

## **University of Baltimore**

### **VI-1.12 Promotion and Tenure Policy and Procedures – Yale Gordon College of Arts and Sciences**

Approved by the YGCAS Senate – 5/11/16

Approved by Office of the Attorney General – 10/20/16

Approved by University Faculty Senate – 11/2/16

Approved by Provost – 11/3/16

Approved by the President – 11/17/16

Approved by the USM Chancellor – 1/10/17

Note that the Appendix with the Dossier Format is included here.

# Faculty Promotion and Tenure Policy and Procedures – Yale Gordon College of Arts and Sciences (YGCAS)

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Yale Gordon College of Arts and Sciences 1.1.3.

YALE GORDON COLLEGE OF Arts and Sciences

POLICY AND PROCEDURES FOR PROMOTION AND TENURE OF FACULTY

PROPOSED REVISION (18 October 2015) (11 May 2016)

## I. INTRODUCTION

The Yale Gordon College of Arts and Sciences (hereafter referred to as YGCAS), will adhere to all governing University System of Maryland (USM) and UB policy, guidelines and regulations relating to appointment, tenure, and promotion of faculty, including, USM BOR II-1.00 University System Policy on Appointment, Rank and Tenure of Faculty (USM ART Policy), as well as VI-1.1 University of Baltimore Promotion and Tenure Policies (UB P&T Policy). The procedures below supplement and provide details for implementing the USM Policy on Appointment, Rank, and Tenure of the Faculty in connection with faculty appointment and tenure decisions in the YGCAS. These guidelines are meant to inform YGCAS faculty and the respective committees of the standards to be used in considering appointment, promotion, and tenure evaluation decisions.

These guidelines shall be reviewed by the YGCAS as required by USM Policy, or at a minimum, every three years from implementation.

## II. APPOINTMENTS TO TENURE-TRACK POSITIONS

All faculty members shall be appointed to an appropriate rank as described in the USM ART Policy.

### A. GENERAL

1. Tenure-Track Appointments. In general, to be considered for a tenure-track appointment, the candidate must possess the minimum qualifications listed for that rank. Tenure-track faculty of all ranks are responsible for teaching, scholarship, and service to their division/school, the college, the university, the profession, and the community. The weight accorded to each of the elements of faculty achievement may vary. However, in all cases, clear evidence of potential for excellence in teaching must be a primary consideration. Within the criteria articulated, the standards herein shall be applied fairly and consistently to all candidates for promotion and tenure.

2. Tenure Reviews and Decisions. The timing of tenure reviews will be in accordance with USM BOR II-1.00. Tenure decisions can be awarded only by an affirmative decision based on a formal review.
3. Appointment with Tenure. When authorized by the dean to hire at the senior rank, all appointments with tenure shall be reviewed by the Division/School Promotion & Tenure Committee, College Promotion & Tenure Committee, the respective Dean, the Provost, and the President.

## B. QUALIFICATIONS BY RANK

Faculty of all ranks are responsible for teaching, scholarship, and service to their division/school, the college/school, and the university. Faculty shall have the responsibility for maintaining the academic vitality of the academic programs in which they teach. One of the principal means of exercising this responsibility shall be to support on-going program and peer evaluation, with special attention to the professional growth of all faculty. Senior faculty are expected to make themselves available for such consultation and assistance in the areas of teaching, scholarship, and professional development.

The only faculty ranks which may involve a tenure commitment at the University of Baltimore are: Assistant Professor, Associate Professor, Professor and such other ranks as the Board of Regents may approve and the University of Baltimore adopts. Appointments to all other ranks, including any qualified rank, other than an honorific qualification, in which an additional adjective is introduced, are for a definite term and do not involve a tenure commitment.

The following shall be the minimum qualifications for appointment or promotion to the academic ranks in use by the University of Baltimore. Exceptions to the following criteria may be recommended by the provost and approved by the president of the University.

ii. Assistant Professor: The appointee ordinarily shall hold the doctorate or recognized terminal degree in the field of specialization. The appointee should also show potential for successful teaching, service, and research, scholarship, or creative work, commensurate with the mission of the University of Baltimore. Appointees are to be evaluated by their Divisions on the basis of both their professional accomplishments and their potential contributions to the evolution of the Division's curriculum and mission.

iii. Associate Professor: In addition to having the qualifications of an Assistant Professor, the appointee ordinarily shall have demonstrated successful experience in teaching and research, scholarship, or creative work. There shall also be evidence of effective service to the University of Baltimore as well as relevant engagement with external communities. Appointees are to be evaluated by their Divisions on the basis of both their professional accomplishments and their continuing and potential contributions to the evolution of the Division's curriculum and mission. Ordinarily, six years of full-time college teaching experience are required (exclusive of summer or part-time teaching) at least five years of which should be at the Assistant Professor rank.

iv. Professor: In addition to having the qualifications of an Associate Professor, the appointee ordinarily shall have established an outstanding record of teaching and research, scholarship or

creative work. There shall also be evidence of effective leadership and service within the University of Baltimore as well as relevant engagement with external communities. There shall be continuing evidence of relevant and effective service to the institution, the community, and the profession. Appointees are to be evaluated by their Divisions on the basis of both their professional accomplishments and their continuing and potential contributions to the evolution of the Division's curriculum and mission.

