

SPES Promotion and Tenure Policies and Procedures

March 7, 2019

Approved by SPES Bylaws Committee

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Preface:

1. Promotion and tenure (P&T) is one of the most important institutions within the university. The following policies have been developed with the goal of creating a process that rewards high-quality work while ensuring that it is conducted in a manner that is fair and transparent.
2. The SPES charter document states that SPES will retain three representatives to the CALS P&T committee, so as not to reduce the representation of the three former departments at the college level.
3. The SPES charter document further states that SPES P&T will be organized as “sub-committees corresponding to Sections” within SPES. In the short term (tentatively through the 2020-21 academic year), this is intended to allow assistant professors who were hired prior to SPES formation to be evaluated by P&T committees representing the departments in which they were hired. Thus, for the “phase-in” period of SPES P&T (through AY20-21), three sub-committees corresponding to former CSES, HORT and PPWS units will take the lead on reviewing their members.
 - a. A three-committee structure was used in 2018 because the P&T process started prior to the formation of SPES. However, the University requires that SPES P&T decisions be made by a single committee. A sub-committee structure will provide a transition mechanism through AY20-21 to evaluate faculty who were hired into the former departments.
 - b. For the future, we envision that the P&T process in SPES will be handled by a single committee (hereafter referred to as the “P&T Committee”). We believe that a large P&T Committee will provide adequate representation of the various SPES faculty and will provide the flexibility to allow efficient use of sub-committees. In the near term, the sub-committees will represent the former departments, but beyond AY20-21 they may be dissolved or may evolve to represent school sections or communities, or to any other structure that facilitates fair and efficient review of candidates.
 - c. The overall size and structure of the SPES P&T Committee shall be reviewed by the SPES By-laws Committee no later than the end of AY20-21.

A note about reading the following document

The following policies were written with a long-term P&T structure in mind, and assuming that there will be a single SPES P&T Committee with no thematic divisions. A future Bylaws committee will reconsider this structure (See part 3c above).

Boxes contain guidelines that deviate from the long-term plan or are otherwise specific to the phase-in period (through the 2020-21 academic year).

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P&T Committee Structure

The SPES P&T Committee will consist of a chair (hereafter called the Chair) and 12 members.

1. Election of the P&T Committee: Membership on the SPES P&T Committee is open to both full and associate tenured professors who are not seeking promotion within the next year. Members of the P&T Committee shall be elected from a ballot listing eligible SPES faculty that the SPES Director will assemble and distribute in February of each year. No less than half of the P&T Committee shall be of the full professor rank, so the ballot will be organized by rank such that votes for associate and full professor faculty can be balanced to align with this requirement. Voting will be confidential and all tenured and tenure-track SPES faculty may vote for P&T Committee members. Initially, a total of 13 members will be elected and the full professor member receiving the highest vote count will be the P&T Chair for that year. Any ties that occur in voting to fill the P&T Committee will be resolved by the Director. An elected faculty member may decline to serve on the SPES P&T Committee.

For the phase-in period, sub-committees will facilitate the work of the SPES P&T Committee. The SPES P&T Committee Chair will first be elected from one ballot consisting of a list of all full professors in SPES. Subsequently, the remaining 12 members of the P&T Committee will be elected from ballots drawn from the former departments such that each former department has a sub-committee of 4 members. The person with the highest vote total in each sub-committee will be the sub-committee chair.

2. Selection of CALS P&T Committee representatives: The elected members of the P&T Committee will select from their ranks 3 full professor members to serve as representatives to the CALS P&T Committee, as needed (see part 2c below).

- a. Representatives should represent the breadth of diversity and expertise in SPES.

One representative will be selected from each of the three sub-committees.

- b. These members will not vote at the final review and the SPES level, but will read all materials and observe all P&T Committee deliberations.
 - c. These representatives will serve 2-year terms, so the total number of faculty elected to the P&T Committee may be adjusted in subsequent years, depending on the need to fill the CALS representative positions.
3. Replacing the 3 CALS representatives on the P&T Committee: As soon as possible after the election of the P&T Committee and designation of CALS representatives, the SPES Director will nominate – and the P&T Chair will appoint – another 3 faculty members to the P&T Committee to return it to a full 12 members. The objective of this step is to achieve balance and diversity of discipline, expertise, location (on and off campus) rank, etc. Thus, the P&T Committee will consist of 13 voting members, including the Chair. No tie votes will be possible.

During the phase-in period, the Director and P&T Chair shall similarly ensure that each sub-committee is balanced by replacing members who are selected as CALS P&T representatives in section 2 above. Each sub-committee will have 4 members and a CALS representative.

4. Assistant professor observers: The SPES Director shall appoint assistant professors as non-voting members of the P&T Committee so they can gain exposure to the process.
 - a. All assistant professors will have at least one opportunity to sit as an observer at P&T Committee deliberations.
 - b. Preference should be given to faculty who are between years 2 and 4 in their tenure clock so they will have time to incorporate knowledge from this experience into their work and dossiers.
 - c. No more than 3 assistant professors should be assigned per year.
5. Role of the P&T Chair.
 - a. The Chair will organize and run meetings of the P&T Committee.
 - b. The Chair will ensure that external letters of evaluation are solicited and received (with help from P&T Committee members).
 - c. The Chair will compose the final P&T Committee letter for each candidate (with input from committee members).
 - d. The P&T Chair will serve a 1-year term and may be reelected.

