before March 20 --Provost/Executive Vice Chancellor for Academic Affairs' recommendation to the Chancellor; on or before March 31--Chancellor's final action except as provided below to allow time for appeal.

F. Detailed Process at Department/Unit Level: A formal decision by each department/unit, either to recommend or not to recommend promotion, must be made no later than November 21. The recommendation shall be made on the basis of the candidate's record and in keeping with the department's/unit's guidelines for promotion and the University criteria for promotion. If outside evaluations are used, all reasonable efforts shall be made to assure the anonymity of the referees and the confidentiality of the evaluations.

Prior to making a recommendation, the department/unit chair, in order to have full discussion of the promotion application, will call a formal meeting of the faculty of rank equal to or higher than the rank to which the candidate aspires in order to discuss the promotion application. Each departmental evaluation shall involve a minimum of three faculty, exclusive of the chair, who serve at or higher than the rank to which the candidate desires to be promoted. When three are not available, the dean, upon the recommendation of the chair and the faculty of rank equal to or higher than that being sought by the applicant, shall select additional faculty members from closely related departments/units.

The faculty selected must be of rank equal to or above that to which the candidate aspires. Not less than one week before a meeting is held to consider a promotion recommendation, each faculty member who is to be discussed shall be given written notice that he or she is being considered for promotion and shall have an opportunity to bring to the notice of the chair and the faculty concerned any additional material which may be helpful in the formulation of a recommendation of promotion.

After discussion at the meeting, the faculty, exclusive of the chair and any administrator who may later make a formal recommendation in the promotion process, will indicate their decision by vote, to be taken by secret ballot. The voting faculty will be immediately informed of the results of the secret ballot. Upon giving due consideration to the discussion and to this vote (which, however, is not binding upon him or her), the chair will then make his or her recommendation to the appropriate administrative officer using the prescribed form. As part of the recommendation, the chair will include the record of the vote of the faculty.

G. Advisory Committee to the Dean: A dean of a multiple department/unit school or college may use and consult appropriate faculty committees for advice in arriving at a recommendation on a promotion application. If an advisory committee is used, the membership shall be selected from the full professors in the school or college and should be as representative as possible. The recommendation of such a committee, when used, must be recorded and passed along with the dean's recommendation. The dean of the school or college makes his or her recommendation to the Provost/Executive Vice Chancellor for Academic Affairs; however, the promotion dossier

goes first to the Dean of the Graduate School/Vice Chancellor for Research for a parallel recommendation from that office.

H. Tenure and Promotion Review Committee: A campus committee shall review all regular faculty applications at such time as the applications are sent forward from the Dean of the Graduate School/Vice Chancellor for Research to the Provost/Executive Vice Chancellor for Academic Affairs, and its report shall go to the Provost/Executive Vice Chancellor for Academic Affairs. For regular faculty (tenured and tenure track) applications, the composition and scope of activities of this committee are specified in Section IV.H. of the Tenure Policy.

I. Support and Research Faculty Review Committee: A campus committee composed of support and research faculty promoted to at least the lecturer or associate-level shall review all non-tenure track faculty promotion applications. The Support and Research Faculty Review Committee shall assess: (1) whether it appears that the appropriate procedures have been followed; (2) whether, in case of an unfavorable prior recommendation, it appears that impermissible grounds led to that unfavorable recommendation; (3) whether it appears that the governing criteria and standards have been applied; (4) and, whether any prior recommendation appears to be arbitrary or capricious. The Support and Research Faculty Review Committee shall not undertake to make its own judgment on the merits of an application, but it shall make an assessment on whether the promotion process has been applied properly, and this assessment should be reported to the Provost. The Provost/Executive Vice Chancellor for Academic Affairs shall have the authority to refer a dossier back to an appropriate level when he or she thinks that a procedural violation has occurred.

Each school or college shall be represented with one non-tenure track (Support Faculty or Research Faculty) faculty member. The chair of the committee shall be selected at its first meeting. Each dean shall recommend to the Provost a Support or Research Faculty member to serve on the review committee. Committee members will serve a three-year term and shall not concurrently serve on a Dean's Advisory Committee for Promotion Review. Individuals from the same department as the candidate shall recuse themselves.