### III. PROMOTION AND TENURE CRITERIA

The criteria to be followed in all promotion and tenure decisions are 1) teaching effectiveness, including student advising; 2) scholarship; and 3) relevant service to the community, profession, and institution. The initial hiring contract of each Assistant Professor, Associate Professor, and Professor shall state the year for tenure consideration and the number of years' credit for prior experience given toward promotion and tenure, if any. Upon appointment, each new tenure track faculty shall be provided the applicable criteria for tenure and promotion. Promotion and tenure shall be based upon effective individual contributions to the University of Baltimore in all areas of teaching, scholarship, and service.

Evidentiary material for promotion to Associate Professor should date back no further than five years or since the last appointment and/or promotion review (whichever is less). Material for promotion to Full Professor may include material since the last promotion, but should emphasize the most recent five years.

A. Teaching. Tenure appointments and promotions shall be made only when there is clear evidence of the individual's ability and commitment as a teacher. Evidence of effectiveness may include information from:

- 1) classroom performance, as evidenced by:
  - a) course materials and course content
  - b) a systematic process of peer review of teaching
  - c) student evaluations
- 2) academic advisement;
- 3) curriculum development and assessment;
- 4) supervision of independent study, capstone projects, and honors projects;
- 5) supervision of practica, experiential learning, and internships; and
- 6) supervision of master's and doctoral theses.

B. Scholarship – In this context scholarship may include Research, Publications, and Creative Work. Evidence of scholarship and professional growth shall be sought in the work submitted by the candidate. When work is a product of a collaboration, it is the responsibility of the candidate to describe his or her role in the collaboration as clearly as possible. It is also the responsibility of the candidate to indicate the extent to which published work is original, overlapping, or closely related to other work and to provide a candid assessment of the contribution of each listed work to the relevant academic or creative field. In its review of a candidate's work, the division/school committee shall evaluate quality as well as quantity and shall obtain evaluations of the work from peers and professionals outside the university. The

division/school must provide evaluation of journals, publishers and other outlets for creative and scholarly work. Outside scholarly reviews are required.

The contributions relevant for consideration generally will fall into one or more of the following categories; however, this list is not exhaustive. If work does not undergo peer review, additional evidence of impact should be provided. Work used toward tenure should demonstrate at least two of the following: peer review, significance and/or impact.

#### *Discovery*

Work that demonstrates disciplined investigative and/or creative efforts and is directed primarily to an audience of peers. Work in this category may include scholarly peer-reviewed work such as articles, essays, reviews, books, book chapters, and presentations—including those in digital and online format.

#### *Integration*

Work that explains, synthesizes and/or contextualizes disciplinary understanding or knowledge and is sometimes directed to an audience beyond one's peers, including non-specialists and non-academics, in order to facilitate the use of the disciplinary understanding or knowledge by a broader audience. Work in this category may include textbooks, websites, manuals, resources, whitepapers, magazine articles, blog posts, or invited presentations at non-academic professional meetings.

#### *Teaching & Learning*

Work that reflects pedagogical expertise and helps other teachers develop curriculum, improve classroom instruction, and otherwise facilitate student learning. Work in this category may include articles about pedagogy, workshops with peers, demonstration projects, studies, textbooks, digital instruction tools, and other products that transform and extend the art of teaching.

#### *Engagement*

Work that grows from disciplinary expertise and may be created with community partners, contribute to the common good, and has a life beyond the university reflecting its engaged mission. Teaching, research, and creative work often overlap here. Work in this category may include technical reports or work with community partners.

#### *Artistic & Technical Creativity*

Work that employs artistic or technical expertise in an original or innovative way and is disseminated to an audience of appreciators, critics, or users. Work in this category is published and might be measured in terms of critical success, public reception, or peer use or endorsement. Work in this category may include creative writing, interactive narrative, films and documentaries, visual art, photography, musical compositions, computer code in various formats, and new scientific or technical processes.

C. Service. To count toward tenure and promotion consideration, service should be directly related to a candidate's professional activity or academic/creative expertise.

