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

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Dr. John Wade, Dean

OUTLINE

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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 Geography & Geology, Department of Mathematics & Statistics, and Department of Physics & Astronomy.

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

2. The College Promotion and Tenure Committee shall consist of nine members comprised of 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 committee will elect a chair and a recorder from among its members at the first College committee meeting.

4. The Associate Dean for Administrative Affairs and Research shall sit in during committee deliberations as a resource to the committee on procedural and policy issues (university, college, and departments) and to facilitate the smooth flow of Presenters (see B-6). He/she shall not otherwise participate in the evaluation of candidates for promotion and/or tenure during these meetings.

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-13) 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 2013/14 academic year

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<thead>
<tr>
<th>Area 1</th>
<th>YEAR 1</th>
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<td></td>
<td>R (1 year)</td>
<td>N (3 years)</td>
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<td>Area 2</td>
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<td>R (2 years)</td>
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<td>R (2 years)</td>
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<td>Area 3</td>
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<td>R (2 years)</td>
<td>R (1 year)</td>
<td>N (3 years)</td>
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Key: R = Returning member, N = New member

6. Each year, 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. The purpose of the alternates is to replace an elected Area representative should the need arise.

7. 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.

8. When appointing the required additional committee members (see A-2), 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.

9. The committee members and alternates shall be elected no later than September 1 of the year in which the committee 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.

10. 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).
11. A faculty member shall not serve on more than one promotion and tenure committee (department, college, or the university Faculty Evaluation Appeals Committee) in the same year.

12. A department shall not be represented on the committee by two members, elected or appointed, during the same academic year.

13. 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, or if there is no eligible faculty member available from a department that should have otherwise been represented.

14. A working committee shall consist of at least two-thirds of the voting members.

15. 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.

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. The committee will elect a chair and a recorder from among its members and establish a firm schedule of meetings for the rest of the year that complies with the current College and University deadlines.

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 an individual to present his/her candidacy to the College committee as outlined in Section D-4. The Associate Dean for Administrative Affairs and Research shall verify that the Presenter meets the eligibility criteria stated in Section D-4.
7. Normally, the representative shall make a presentation of no more than five (5) minutes to be followed by a discussion of the candidate with the committee.

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 and/or tenure, providing any necessary addenda. Members of the committee shall sign the form(s), 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 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.

13. The chair of the College committee shall submit the committee recommendations, with appropriate documentation and required forms, to the College Dean.

14. The committee chair shall also provide the Dean with a record of committee meetings including names of attending members and a record of the vote count.

15. 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 April 15, the Dean shall send a list of faculty eligible for tenure in the next academic year to the Departmental Chair for transmittal to the candidate and the departmental promotion and tenure committee.

2. The Dean shall sit in during committee deliberations as an observer. He/she shall not otherwise participate in the evaluation of candidates for promotion and/or tenure during these meetings.

3. The Dean shall make all application materials and recommendations on tenure and/or promotion from departmental chairs available 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 and/or tenure of the candidates.
5. If the Dean does not concur with the recommendations of the Department committee, the Department Chair, and/or the College committee, the Dean shall state in writing the reasons for the differing recommendations.

6. The Dean shall notify the candidate in writing, with a copy to the Department Chair, of the recommendations of the College committee and of the Dean, with justification for these decisions.

7. 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, in accordance with the dates published by the Provost’s office.

8. 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 five (5) calendar days of notification by the Dean, requesting that the review process continue. This is not an appeal.

D. RESPONSIBILITIES OF THE CANDIDATE

1. Candidates should be familiar with department, college, and university promotion and tenure policies and procedures.

2. 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. A candidate for promotion is responsible for initiating the process by presenting a letter requesting a departmental review to the Department Chair.

3. 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.

4. 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. No later than September 15, the candidate shall provide the name of his/her Presenter to the Associate Dean for Administrative Affairs and Research.

5. It is the responsibility of the candidate to submit an application 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.

6. 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.

7. A candidate whose promotion application receives a negative recommendation by the Dean may choose to request that the review process continue as outlined in Section C-8.

8. A candidate whose tenure and/or promotion application receives a negative recommendation by the Provost may choose to appeal as outlined in Section E.

E. APPEALS PROCESS

1. The process allows for an appeal of a negative recommendation only after the Provost has made his/her recommendation. After reviewing the tenure and/or promotion applications and making recommendations, the Provost shall notify each candidate in writing of his/her recommendation, with justification for the recommendation.

2. Within ten (10) calendar days of notification of the Provost’s negative recommendation, the candidate may appeal to the President, who shall convene the Faculty Evaluation Appeals Committee (FEAC). Candidates should review the university tenure and promotion policy (Policy 4.6.4) for acceptable grounds for requesting such an appeal and other policies and procedures pertaining to the appeal process.

F. SELECTION OF FACULTY REPRESENTATIVES TO THE UNIVERSITY FACULTY EVALUATION APPEALS COMMITTEE

1. The faculty representative and alternate to the University Faculty Evaluation Appeals Committee (FEAC) shall serve for a period of two years.

2. When necessary (e.g., when the term of serving members expires or there is a conflict of interest), the College representative and alternate for the University Faculty Evaluation Appeals Committee shall be elected no later than May 1 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 the alternate, but shall return in subsequent years to complete the balance of his/her term (excluding any years served by the alternate).

4. Each Department may nominate one candidate. Eligible candidates include all full-time, tenured faculty of the College holding the rank of Professor. Members of FEAC or alternates cannot be members of department or college promotion and tenure committees.

5. Elections shall be conducted by the Office of the Dean. Eligible voters will include all full-time tenured and tenure-track faculty.

6. The leading candidate receiving at least 40% of the votes cast shall be the elected member of FEAC and the runner-up shall be the alternate.
7. If no one receives at least 40% of the votes cast, a run-off voting involving the top two candidates will decide by plurality the representative and the 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 may wish to apply prior service at another institution or place or employment toward the EKU 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 EKU, complete documentation must be provided, including teaching evaluations, service record, and scholarly accomplishments.
If time at another institution has been applied towards the EKU probationary period for tenure, then professional accomplishments over the specific time period agreed upon will be considered as if having occurred during a normal six-year probationary period at EKU. 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 EKU. However, it is essential that work performed before appointment at EKU represent part of a sustained professional program that has continued during the time at EKU. In particular, no amount of previous activity will compensate for a lack of professional accomplishments while at EKU.

8. Evaluation of teaching.

(a) In accordance with University policy, each Department has the primary responsibility of administering the IDEA Evaluation instrument 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 (Policy 4.1.7, Student Opinion of Instruction) 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. Candidates should be aware that in reviewing their performance in the areas of teaching, scholarly/creative activities, and service, collegiality shall be considered. Collegiality is defined in EKU’s tenure and promotion policy as “The ability of an individual to interact with colleagues with civility and professional respect; to engage in shared academic and administrative tasks necessary to meet Department, College, and University goals; and to work productively with faculty, students, and staff. Collegiality should not be confused with sociability or likability but rather is the professional criterion relating to teaching, scholarly/creative activities, and service.”

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 six years. Candidates are strongly encouraged to take full advantage of their probationary period to build the strongest case possible for tenure and promotion.