J. Provost/Executive Vice Chancellor for Academic Affairs: If the Provost/Executive Vice Chancellor for Academic Affairs elects to act contrary to the recommendation of the department/unit chair, dean, or Dean of the Graduate School/Vice Chancellor for Research, prior to making his or her own decision, the Provost/Executive Vice Chancellor will hold a meeting with the department/unit chair and dean concerned unless it is the department/unit chair's or dean's personal review.

The recommendation of the Provost/Executive Vice Chancellor for Academic Affairs shall be forwarded to the candidate. If the recommendation is a positive one, a recommendation shall also be sent to the Chancellor accompanied by recommendations and reports from all entities listed prior to this section. In the event of a negative recommendation on the part of the Provost/Executive Vice Chancellor for Academic Affairs, the Executive Vice Chancellor shall inform the candidate of his or her recommendation in writing. On request by the candidate, the Executive Vice Chancellor shall provide in writing the reasons which contributed to his or her

recommendation. The faculty member must request these reasons within three working days of receipt of the notice of a negative recommendation. The Executive Vice Chancellor must respond within three working days of receipt of the faculty member's request.

The faculty member should have an opportunity to discuss the negative recommendation and reasons thereof with the Provost/Executive Vice Chancellor for Academic Affairs prior to appealing the negative recommendation to the Tenure and Promotion Appeals Committee (see V. below). A request for appeal must be made to the chair of the Tenure and Promotion Appeals Committee within five working days from receipt of the reasons for the negative recommendation from the Executive Vice Chancellor. If an appeal is made, the candidate shall have access to the contents of the promotion dossier with the exception of the confidential statements from outside reviewers.

If the recommendation of the Executive Vice Chancellor is a negative one and no appeal is taken within the allotted time, the recommendation shall be forwarded to the Chancellor.

K. Chancellor: After receiving the recommendations and reports on each candidate from the individuals and committees listed above, including the Tenure and Promotion Appeals Committee when it is utilized, the Chancellor shall take final action on each promotion application by March 31, except when a negative recommendation from the Provost/Executive Vice Chancellor for Academic Affairs causes a delay. The Chancellor will notify each candidate in writing of the final action taken on his or her application for promotion and will supply copies of this notice to each reviewing officer. When an application is disapproved, the Chancellor, upon request, will provide the candidate with reasons for the disapproval.

If a faculty member who has requested promotion is supported by his or her department/unit peers and chair but is not promoted, the faculty member's dossier, at the request of the faculty member and with the concurrence of the deans of record and the Provost/Executive Vice Chancellor for Academic Affairs, may be held in the Office of the Provost/Executive Vice Chancellor for Academic Affairs for one year. In such cases, the faculty member will be considered for promotion according to the established time table the next year. The faculty member will not be required to request additional external evaluations or to prepare a new dossier [in cases where the person's dossier is held], but may add items to the already-submitted dossier until January 20 of the next year. If specific conditions are to be met, they need to be clearly outlined and made available to the faculty member's department/unit chair, academic dean, the Dean of the Graduate School/Vice Chancellor for Research, and the Provost/Executive Vice Chancellor for Academic Affairs. No action will be required the next year by the faculty member's peers, his or her department/unit chair, or the academic dean concerned.

When all action has been completed, the recommendation forms will be filed in the Department of Human Resources for a period of five years except in cases, as described above, when dossiers are held for one year in the Office of the Provost/Executive Vice Chancellor for Academic Affairs. Promotions will be effective with the beginning of the next contract year of each person who is promoted in rank.

## **V. Appeal Process**

Tenure and Promotion Appeals Committee: The composition, scope of activities, and procedures are specified in Item V. of the Tenure Policy.

## **VI. Revisions**

Revision to this promotion policy shall be made only after consultation with the Council of Academic Administrators and the Senate of the Faculty.