Service may include membership and/or leadership on committees at Program, Division, College, University or System levels as appropriate to the faculty member's rank, as well as administrative functions and/or other leadership roles. Service may also include uncompensated contributions to professional societies, governmental and academic institutions, and the community at large when these contributions reflect the faculty member's professional expertise as well as the University of Baltimore's commitment to being an engaged university.

#### IV. PERIODIC REVIEW OF FACULTY

A. Progress toward Tenure Reviews. The Division/School Promotion and Tenure (DP&T) Committee shall conduct annual progress-toward-tenure reviews, including a substantive third-year review of progress-toward-tenure of all untenured tenure-track faculty.

The progress toward tenure reviews serve many purposes. First, they are mentoring documents that provide untenured faculty with advice and guidance as they move through the tenure process. Second, from the third year forward to the tenure decision, they provide the basis for determining whether an untenured faculty member should be given annual contracts until such time as she or he is eligible to apply for tenure. Third, the reviews are part of the evidentiary record that tenured faculty use in making promotion and tenure recommendations.

The progress-toward-tenure reviews are a critical part of the Promotion and Tenure process. Therefore, members of the DP&T should adhere to the stipulated criteria for the College's Promotion to Associate Professor in providing guidance to untenured faculty members. In addition, when considering the application of an untenured faculty member for Promotion and Tenure, the DP&T Committee should review carefully the progress-toward-tenure reports as part of the tenure and promotion package.

For year one, year two, year four, and year five of the tenure review process, the untenured faculty member should submit at least the following to the Division chair by April 15th:

1) A reflective statement addressing her or his accomplishments in the areas of teaching, scholarship and service. In the reflective statement, untenured faculty should address accomplishments for the academic year in the areas by which faculty are judged for tenure: teaching, research and service.

a. In the area of teaching, new faculty members should comment on their philosophy of teaching, pedagogies, describe new course preparations or revisions, explain their role in curriculum and program development and/or planning initiatives, discuss their work in the area of assessment, and address student and peer evaluations.

b. In the area of scholarship, untenured faculty members should detail new works published, shown, submitted or in preparation, grant proposals, research reports, et cetera. For works submitted, the untenured faculty member should address the status of the work—e.g., under review or in a revise and resubmit status.

c. For service, the untenured faculty member should detail university, college, and program service activities, as well as professional and community-based activities.

2) An up-to-date curriculum vitae.

The Chair will in turn provide the aforementioned materials to members of the DP&T.

For the third year review, untenured tenure-track faculty members should submit by April 15 a dossier that reflects their accomplishments during the first three years as an untenured faculty member that will be counted toward tenure. This dossier should follow the requirements of the promotion and tenure policy of the YGCAS. It should include:

- reflective statements on teaching, scholarship and service;
- an up-to-date curriculum vitae;
- student and peer teaching evaluations;
- examples of course syllabi;
- evidence of scholarship.

B. Tenured Associate Professors shall have the option of requesting a similar progress toward promotion review in advance of applying for promotion to Professor. This review shall be carried out by the division/school chair and the departmental/ divisional faculty who hold the rank of tenured Professor. Where there are fewer than three tenured Professors in a division/school, the dean, in consultation with the division/school chair, shall appoint necessary additional Professors drawn from the college or school as a whole. This committee shall be assembled as described in the procedures for promotion below.

C. Tenured faculty shall have a post tenure review every five years, as defined in the USM, UB, Policies on Comprehensive Review of Tenured Faculty, which can be found online UB Policy Guide/Faculty Affairs/Review of Tenured Faculty.

## V. PROCEDURES FOR PROMOTION AND TENURE: OVERVIEW

A. Candidates for tenure may extend their tenure clocks in accordance with the tenure clock extension policy (UB VI-1.10). There will be no penalty for extending the tenure clock. (UB VI-1.10, Tenure Clock Extension Procedures, Section VII.)

B. Time served with the university toward promotion and tenure starts with your first Fall semester employment on a tenure-track line.

C. All reviews begin at the divisional level. Each division shall have a Promotion & Tenure (DP&T) Committee, consisting of at least three eligible senior faculty (tenured Associate Professors and Professors), that performs the promotion and tenure functions described in this policy. Candidates are to be evaluated by their division/school on the basis of both their professional accomplishments and their potential contributions to the evolution of the division's curriculum and mission. Divisional recommendations are to be treated beyond the division/school as the product of careful assessment by informed professional peers. The chair of the committee shall be selected by its members and cannot be the chair of the division (unless an exception has been granted by the Dean). The Division Chair also has the option of writing a short report to supplement that of the DP&T Committee. The DP&T Committee will review the

dossiers for thoroughness, consistency, and conformity with the guidelines provided in this policy. The DP&T Committee will issue a recommendation. A committee member who disagrees with the majority vote may produce a minority statement which becomes part of the record.

