

COLLEGE OF EDUCATION

**PROCEDURES AND POLICIES
FOR
PROMOTION AND TENURE**

Replaced by new material approved on May 12, 2015.

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I. INTRODUCTION

This document describes and identifies the College of Education's process for promotion and tenure. The document agrees with the policies described in the University's approved procedures for tenure and promotion. The contents listed herein explain the requirements and procedures to be utilized by faculty and compilation of supportive evidence and appeal (reconsideration) procedures to insure due process for all members of the College of Education.

It is understood that the statements contained in this document comply with the A.A.U.P. standards for faculty promotion and tenure. These principles have served as a guide in adopting the procedures as applied to the College of Education.

Principles

1. The primary and initial recommendation on matters of promotion and tenure shall be the responsibility of faculty peers.
2. The review procedures in the decision-making process shall be open and verifiable.
3. The departmental and college procedures not determined by these promotion and tenure procedures shall be developed by the faculty composing these units or their representatives and shall be known and agreed to by the faculty.
4. Appeal processes shall be included in all promotion and tenure policies.
5. Policies for promotion and tenure shall state the specific criteria to be used in the evaluation and how they shall be applied.
6. Review processes at each level shall be limited to professionally relevant considerations, but shall include documented evidence of performance from the candidate, students, other faculty, and appropriate administrators. These shall be part of the individual application file.
7. Review processes at each level shall include appropriate evaluations of performance in teaching, service, and scholarship. These shall become part of the individual application file.
8. The entire individual application file, with all recommendations, shall be forwarded to the final university decision-making body.
9. At each level, the procedure shall provide a means to formally notify the candidates of the results of the deliberations, including the reasons for the recommendations.
10. At each level, provision shall be made for reconsideration by the same decision-making body and for appeal to the next decision-making body.
11. All procedures shall be subject to full faculty review at least every five years.
12. Throughout the process, principles of confidentiality shall be respected.

II. DEPARTMENT PROCEDURES

- A. Each department shall establish procedures for: 1) selecting a committee to consider promotion and tenure, and 2) operational guidelines for the committee. These shall include procedures for initial consideration, reconsideration and appeal.
- B. Procedures shall be approved by a majority vote of the members of the department (as defined for Faculty Senate election purposes) and reviewed by the Dean of the College for compliance with the University and College documents. They shall be filed in the Dean's office and the Departmental office.
- C. Changes in the procedures shall be made by a majority vote of the members of the department and reviewed by the Dean by May 1 prior to the academic year in which they are to take effect.
- D. The department Chair cannot serve as chair of the committee but can serve on the committee as a non-voting member.
- E. The committee shall be elected by September 10 for that academic year. The committee shall consist of no fewer than three voting members, elected from the full-time tenured faculty.
- F. If a faculty member (or a member of his/her immediate family) is being considered for promotion and/or tenure, that person shall not serve on the committee.
- G. The committee shall use the University form for its report for recommending promotion and/or tenure.
 1. If the department Chair's recommendations coincide with findings and recommendations of the department committee, the Chair will indicate approval of that action.
 2. If the department Chair disagrees with the committee's findings, the Chair will so indicate on the form, and will attach to the form the rationale for disagreeing with the committee's recommendation.
 3. The department Chair, together with the chair of the departmental committee, shall review the recommendation of the department Chair and the recommendation of the departmental committee with the candidate, provide the candidate with a copy of the report (and all addenda), and secure the candidate's signed receipt.
- H. The department Chair will submit all recommendations pertaining to promotion and tenure to the Dean's office by December 1.
 1. The Dean will submit the recommendations approved by the departmental committee and/or by the department Chair to the College Promotion and Tenure Committee.
 2. The Dean will submit recommendations disapproved by both the departmental committee and the department Chair to the College Committee only at the request of the faculty member under consideration. The faculty candidate who has been disapproved by both the departmental committee and the department Chair should request a review by the College Committee only if the candidate believes the case has not been adequately considered at the departmental level.