P&T Process

1. Faculty who wish to apply for promotion or promotion and tenure should visit with the SPES Director and/or their AREC director in the first few months (Jan – Mar) of the year in which they intend to apply for promotion. The faculty member should also visit with the current P&T Chair. The SPES Director, P&T Chair and/or their AREC director may advise the faculty member of the prospects for P&T; it is up to the faculty member to decide if (s)he wishes to apply, unless it is his/her mandatory year.

Faculty members should consult with current P&T chair *and* sub-committee chair.

2. In March, the P&T Committee Chair informs untenured faculty members of any mandatory decision dates and solicits dossiers from any faculty members seeking non-mandatory promotion.
3. On or about June 1 (exact date specified by the Chair), the Chair receives dossiers prepared in accordance with the Provost's guidelines and distributes them to the appropriate P&T Committee members.

Sub-committee members will receive and review the dossiers.

4. In late June, the full P&T Committee will meet to review dossiers and assemble feedback that will be provided to candidates to help them improve candidate's dossiers.
 - a. For off-campus faculty, a letter will also be solicited from the relevant AREC Director.
 - b. The candidate should develop a list of three potential external reviewers. This list must be developed independently from the list generated by the P&T Committee.
 - c. The P&T Committee will develop their own list of potential external reviewers. The Chair will merge the candidate and committee lists and solicit external review letters.

Sub-committees will develop their lists of external reviewers. The sub-committee chair will merge the candidate and committee lists.

5. In early July, the candidates will submit the improved version of their dossiers to the P&T Committee Chair. Candidates should be aware that dossiers submitted at this time will be sent to external reviewers, and therefore must be in near-final review form. Dossiers will be sent to external reviewers.

The improved dossier will be provided to the sub-committee chair. The sub-committee chair will send dossiers to external reviewers.

6. On or about August 15 (exact date specified by the Chair) candidates must submit their final dossier to the P&T Committee. Dossiers must be in final form, as only specific edits are allowable subsequent to this date; for example, small corrections of substantive matters (e.g., new publications accepted, grants awards or honors).
 - a. A dossier copy will be distributed to the SPES Director.
 - b. For off-campus faculty, a copy will also be sent to the relevant AREC Director.

In mid-September, the sub-committees will meet to discuss dossiers and draft letters from the sub-committee.

7. In early October, the P&T Committee will reconvene to deliberate on the final dossiers and external letters. Any letters from AREC Directors will also be considered at this time.
 - a. The P&T Committee will conduct a final detailed review and discussion of each dossier. This will include an initial non-binding vote, an opportunity for in-depth discussion, and a final vote.

When sub-committees are involved, the sub-committee chairs will present the dossiers that have been considered by their sub-committees. All P&T Committee members will have the opportunity to discuss and vote. The sub-committees will draft letters summarizing their discussions that will be provided to the P&T Committee and Chair.

- b. The Chair (assisted by P&T Committee members) will compose the required letters from the SPES P&T Committee, indicating the outcome of the deliberations. This letter, and any letter from an AREC Director, will be sent to the SPES Director.

The P&T Committee Chair may use the draft letters of the sub-committees, appropriately modified to reflect the decision of the whole P&T Committee.

- 8. The SPES Director will consider the votes and input of the P&T Committee and make an independent decision on whether to support or dissent with the recommendations. The Director will then prepare a separate letter.
 - a. The SPES Director is not a member nor an observer of the P&T Committee, but may be consulted by the P&T Committee Chair on specific questions regarding candidates or process.
 - b. The SPES Director may provide a charge to the P&T Committee at the initial meeting.
- 9. Within three business days of receiving the votes and rationales from the P&T Committee, the SPES Director will inform candidates of the P&T Committee decision (yes/no) and a summary of the basis for that decision.
- 10. For candidates proceeding to the CALS P&T review, the SPES P&T Committee Chair will meet with the candidate to review necessary changes and edits that are required/allowed in the final CALS level dossier. Major modifications to the candidate's statement will not be allowed, but simple additions and corrections of typos and/or reformatting of summary reporting tables will be allowed.
- 11. The P&T Committee will also perform required 2- and 4-year reviews of assistant professors by March 15 of each year as necessary. Assistant professors should thus prepare their dossier in the official P&T format by mid-February of the designated year. The P&T Committee will provide candidates with detailed feedback in terms of productivity and style of the document, along with making a recommendation to the Director with respect to continuance of appointment.

Sub-committees may perform these reviews for faculty hired into the former departments.

- 12. The P&T Committee will also perform reviews of *Progress Toward Promotion to Professor*. Per the university guidelines, At least one review of progress toward promotion to professor should be conducted three to five years after promotion and tenure is awarded. The faculty member will complete a draft promotion dossier to organize and present information for review. The precise timing of the dossier submission and review may be arranged with the current P&T Committee Chair. The review shall be developmental and focus on the faculty member's progress toward

promotion to professor. The developmental guidance should focus on recommended future activities and plans that will position the faculty member for promotion. All reviews must be in writing, with the faculty member acknowledging receipt by signing and returning a copy for his or her departmental file. In addition, the faculty member may request a meeting with the P&T Committee Chair and the Director to discuss the review and recommendations.