D. YGCAS shall have a college-wide Promotion & Tenure Committee (CP&T) consisting of one eligible senior faculty member per division. The CP&T Committee shall make recommendations to the dean on matters of tenure, including initial appointments that carry tenure, and promotion. The CP&T Committee will review the reports of divisional committees for thoroughness, consistency, and conformity with the guidelines provided in this policy and will evaluate the qualifications of the candidate for tenure and/or promotion. The CP&T Committee will issue a recommendation. A committee member who disagrees with the majority vote may produce a minority statement which becomes part of the record.

E. A faculty member whose relationship with any candidate presents a conflict of interest is obliged to recuse himself/herself from the review of that candidate's application. In cases where the candidate perceives a conflict of interest, the candidate should make a written request to the dean specifying the problem. The dean will make the decision about whether anyone should step down from either the divisional or college committee. In the event that a conflict of interest is alleged by someone other than the faculty member, the person identifying the conflict should appeal to the dean in writing and in a timely manner, specifying the problem. The dean will decide whether anyone should step down from either the divisional or college committee.

F. The role of the dean is to consider not only the record of the candidate and its relationship to the department's/division's mission and curriculum, but also the application of consistent standards to faculty selection, retention, and development. At the same time, the dean's responsibility extends to the broad range of institutional considerations that shape the ongoing growth and direction of the college/school as a whole.

G. The candidate has the right to respond in writing to the recommendation of the committee at each level in the process. The candidate will be given seven calendar days from the date of the recommendation at each level to submit a written response. These written responses will become part of the package as it moves to the next level of consideration. Final appeal procedures may be found in section III of the UB Promotion and Tenure Policies, Section VI-1.1 of the online UB Policy Guide/.

H. For required promotion and tenure application format, documentation, and dossier format, see Format for Promotion and Tenure Dossier, attached hereto as Appendix A.

I. Members of any committee and/or committee member involved in a promotion or tenure review and/or recommendation must regard their work as a confidential employment matter. Information may not be disclosed outside of the committee reviewing the matter, unless required by law. Any breach of confidentiality in connection with a promotion or tenure review or decision will be subject to disciplinary action.



J. This document has been adopted through the required approval process. It is the responsibility of the division/school chairs to ensure that all new tenure-track faculty members are provided with written copies of these criteria, plus any changes that may be adopted during the probationary period.

## VI. STRUCTURE OF THE PROMOTION AND TENURE REVIEW SYSTEM

A. Division/School Level. This is the first level of the promotion and tenure process. The DP&T Committee membership is restricted to faculty who have the sought after rank or higher. The chair of the committee shall be selected by its members and cannot be the chair of the division (unless an exception has been granted by the Dean).

In cases where there are fewer than three eligible senior faculty members (tenured Associate Professors or Professors) in the division/school, the dean, in consultation with the division/school chair, shall appoint qualified additional faculty members drawn from the college as a whole, with no more than three appointed from outside the division/school.

Candidates for tenure and/or promotion are to be evaluated by their division/school on the basis of both their professional accomplishments and their potential contributions to the evolution of the division's curriculum and mission. The candidate's dossier will be the primary evidence for the DP&T review. Divisional recommendations are to be treated beyond the school/division as the product of careful assessment by informed professional peers. The DP&T Committee will review the dossiers for thoroughness, consistency, and conformity with the guidelines provided in this policy. The Division Chair also has the option of writing a short report to supplement that of the DP&T Committee.

B. College Level. This is the second level of the review process. The CP&T Committee shall consist of one tenured faculty member from each YGCAS division/school. Members shall be elected by majority vote of the tenured faculty in their division/school. A vacancy will be created if a division/school fails to elect a member. Vacancies shall be filled by the CAS faculty senate. The committee shall elect a chair and a secretary. Members of the CP&T Committee shall serve three-year staggered terms. Members shall be elected at least 30 days before the end of the spring semester for a three-year term in a manner consistent with the above provisions. Members from the division/school of a candidate for tenure and/or promotion may present the case and participate in the CP&T Committee deliberations but they may not vote. Members may not serve during the year in which they are candidates for tenure and/or promotion and will be replaced during that year.

An application for promotion to Professor shall be considered only by those members of the CP&T Committee holding the rank of Professor. If a division/school's representative does not hold the rank of Professor, the chair of that division/school, the CP&T Committee chair, and the dean shall together select a representative from the faculty who is a Professor and who will replace the division/school's representative for the purpose of considering that application to Professor. In the event that the CP&T Committee chair does not hold the rank of Professor, an acting chair shall be selected by the CP&T Committee as constituted to consider that application for promotion to Professor.