- I. All recommendations will be submitted in a folder which shall include the University form and any statement or material the candidate chooses to submit, providing the departmental committee and the department Chair are fully aware of these items.
- J. A faculty member may request reconsideration of the decision of the department committee or department Chair by submitting a written notification to the chair of the committee and the department chair, with a copy to the Dean, within five days¹ of notification and shall include relevant evidence.
 - 1. The committee and/or the department Chair shall reconsider the recommendation in light of the information provided in the statement of the faculty member. The committee and/or the department Chair shall consider any new information provided, shall meet with the faculty member, and shall record the confirmed or revised recommendation.
 - 2. The faculty member shall be notified by the department Chair of the results of the reconsideration in sufficient time to provide the faculty member an opportunity to request an appeal. Decisions on the reconsideration shall be processed in the same manner as uncontested decisions - through the department Chair to the Dean.
- K. If the faculty member determines that the decision should be appealed, within five days, he or she shall submit a formal statement appealing the decision to the Dean, with a copy to the department Chair. The statement shall detail the grounds for the appeal and shall include relevant evidence. The Dean shall present the appealed recommendation with the statement of appeal to the College committee on promotion and tenure along with other recommendations from within the College.

III. COLLEGE PROCEDURES

- A. The College Committee shall be responsible for examining promotion and tenure recommendations submitted by the Dean to assure that the departments apply standards equitable and that approved criteria and procedures have been followed. It shall also be responsible for seeing that the promotion and tenure recommendations concur with the goals and needs of the College.
- B. The College Committee shall consist of two faculty members elected from each department and two members appointed at-large by the Dean. The committee shall not exceed more than 10 members. The Dean shall serve as a non-voting member.

¹Throughout this document within five days¹ shall be interpreted to mean no later than the fifth calendar day following the day of notification. If the fifth day occurs on a weekend or holiday, the request for reconsideration or the statement of appeal shall be due on the first day on which University administrative offices are open.

C. Faculty members shall be elected by the following method:

1. The faculty of each department shall elect two members and one alternate from its full-time tenured teaching faculty. Members shall not serve on the departmental committee and the College Committee during the same academic year. Anyone who will be considered for promotion and/or tenure shall not serve. Neither will any one serve if a member of his/her immediate family will be considered for promotion and/or tenure.
2. The elected members shall serve for one year.
3. Committee must be elected by August (opening week) of the year it is to function.
4. The Committee shall elect an elected or at-large member to serve as chair of the committee. In a non-voting capacity the Dean shall attend all College Promotion and Tenure meetings to assure all University and College policies are followed.

E. Initiation of Evaluations

1. By September 10, faculty members who wish to be reviewed for promotion must address a letter to the department Chair with a copy to the Dean requesting an evaluation by the department's Promotion and Tenure Committee.
2. By September 10, the Dean will provide the department Chairs with a list of faculty members in their fifth year of service so that their evaluations for tenure recommendations may begin.

F. Procedures of the College Committee

1. Members of the College Committee shall have access to the promotion and tenure folders upon their receipt by the Dean.
2. The College Committee shall begin its review of the recommendations by December 2.
3. The Committee may ask for additional information about some candidate from the departmental committee.
4. Decisions shall be made by secret ballot and by majority vote. A tie vote will be considered a negative recommendation.
5. The College Committee Chair shall in writing apprise each candidate (with a copy to the Dean) of the College Committee's recommendation for approval or disapproval of their application(s) for promotion and/or tenure.
6. The College Committee Chair submits recommendation(s) of the College Committee to the Dean.
7. The Dean shall present independent views if they differ from the recommendation of the College Committee.

8. The Dean of the College shall in writing apprise each candidate of the Dean's recommendation for approval or disapproval of their application(s) for promotion and/or tenure.
9. The Dean shall forward recommendations to the Vice-President no later than January 20.

G. Reconsideration and Appeal of the College Committee.

1. A faculty member may request reconsideration of the decision of the College Committee by submitting a written request to the Chair of the Committee and Dean, with copies to the Provost and Vice-President of Academic Affairs and Research and Department Chair, within five days of notification of the decision. The request shall detail grounds for reconsideration and shall include relevant evidence.
2. The Committee shall reconsider the recommendation in light of the information provided in the request of the faculty member. The Committee shall consider any new information provided and shall meet with the faculty member. The College Committee shall decide by secret ballot and by majority vote. The College Committee Chair shall record the confirmed or revised recommendation and shall submit the recommendation to the Dean.
3. Decision on the reconsideration shall be processed in the same manner as uncontested decision--through the Dean to the Provost and Vice-President. The faculty member shall be notified by the College Committee Chair, in the presence of an elected representative from the College Committee, of the results of the reconsideration in time to provide the candidate with the opportunity to request an appeal.
4. If the faculty member determines that the decision should be appealed, within five days he/she must submit a formal statement of appeal to the chair of the University Committee on Promotion and Tenure, with a copy to the Dean and to the Provost and Vice-President for Academic Affairs and Research. The statement shall detail grounds for the appeal and shall include relevant evidence.

H. Reconsideration and Appeal of the Dean's Recommendation.

1. A faculty member may request reconsideration of the decision of the Dean by submitting a written request to the Chair of the Committee and Dean, with copies to the Provost and Vice-President of Academic Affairs and Research and Department Chair, within five days of notification of the decision. The request shall detail grounds for reconsideration and shall include relevant evidence.
2. The Dean shall reconsider the recommendation in light of the information provided in the request of the faculty member. The Dean shall consider any new information provided, shall meet with the faculty member, and shall record the confirmed or revised recommendation. The Dean may request such interviews and/or additional information as may be necessary to resolve the decision.
3. Decision on the reconsideration shall be processed in the same manner as uncontested decision--through the Dean to the Provost and Vice-President. The faculty member shall be notified by the Dean in the presence of the Chair of the College Committee of the results of the reconsideration in time to provide the faculty member with the opportunity to request an appeal.

4. If the faculty member determine that the decision should be appealed, within five days he/she must submit a formal statement of appeal to the chair of the University Committee on Promotion and Tenure, with a copy to the Dean and to the Provost and Vice-President for Academic Affairs and Research. The statement shall detail grounds for the appeal and shall include relevant evidence.

IV. TIME FRAME

A time frame for the promotion and tenure process will be published for the current academic year by the first faculty meeting of the year.

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APPENDIX A

Candidates' Responsibilities in the Review Process

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The material contained in Appendix A identifies the terminology and expectancies related to promotion and/or tenure. It provides for faculty the procedures utilized to compile and collect data, materials that are considered relevant and clarification of supportive type documents.

This is a general guideline. It is suggested that each department within the College of Education modify the contents of this supplement to meet the needs of the respective department.

A. PROMOTION

The primary responsibility rests with the potential candidate to provide information and materials which will make the departmental evaluation as thorough as possible.

1. Candidates should review the "Criteria and Procedures for Promotion" in Faculty/Staff Handbook to determine whether they meet the requirements of degrees, years of service, rank, and all other criteria for consideration to the proposed rank. Candidates may always consult with the departmental Chair and the Dean for verification, interpretation and information.
2. Faculty members must initiate their reviews for promotion by addressing a letter to the departmental Chair. The letter must include such factual information as academic degrees, years at Eastern, years in present rank and any other pertinent information. In addition, the letter should include any special equivalences or interpretations which the committee should consider. A copy should be sent to the Dean.
3. The departmental Promotion and Tenure Committee will ask for any necessary clarification regarding the criteria and will provide candidates with a blank report form or direct the candidate to secure the form from the appropriate database. Candidates will be responsible for completing the form as a factual instrument and as an opportunity for self-evaluation. The committee will concentrate its attention on the achievements since the last formal review, although candidates may wish to include prior material and activities in order to provide a record of continued achievement. Candidates should also provide supporting documents.

B. TENURE

Unlike the process for promotion, the review for tenure is automatic. The candidate will be evaluated in the fifth year of service for either a tenured or a terminal contract in the sixth year. No application is necessary; otherwise, the candidate's responsibilities outlined in "3" above will be identical.

C. DEFINITIONS AND EXPLANATIONS

Items 1-4 offer working definitions of terms used in the criteria. Items 5-8 are various policies which have been in effect for some time.

1. "The completion of educational preparation" usually means not only having earned the terminal degree but also having undertaken further study (formal and informal or both) beyond that degree. In a few of the performance areas, verified professional experiences and achievements may be interpreted as contributing to the completion of an individual's educational preparation in absence of the terminal degree. Whoever makes such interpretations, however, must be aware that more is expected than professional competence in a performance area. Since any

University faculty member is expected to perform broad responsibilities, an appropriate breadth of educational preparation is needed.