The CP&T committee shall review the candidate's dossier, external reviews, and the recommendation from the division/school, and if presented, the division chair's supplemental report and any minority statements.

C. Dean, Provost, President. The dean, provost, and president shall also perform a review of the dossier and the relevant P&T recommendations from prior levels.

## VII. THE PROCESS FOR PROMOTION AND TENURE REVIEW

A. Stage One: Application. By April 15 of the academic year prior to a candidate's scheduled tenure review year, the dean shall notify eligible candidates, shall request a written notice of intention, and shall distribute the procedures and dossier guidelines for tenure and promotion review. Any candidate for tenure and/or promotion shall forward a written notice of intention to the division/school chair no later than May 1. By May 7, the division chairs shall inform the dean of the names of those faculty to be considered for tenure and/or promotion in the next academic year. By May 21, the dean will confirm the candidates to be reviewed for tenure and/or promotion in the upcoming academic year and will send written notice to those candidates, to the candidate's division/school chair, and to the CP&T Committee.

Early Review. A faculty member may request an early review for tenure. A request for an early review must be submitted in writing through the candidate's division/school chair and dean and approved by the provost. This request must be approved prior to May 1. An agreement to allow a candidate to be considered early is not an endorsement by the provost of the candidate's success in attainment of tenure or/and promotion.

B Stage Three: Submission of Materials.

By May 30, the candidate shall submit to the DP&T Committee chair

- i. her/his list of potential external reviewers
- ii. her/his CV;

By the third Monday in June the candidate shall submit to the DP&T Committee chair:

- iii. a statement contextualizing her/his scholarship/creative work and the contribution(s) it makes (this need not be the final statement the candidate submits in September);
- iv. her/his scholarly and creative materials for external review. If scholarly or creative materials have been accepted for publication or exhibition but have not yet been published (or exhibited), candidates may include the works in pre-publication form for use by external reviewers and may include the published (exhibited) version if it becomes available by the time the completed dossier must be submitted.

By September 15 the candidate shall submit to the DP&T Committee chair:

- v. her/his complete dossier for evaluation. The documentation must adhere to the format and criteria set out in the Format for Promotion and Tenure Dossier, attached hereto as Appendix A. No new information or material may be added to the dossier by the candidate after September 15, except if extenuating circumstances present and the chair at the level of review approves.

C. Stage Two: Convening of Promotion and Tenure Committee. At the beginning of the academic year, the division/school in which review will take place shall convene the DP&T Committee.

D. Stage Four: External Reviews. Each dossier of a candidate's application for tenure or promotion shall be accompanied by a minimum of three external reviews evaluating the scholarship/creative work. The DP&T Committee chair shall request the external reviews. Fifty percent of the solicited reviewers shall be selected from a list provided by the candidate. The DP&T Committee chair in consultation with the other members of the Committee shall select the remaining reviewers. The DP&T Committee chair shall confirm the list of external reviewers and initiate the reviews. The division/school chair will oversee the duplication and dissemination of each candidate's materials to the chosen external reviewers by July 1. External reviews should be received by October 1.

The DP&T committee will provide the candidate with a list of all members of the review pool and the candidate will write a brief account of his/her connections, if any, with each potential reviewer. The candidate will not know who from this pool is actually solicited to provide a review.

Reviewers will be provided with the candidate's CV, personal statement, a list of dossier materials relating to scholarship, and publications as appropriate. The DP&T Committee chair shall assist external reviewers in obtaining any additional materials they may request. External reviewers will also be asked to supply a professional "bio" or CV along with their letter of review, which shall be kept separately with the external review letters. If more than three solicited external reviews are received, all of them must be included in the DP&T Committee's review.

The identities of the selected reviewers are highly confidential and should not be shared with the candidate. The identities of the reviewers and the reviews themselves shall not be shared with anyone who will not be voting on or evaluating the candidate's case for tenure or promotion. After all references and indicators of the reviewer's identity have been redacted by the DP&T Committee chair, the reviews themselves shall be shared with the candidate.

The confidential external reviews and bios or CVs shall be delivered separately by the DP&T Committee chair to the CP&T Committee chair along with the DP&T Committee report. All members of the CP&T Committee shall preserve the confidentiality of the external review materials in the same manner as the members of the DP&T Committee. When the CP&T Committee has completed its report, the external review materials shall be transmitted to the office of the dean, who shall retain custody thereafter except as requested by the provost, the president, or the University Appeals Committee as part of this review process.

E. Stage Five: Recommendation of the DP&T Committee.

1) Every candidate may request a personal appearance before the DP&T Committee to present his/her case. Such requests must be made when the dossier is submitted. The committee may also request that the candidate appear personally. Either request must be in writing. Final

decisions about whether to meet with the committee are always up to the candidate. If the candidate makes the request, the committee must schedule a meeting. If the committee requests a meeting, the candidate may decline.

2) The DP&T Committee shall consider the merits of the candidate with respect to teaching effectiveness, scholarship, and service.

3) Following evaluation, the DP&T Committee shall vote on whether to recommend the candidate for tenure and/or promotion. It is the duty of faculty on the DP&T Committee who are eligible to vote to participate in promotion and/or tenure decisions. The vote must be taken by secret ballot. Faculty members may vote yes (aye), no (nay), or abstain. An abstention does not count as a vote. The total number of yes and no votes and abstentions must be recorded. A recommendation for or against promotion and tenure shall be based on a simple majority.

4) The DP&T Committee chair shall write a recommendation report that summarizes the votes and addresses in detail the rationale for the recommendation. After the DP&T Committee members review and sign the report, it shall be forwarded to the CP&T Committee, the dean of the college, and the candidate no later than November 1.

5) Any member or members of the DP&T Committee who do not support the majority report shall have the option of writing a minority report that shall detail his or her rationale for the dissent or abstention.

6) Upon receipt of the division/school's recommendation report, the candidate has the option to submit written comments to the next level in the promotion and tenure process within seven calendar days from the date of the DP&T recommendation. The response shall be limited to clarification of information or factual data. These written comments become part of the promotion and tenure package. The letter should be addressed to the CP&T Committee chair. This letter becomes part of the dossier.

F. Stage Six: Submission of Materials and Recommendations to the CP&T Committee Chair.

1) By November 1, the DP&T Committee chair shall submit all materials to the CP&T Committee chair and that shall include:

- a) Candidate's dossier.
- b) Confidential material related to external reviews.
- c) Recommendation letter of the DP&T Committee.
- d) Minority report of the DP&T Committee (if any).
- e) It is the responsibility of the DP&T committee to insure that the dossier is in compliance with the guidelines in this policy.

G. Stage Seven: Recommendation of the College Promotion & Tenure Committee.

1) The CP&T Committee shall consider the candidate's dossier, the external reviews, the DP&T report(s), the division/school chair's evaluation and any response written by the candidate.

2) The CP&T Committee has the option of requesting clarification or additional materials from the candidate, the division/school chair, or other relevant party. The candidate is expected to provide the requested material in writing or in the form of a presentation. The candidate may also request a personal appearance before the committee. All such requests must be in writing.

3) Following an evaluation, the CP&T Committee shall vote on whether to recommend the candidate for tenure and/or promotion. The vote must be taken by secret ballot. Faculty members may vote yes (aye), no (nay), or abstain. An abstention does not count as a vote. The total number of yes and no votes and abstentions must be recorded. A recommendation for or against promotion and tenure shall be based on a simple majority. The chair shall be responsible for writing a recommendation report that summarizes the vote and addresses specifically, and in reasonable detail, the rationale for the recommendation.

4) Any member or members of the CP&T Committee who do not support the majority report shall have the option of writing a minority report that shall include the rationale for their dissent and shall be signed by those members.

5) The recommendation report signed by all CP&T Committee members, along with any minority report, shall be forwarded to the dean of the college/school, the candidate's division/school chair, the DP&T Committee chair, and the candidate no later than January 15 of the academic year in which the candidate applies.

6) Upon receipt of the CP&T recommendation, the candidate has the option to submit written comments to the next level (the dean) in the promotion and tenure process within seven calendar days from the date of the recommendation. The response shall be limited to clarification of information or factual data. These written comments become part of the promotion and tenure package.

7) A candidate for promotion has the option of withdrawing his/her application only before the dean issues his/her recommendation. A request for withdrawal shall be sent in writing to the dean. In the case of withdrawal, the recommendations preceding the withdrawal shall be destroyed and shall not be considered in future promotion applications.

#### H. Stage Eight: Recommendation of the Dean.

1) After receipt of all material submitted in the earlier stages (e.g. reports, recommendations), and responses, the dean shall consider the candidate's application. At his or her option, the dean may request clarification from the candidate. The dean may also request additional materials from the candidate, the division or other relevant parties. This may be in the form of a presentation or written testimony.

2) The dean shall prepare a written recommendation either for or against promotion and/or tenure. In this recommendation, the dean shall set forth in reasonable detail the rationale for his or her recommendation, including but not limited to the candidate's record, the division/school's

curriculum and mission, institutional considerations and any other relevant matters concerning the candidate's application.