2. "Service" includes public, community, departmental, College, University and professional service as evidenced by contributions to those areas. Merely serving on committees at various levels shows some evidence of service, but providing leadership through distinguished contribution makes a more meaningful statement of "achievement." While all public and community service may be included, only that which relates to one's area of professional competence should have special weight.
3. "Scholarship" includes formal research leading to publication in appropriate professional media. It also includes research necessary for creative, artistic public presentation or performance. "Scholarship" may also include preparation for presentations to professional gatherings. In a University setting, the term "scholarship" is appropriate, then, to public activity which is motivated by the desire to share with professional colleagues some aspect of one's professional experience, knowledge and ability. This broad usage, however, carries no implication of quality or degree; each scholarly activity requires its own qualitative evaluation appropriate to its specialization and medium. For a scholarly activity which has not been evaluated, selected, or refereed, an evaluation of its quality should be conducted by the departmental committee or (when warranted by specialized subject matter) by solicited off-campus expert opinion.
4. In all promotion considerations, time is of secondary importance. Because faculty will not progress to a higher rank merely with the passage of time, a demonstrable record of continued development toward the professional ideal is essential. The years-in-rank requirements of our "Criteria" should be considered the minimum times for the department to assess the candidate's development, not waiting periods after which candidates become qualified.
5. In both promotion and tenure cases, the year in which the evaluation occurs is considered a full year of service, even though the evaluation process starts at the beginning of that year.
6. Leaves of absence without pay do not count toward promotion or tenure.
7. The degree requirements must be completed by August 15 of the academic year in which a faculty member may be evaluated for a promotion requiring that degree.
8. In the University criteria document, "ABD" is interpreted to mean that all course work for the terminal degree has been completed and that all language and qualifying examinations have been passed.

D. PROMOTION AND TENURE CRITERIA

Faculty members are advised to review the Criteria for Promotion and Tenure in the Faculty Handbook, Eastern Kentucky University, to determine eligibility for promotion. These criteria detail the minimum requirements related to educational qualifications, experience, and time in rank. The following matrix gives more specific guidelines for a candidate to consider as the promotion and tenure materials are prepared.

Promotion Criteria

Tenure and/or Promotion to Assistant Professor

Teaching	Service	Scholarship
Average to above average with evidence	Average with evidence in at least three categories or Above average in one category and average in one other category with evidence	Average with evidence in two or more categories

Promotion to Associate Professor

Teaching	Service	Scholarship
Average to above average overall with evidence and Above average with evidence in two of the three categories	Average to above average overall with evidence and Above average with evidence in two of the four categories	Above average in publications with evidence. and Above average with evidence in two of the other four categories

Promotion to Professor

Teaching	Service	Scholarship
Above average overall with evidence and Outstanding in one of the three categories and above average in one other category with evidence	Above average overall with evidence and Outstanding in one of the four categories and above average in one other category with evidence	Above average to outstanding overall with evidence and Outstanding in publications with evidence and Above average with evidence in two of the other four categories

Teaching Matrix

Categories	Outstanding	Above Average	Average
Instructional Planning	Demonstrates well-organized approach to teaching that places emphasis on relationship and application of knowledge and skills and models of Abest practices@ in the professions	Demonstrates an organized approach to teaching that places emphasis on the relationship and application of knowledge and skills.	Demonstrates an organized approach to teaching
	Establishes reasonable quality oriented standards of performance, shares those standards with students, and evaluates objectively according to those standards	Establishes reasonable standards of performance, shares those standards, and evaluates according to the standards	Establishes evaluation criteria for course work
	Demonstrates appropriate planning and implementation of instructional goals, well-designed learning activities, and student assessment in distance learning courses (e.g., two-way video, online).	Demonstrates appropriate planning and implementation for course management and teacher, content, and student-student interaction in distance learning courses (e.g., two-way video, online).	Moving toward integration of technology into teaching and learning activities
	Instructional plans reflect understanding of the function of his/her course(s) within the program, department, college and university	Instructional plans reflect understanding of the function of his/her course (s) within the program, department and college	Instructional plans reflect an understanding of the function of his/her course(s) within the program and department
Instructional Effectiveness	Demonstrates exceptional teaching methods/skills	Demonstrates good teaching methods and skills for all of his/her courses	Demonstrates good teaching methods and skills for most of his/her courses
	Majority of student evaluations (IDEA and comments) rate teaching style as above average to high*	Majority of student evaluations (IDEA and comments) rate teaching style as average to above average*	Majority of student evaluations (IDEA and comments) rate teaching style as average*
Instructional Effectiveness	Peer evaluation and/or department chair evaluations rate teaching as above average to high	Peer evaluations and/or department chair evaluations rate teaching as average to above average	Peer evaluations and/or department chair evaluations rate teaching style as average
Academic advising	Majority of advising evaluations rate advising skills as average to above	Majority of advising evaluations rate	Majority of advising evaluations rate

Categories	Outstanding	Above Average	Average
	average*	advising skills as average*	advising skills as adequate*

*Does not apply to Model Lab School Faculty.

Good Teaching Methods may include but are not limited to:

- § Presents material in a manner that brings attention immediately to the topic, problem area or skill
- § Is enthusiastic about teaching and able to hold the students= attention by gesture, voice, expressions, and general delivery.
- § Uses a variety of teaching styles and techniques appropriately and models Abest practices@ for his/her specific area of teaching
- § Returns exams, quizzes, homework projects within a reasonable span of time
- § Meets classes on time
- § Defines objectives for each class section
- § Effectively organizes learning situations to meet class objectives
- § Keeps students informed of their responsibilities
- § Provides students with timely and meaningful feedback

Technology may include but is not limited to:

- § Distance education (KTLN and online classes)
- § Blackboard
- § Use of word processing, database, spreadsheet, and multimedia software
- § CD Rom case studies
- § Email and listservs for discussion groups and class communication
- § Use of online library resources
- § Use of the internet as a research resource
- § Adaptive/assistive devices/equipment
- § Smart Classroom

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Service Matrix

Categories	Outstanding	Above Average	Average
Service to the University: Committee Work	Demonstrates leadership at college or university level as committee chair and service on all committee levels.	Serves on department and college level committees. Demonstrates leadership as chair of one or more committees or subcommittees.	Serves on department level committees and one or more college or university level committees.
Service to the University: Other	Demonstrates leadership and/or extensive work in service activities, such as those areas listed in AAverage@ and AAbove Average@ and mentoring new college teachers.	Involved in college and/or department level service in areas such as those listed under AAverage,@ assisting part-time colleagues, and sponsoring student groups. Willingness to provide professional development for colleagues that increases the effective and progressive use of technology.	Demonstrates willingness to provide service to the department in such areas as supervising interns, assisting colleagues, and providing professional development.
			Demonstrates willingness to provide service to the department in such areas as supervising student teachers, practicum students, and preservice teachers; assisting colleagues, and providing professional development.*
Service to the profession.	Demonstrates leadership and/or extensive work for professional organizations. Provides professionally-related inservice, workshops, and consultation to schools and other organizations.	Shows active support for professional organizations through committee work and/or leadership roles. Provides professionally-related inservice, workshops, and consultation to schools and other organizations.	Member of professional organizations and attends state conferences.
Professionally-related service to the community and service to community agencies.	Demonstrates leadership and/or extensive involvement in community service.	Is consistently involved in more than one community service activity.	Has been involved in one community service activity.

*Applies only to Model Laboratory School faculty

Scholarship Matrix

Categories		Outstanding	Above Average	Average
Publications ¹ (Refereed)	Articles § Research § Scholarship of Teaching § Bibliographical Essay § Proceedings/Annual	Publishes at national/ international level	Publishes at regional level	Publishes at state/local level
	Books Monographs	Entire book or editor of book	Book chapter(s)	Refereed/invited book review
	Journal Editor	National level	Regional/state level	
Presentations	Professional Organizations § Paper § Workshop § Symposium § Seminar	Juried at national/ international level	Juried at regional level	Juried at state/local level
	Invited ² § Participation in forums § Television presentations § Keynotes	National/international level	Regional/state level	Local level
	Expert Witness ²	National/ international level	Regional/state level	Local level
Grants/contracts ³		Externally Funded	Externally/internally Funded	Externally/internally Not Funded
Creative Activity ²	§ Performances § Exhibits § Books for Youth § Compositions	Juried at national/ international level	Juried at regional/state level	Juried at local level
Technological Achievements	§ Web Sites (Creation) § Video § Multimedia § On-line courses	Content and technologically reviewed, inside and/or outside university	Content and technologically reviewed, inside and/or outside college	Content and technologically reviewed, inside and/or outside department

Scholarship Notes:

1. To be considered as refereed or juried these tests must be passed:
 - § Jury Test - published materials are blind reviewed by professionals and/or utilize editorial review boards (applied to only specific content areas).
 - § Vanity Test - the publications receives no more than 15% of the cost of publications from the authors (or the equivalent of the cost of reprints.)
2. Quality Test - professionals in the field should advise as to the rigor of the invited presentations and/or creative activity.
3. Quality Test - professionals in the field should advise as to the rigor of the competition and the significant benefits to the department, college and/or university.

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