3) The dean's recommendation, along with all material submitted in earlier stages, shall be forwarded to the provost. Copies of the report shall also be sent to the CP&T Committee chair, dean of the college/school, the candidate's division/school chair, the DP&T Committee chair and the candidate no later than February 15.

4) Upon receipt of the dean's report, the candidate has the option to submit a written response to the next level in the promotion and tenure process (the provost) within seven calendar days from the date of the recommendation. The response shall be limited to clarification of information or factual data. These written comments become part of the promotion and tenure package.

I. Stage Nine: Recommendation of the Provost. The provost shall prepare a written recommendation for or against promotion and tenure. In this report, the provost shall set forth in reasonable detail the rationale for his or her recommendation.

The provost's recommendation, along with all material submitted in earlier stages, shall be forwarded to the President. Copies of the recommendation shall also be sent to the dean, the CP&T Committee chair, dean of the college/school, the candidate's division/school chair, the DP&T Committee chair and the candidate no later than March 7.

J. Stage Ten: Decision of the President. The candidate will be notified in writing by the president of the University by April 30 of his/her decision concerning candidacy for tenure and/or promotion. Dossiers, with external reviews removed, should be returned to the candidate.

#### VIII. TIMELINE FOR PROMOTION AND TENURE REVIEW DECISIONS

In order to facilitate this process, it is understood that the decisions will be rendered by the following academic year dates within a candidate's tenure review cycle:

November 1	Division/School Promotion & Tenure Committee
January 15	College Promotion and Tenure Committee
February 15	Dean
March 7	Provost
April 30	President

If any dates in this document fall on a weekend, the due date will be the following Monday.

#### VIV. APPEALS

Appeals of promotion and tenure decisions shall follow the appeals procedure set forth in UB VI-1.1 – UB Promotion and Tenure Policies.

#### X. POLICY CROSS-REFERENCES

**UNIVERSITY SYSTEM POLICY ON APPOINTMENT, RANK, AND TENURE OF FACULTY, Section II. 1.00 of the USM Board of Regents Bylaws**

**UB VI-1.1 Promotion and Tenure Policies and Procedures**

**UB VI-1.3 YGCLA Dossier Policy is replaced by this policy for faculty of the Yale Gordon College of Arts and Sciences**

**UB VI-1. Tenure-Track Faculty Contract**

**UB VI-1. Tenure-Track Faculty Contract (second term)**

**UB VI.-1.9 Part-Time Tenure-Track Faculty Policy**

**UB VI-1.10 Tenure-Clock Extension Policy**

**And all other sections of UB VI., which documents policies of Faculty Affairs, including compensation, leave policies, retirement policies, retrenchment, performance evaluation of faculty, and review of tenured faculty.**

APPENDIX A  
YGCAS Dossier Format  
FORMAT FOR PROMOTION AND TENURE DOSSIER  
revision proposed 10/18/15

Yale Gordon College of Arts & Sciences

Every dossier submitted for review shall conform to the format and criteria listed below. Evidentiary material for promotion to Associate Professor should date back no further than five years or since the last appointment and/or promotion review (whichever is less). Material for promotion to Full Professor may include material since the last promotion, but should focus on the most recent five years. All material should be submitted in an appropriate format as decided by the College at this time. Candidates are welcome to contextualize any items within the dossier.

#### FORMAT

Dossiers are to be submitted digitally. All digital documents must be PDFs. Materials are to be submitted through the following means:

- Upload PDFs of all files to a secure place on a common drive. Only divisional and college committee members, Dean, Provost and President (and their designees) will have access as required.
- Oversized files should be submitted on current digital media (currently Flash Drive or a CD); please submit five copies.
- Supplemental material in a box.

#### Digital Format

Digital dossiers are to be submitted through Sakai, Team Sites, or another location set up to be accessible only to the candidate and those who must review the dossier. The candidate should devote a top-level folder to each Roman numeral item (below). She/he may have sub-folders within each folder. All documents should be in PDF form and consistently named.

#### DOSSIER

I. Table of Contents

II. Philosophy and Discussion Statement (signed and dated), approximately 10 pages.

A single narrative overview addressing activities and attainments in relation to each of the criteria in teaching, scholarship or other creative work, and service.

1. Teaching – outline of teaching philosophy, duties, and fit with the mission(s) of UB, YGCAS, and the division.
2. Scholarship/Creative work – discussion of research, publications, creative works and professional activities. If copies of articles and other research related material are too large for the digital dossier, they may be included with the additional support materials to be housed in the dean's suite and made available to the provost and president as may be requested.
3. Service – discussion his/her uncompensated service to the department/division, college/school, university, professional organizations and the community since appointment or promotion to the presently held rank (or the past five years, whichever is less).



4. Leadership and/or Administration (required only for promotion to Full) – discussion of any compensated and uncompensated administrative duties.
- III. Table listing courses taught by semester and, if relevant, alternate workload since appointments or promotion to the presently held rank (or the past five years, whichever is less). If the candidate’s workload differs from year to year, an explanation should be provided. (Sample table at end of document)
- IV. Curriculum Vitae
- V. Internal Reviews
1. Written annual progress toward tenure reviews, including the three-year progress toward tenure review
  2. Five year post-tenure review(s) as appropriate. (See IV.C. in the YGCAS Policy and Procedures for Promotion and Tenure.)
  3. Annual Chair’s Evaluations (no more than the past five years or since last promotion is recommended)
- VI. External Reviews
- A minimum of three external reviews are required. Per policy guidelines, external review material will be kept separate and confidential, but will be transmitted by the DP&T chair along with the dossier (they may be added to the dossier provided the candidate will not have access to them) for review at each level.
- VII. Teaching – The candidate will select three to five teaching experiences she/he has had and complete the cover sheet and provide the following supplemental material (where available). Several things can constitute “a teaching experience,” for instance: a single course, several iterations of teaching a particular course, a particular type of teaching, et cetera.
1. Syllabi – plus sample exercises, assignments, and other materials developed for courses.
  2. Peer Review of Teaching – written reports of classroom visits by one’s peers.
  3. Student evaluations – computer generated summary sheets of teaching evaluations – no more than five years’ worth.
- Additional syllabi, teaching materials, peer reviews, student evaluations and student comments may be included. Other possible relevant materials:
4. Curriculum and course development – narrative and supporting materials;
  5. Advising – A brief description of advising duties including the following:
    - a. Doctoral – List the names, dissertation/project title, and for the students advised.
    - b. Master's – List the number of students per semester for whom the candidate has served as primary advisor.
    - c. Undergrads – List of the number of students per semester for whom the candidate has served as primary advisor.
  6. Student learning outcomes assessment activities – Narrative shall include assessment plan, rubrics, assignments, and should show how learning goals tie into assessment plan.
- VIII. Scholarship/Creative Work

1. A list of applicable scholarly and creative works in the following order must be included. If a work has been accepted but not yet published, please include acceptance letters for future publications.

- a) Published books (written or edited)
- b) Refereed/juried articles, creative work, or chapters in books
- c) Non-refereed articles or creative work
- d) Published book reviews
- e) Refereed or invited paper presentations
- f) Grants
- g) Invited scholarly addresses or speeches
- h) Invited panel participant, session chair
- i) Miscellaneous publications
- j) Other scholarly/creative activity (examples include)
  - research and creative awards;
  - consultancies (work-for-hire and sponsored research when related to the expertise of the faculty member);
  - honors/prizes;
  - legal testimony, expert witness; and
  - media interviews when related to the expertise of the faculty member.

2. The candidate will also select three to five representative clusters/items of scholarship/creative work for inclusion in the dossier. The candidate should always adhere to the standards of her/his discipline in these selections. A “cluster/item” can be anything from the above list, etc. These clusters/items should be ranked in order of their importance to the candidate’s professional development. For each cluster/item, candidates should complete a Scholarship Cover Sheet and include relevant supporting materials.

IX. Service

The candidate will select three to five representative clusters/items of service (individual assignments, clusters of related projects, etc.) for inclusion in the dossier. These clusters/items should be ranked in order of their importance to the candidate’s professional development. For each item, candidates should complete a Service Cover Sheet and include relevant supporting materials. Candidates should also provide a list of service contributions (if any) in the following areas.

1. Department/division
2. College/school
3. University
4. University System
5. Professional
6. Community

X. Administration and Leadership

Where applicable, candidate should discuss contributions and effectiveness in any such roles. Supporting materials may be provided.

XI. Other Supporting Materials



APPENDIX

Course Table (Sample. This table is a list only. Explanations, if necessary, go elsewhere.)

<b>Semester</b>	<b>Expected Course Load</b>	<b>Courses Taught</b>
(Semester and year)	(number of courses you were expected to teach this semester)	(List of courses taught this semester)

P&T Cover Sheet: Scholarship

Artifact Title:

Type of Work:

Audience:

Venue and Acceptance Rate:

Description of work (not more than 150 words):

Reviews & Citations (if relevant):

Enclosures:

P&T Cover Sheet: Service

Committee/Project Name:

Length of Service:

Description of Committee/Project Work (not more than 150 words):

Description of Individual Contribution (not more than 150 words):

References:

Enclosures: