



Eastern Kentucky University  
Policy Library

## Promotion and Tenure

### Policy 4.6.4

Volume 4, Academic Affairs

Chapter 6, Faculty

Section 4, Promotion and Tenure

**Approval Authority:** Board of Regents

**Responsible Executive:** Provost/Vice President for Academic Affairs

**Responsible Office(s):** Provost/Vice President for Academic Affairs, College Deans, Department Chairs

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**Next Review Date:** Fall 2013

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## Policy Statement

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Eastern Kentucky University, as a matter of principle, complies with the AAUP standards for faculty promotion and tenure. These standards establish basic policy and procedural expectations for a wide variety of institutions of higher education and for disciplines within universities while providing for appropriate professional flexibility at departmental levels. It is with this understanding that the following statements of principles and procedures are set forth to guide the faculty and the administration.

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## Purpose

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This policy ensures that the University has established criteria and processes by which the awarding of tenure and/or promotion may be evaluated. The policy ensures that these criteria are clearly articulated and that all processes related to the evaluation of those criteria are transparent and accessible to all persons in the university community.

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## Entities Affected by the Policy

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- University-level administrators
- Colleges
- Departments
- Faculty

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## Who Should Read the Policy

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- Provost and Vice President for Academic Affairs
- Deans
- Department Chairs
- Faculty

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## Policy Principles

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1. Faculty peers elected to serve on departmental committees shall have the primary responsibility for evaluating candidates in their department for promotion and tenure. Throughout the promotion and tenure process, faculty and administrators shall recognize the primacy of departmental recommendations.
2. The review procedures in the decision-making process shall be open, documented, and verifiable.
3. The department 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. The documented evidence shall be part of the individual application file.
7. Review processes at each level shall include appropriate evaluations of performance in teaching, scholarship, and service. These evaluations shall become part of the individual application file.
8. The case for or against promotion and/or tenure will be stipulated in writing and found in the candidate's dossier at every step in the process.
9. At each level, the procedure shall provide a means to notify the candidates formally of the results of the deliberations, including the reasons for the recommendations.
10. At each level, provisions for appeal shall include an opportunity for the decision makers to reconsider the decision prior to referral to another 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.
13. Membership on college and university level promotion and tenure committees shall be limited to tenured faculty members with the rank of Associate or Full Professor.
14. Departments may mandate external review for promotion and tenure if they so choose and are approved by their college P&T Committee.
15. Department chairs, college deans, and the Provost shall NOT serve as voting members on promotion and tenure committees at any level.
16. No individual participant in the process may VOTE at more than one level of the process.
17. Committees shall be comprised of members elected by their peers.
18. Review of applications shall occur in the following way:
  - a. If all recommendations are positive, the sequence of reviews of all applications for promotion and tenure are as follows: department committee, Department Chair, college promotion and tenure committee, Dean, Provost, President, and Board of Regents.
  - b. If a candidate is not recommended for tenure by the department committee, Department Chair, college promotion and tenure committee, or Dean, the application will automatically be reviewed by the University Committee on Promotion and Tenure prior to being forwarded to the Provost.
  - c. If a candidate is not recommended for promotion by the department committee, Department Chair, college promotion and tenure committee, or Dean, the application shall not be considered further, unless the candidate appeals to the next level. If the candidate does appeal, the sequence of the process shall follow that stated in b.

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## Policy Principles, continued

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### Principles for Establishing Criteria for Promotion and Tenure

1. Criteria for promotion shall be distinct from criteria for tenure.
2. The university shall identify university-wide criteria for tenure and promotion and shall inform faculty of these criteria.
3. Consistent with the university criteria, each college shall identify college-wide criteria for promotion and tenure within the areas of teaching, scholarship, and service.
4. Evaluations of teaching, research, and service will be conducted on a basis consistent with the percentage of each faculty member's respective appointment, if part of a shared appointment.
5. Consistent with university and college criteria, each department shall identify specific criteria for promotion and tenure within the areas of teaching, scholarship, and service.
6. All criteria shall reflect good practices at comparable institutions, shall allow for diversity in faculty contributions, and shall reflect EKU's traditional emphasis upon effective teaching.
7. Criteria should also be articulated for special units such, as Model Lab, the Libraries, etc.
8. Criteria shall be submitted for regular (five year) review and approval by appropriate committee(s) and/or administrator(s).
9. Criteria at all levels will recognize the primacy of teaching over service or scholarly/creative endeavor.

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## Provisions for Tenure

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The provisions for tenure are applicable to each president, professor, associate professor, assistant professor, and instructor. A faculty member shall be eligible for tenure after completing a six-year probationary period of continuous full-time service and attaining the rank of assistant professor or above. If, by the end of the six-year probationary period, promotion beyond the rank of instructor cannot be justified or if for any other reason a faculty member is not recommended for tenure, a one-year terminal contract shall be tendered. At the time of initial appointment, and upon the recommendation of the President, the Board of Regents may accept service at another institution in lieu of any part of the six-year probationary period at this institution.

If the employment of a faculty member serving during the probationary period is to be terminated at the completion of the current annual contract, that faculty member shall be given written notice of nonreappointment, or of intention not to recommend reappointment, in accordance with the following timetable:

- A. Not later than March 1 of the first academic year of service, if the appointment expires at the end of that year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination.
- B. Not later than December 15 of the second academic year of service, if appointment expires at the end of that year; or, if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination.
- C. At least twelve months before the expiration of an appointment after two or more years at the institution.

Any faculty member who intends to terminate employment at the end of the current annual contract has a strong professional obligation to indicate this in writing to the President of the

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## Provisions for Tenure, continued

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University at the earliest possible date. In no case should this date be later than March 1 or 30 days after receipt of the subsequent year's contract, whichever comes later.

Attainment of tenure status by a faculty member shall remain in effect unless just cause shall be shown for terminating employment. Tenure status shall remain in force during good behavior and efficient and competent service, and a tenured faculty member shall not be terminated except for any one of the following causes: incompetency, neglect of or refusal to perform assigned duties, or immoral conduct. In addition, bona fide financial exigencies may be cause for termination of employment.

Should the institution determine that a tenured faculty member is to be discharged, a written notice of the cause(s) for such action shall be given to the faculty member. Tenured faculty receiving such a notice have the right to be heard in person or by counsel before the Board of Regents. Within 15 days after receiving a notice of charges, the individual concerned shall send a written request for a hearing to the secretary of the Board of Regents. The Board of Regents shall set the time of the hearing no sooner than 15 days nor later than 45 days after receiving the request.

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## Tenure Appointments

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### **Applicability**

The provisions for tenure are applicable to each president, professor, associate professor, assistant professor, and instructor.

### **Eligibility**

A faculty member shall be eligible for tenure after completing a six-year probationary period of continuous full-time service at Eastern and attaining the rank of assistant professor or above. Leaves of absence may not be counted toward the six years of full-time service, but they shall be considered as continuous service. A faculty member may thus take a year's leave of absence after four years, return, and after an additional year be eligible for tenure. Previous service in other institutions normally does not count toward tenure requirements. For faculty employed at mid-year, the probationary period does not begin until the beginning of the next academic year.

### **Adjustments to Probationary Period**

A faculty member may request an adjustment to his/her probationary period for extenuating circumstances (i.e., a need to care for a family member; an event beyond the faculty member's reasonable control affecting his/her research; etc. ). Such an adjustment may occur regardless of whether the faculty member may have been granted leave of any kind. The request or any approved adjustment shall in no way affect the deliberations or demands of the tenure process and does not relieve the faculty member from fulfilling his/her regularly assigned duties.

Requests for an adjustment to the probationary period must be submitted in writing to the chair of the department as soon as possible after the occurrence of extenuating circumstances. The request shall be forwarded via the chair and the dean, with the recommendations or comments to the contrary of each, to the Provost for review and any approval. Adjustments may be granted for a maximum of two one-year periods.

### **Tenure Recommendations**

Recommendations for tenure originate in the department in which tenure is granted. The President recommends approval of tenure to the Board of Regents, which has the authority to grant tenure.

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## Application for Tenure and Promotion

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1. Since both rank and tenure are academic designations within the University, they shall be awarded only to personnel who meet the qualifications and criteria for rank or tenure in an existing department or college, whose credentials are approved by the department and college, and who are qualified to perform at that rank in the academic department.
2. A prospective faculty of the University who is being considered for academic rank and/or tenure will be awarded the rank and/or tenure in an existing department only with the prior concurrence of that department.
3. The Provost and deans shall ensure that agreed-upon exceptions to tenure and promotion policy are documented at the time of a faculty member's initial appointment, or thereafter, in a full-time, tenure track position so that such contractual exceptions are recognized and applied in the review of application for tenure and promotion.
4. Currently employed faculty who hold academic rank, but not in an established department, must seek promotion or tenure through the academic department and college most closely related to their educational qualifications and/or professional responsibilities.
5. Each faculty member in a shared appointment, who is on a tenure-track appointment, shall be considered for tenure and/or promotion independently of the other faculty member with whom they are sharing the position.
6. Each faculty member in a tenure-track shared position shall be eligible for tenure after completing the standard probationary period required by ECU plus an additional two (2) years. Exceptions to this may be negotiated if the faculty member has had previous full-time service at ECU or another university.
7. The years of service requirement for a faculty member in a shared appointment who is seeking promotion to any of the ranks shall be the same as for a faculty member whose appointment is not shared, plus an additional two (2) years. Exceptions to this may be negotiated if the faculty member has previous full-time service at ECU or another university.

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## Criteria for Tenure and Promotion

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### CRITERIA FOR TENURE

Faculty peers at the department, college, and university levels have the main responsibility for recommendations concerning tenure. Chairs, deans, and the Provost are responsible for reviewing all applications for tenure and making separate recommendations. The President shall present recommendations to the Board of Regents, which has the authority for final decisions concerning tenure. Recommendations and decisions shall be based on the evaluation of candidates' performance in the areas of teaching, scholarly-creative activities, and service, with recognition that at ECU effective teaching is emphasized.

Departments shall be required to identify and defend criteria for tenure. These criteria shall reflect the broad criteria established for the university and shall reflect good practice in the discipline, as well as practices at comparable regional comprehensive universities. The departmental criteria shall be reviewed for approval by the college dean and by the college and university promotion and tenure committees, and recommendations shall be presented to the Provost and President for approval. A systematic review and approval of departmental criteria shall be conducted a minimum of every five years. Throughout the decision making process, faculty and administrators shall recognize the primacy of departmental recommendations.

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## Criteria for Tenure and Promotion, continued

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The criteria that follow are broad criteria for use university-wide. Within these guidelines, departments shall determine specific criteria, which as approved, shall be used in evaluation of candidates for tenure. The following criteria apply to recommendations and decisions concerning tenure. Other criteria may apply to decisions concerning promotion.

1. Terminal degree, as defined by the candidate's department
2. Probationary period of six years, unless otherwise specified in writing at the time of initial appointment to a tenure-track position
3. Performance in the areas of teaching, scholarly/creative activities, and service that meets established department criteria.
  - 3.1 Teaching – a continuing record of successful teaching; demonstrated, for example, through student opinion of instruction, peer observations/evaluations, course outlines, assignments, students' work, views of alumni, and other evidence required by the department.
  - 3.2 Scholarly/Creative Activities – evidence of scholarly/creative activities relevant to the faculty member's appointment; demonstrated, for example, through an active program of research, participation in professional development to enhance scholarly/creative activities, creative products or performances, publications, presentations, exhibitions, grant proposals/awards, professionally related innovations, and other forms of scholarship of discovery, interpretation, application, or pedagogy.
  - 3.3 Service – evidence of effective, professionally-related service; demonstrated, for example, by service in the department, college, or university; service in the profession; and, as appropriate, professionally-related service in the community.

### CRITERIA FOR PROMOTION

Faculty peers at the department, college, and university levels have the main responsibility for recommendations concerning promotion. Department chairs and college deans are responsible for presenting separate recommendations. The Provost and President shall present recommendations from the department and college levels and their own recommendations to the Board of Regents, which has the authority for final decisions concerning promotion. Recommendations and decisions shall be based on the evaluation of candidates' performance in the areas of teaching, scholarly-creative activities, and service, with recognition that teaching is a priority at ECU.

Departments shall be required to identify specific criteria for promotion. These criteria shall reflect the broad criteria established for the university and shall reflect good practice in the discipline, as determined by appropriate professional organizations and comparable regional comprehensive universities. The departmental criteria shall be reviewed for approval by the college dean and by the college and university promotion and tenure committees, and recommendations shall be presented to the Provost and President for approval. A systematic review and approval of departmental criteria shall be conducted a minimum of every five years.

The criteria that follow are broad criteria for use university-wide. Within these guidelines, departments shall determine specific criteria and shall evaluate candidates for promotion in terms of the criteria. The following criteria apply to recommendations and decisions concerning promotion. Other criteria may apply for decisions about initial appointments. From rank to rank, criteria reflect increasing expectations within the same areas of performance considered for promotion in rank.

#### *For Promotion to Assistant Professor*

- 1.1 **Educational qualifications:** terminal graduate degree in appropriate discipline
- 1.2 **Time in rank:** minimum of one year of experience at ECU prior to applying for promotion or a term of full-time service agreed upon and documented at the time of initial appointment.
- 1.3 **Experience:** evidence of successful teaching and/or related work experience (demonstrated, for example, through student opinion of instruction, at least one other systematic form of evaluation, course outlines, assignments, students' work, views of alumni, or other evidence requested by the department).

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## Criteria for Tenure and Promotion, continued

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- 1.4 Demonstrated engagement in scholarly/creative activities relevant to the faculty member's appointment. Examples of activities include an active program of research, participation in professional development, creative products or performances, publications, presentations, or other forms of scholarship of discovery, interpretation, application, or pedagogy.
- 1.5 Satisfactory performance in professional-related service in the department, college, or university; in the profession; and, as appropriate, in the community.

### *For Promotion to Associate Professor*

- 1.1 **Educational qualifications:** terminal graduate degree in appropriate discipline
- 1.2 **Time in previous rank:** minimum of three years of full-time service at EKU or a term agreed upon and documented at the time of initial appointment; candidates may apply for promotion in the third year.
- 1.3 **Experience:** sustained record of successful teaching (demonstrated, for example, through student opinion of instruction, peer observations/evaluations, course outlines, assignments, students' work, views of alumni, and other evidence requested by the department).
- 1.4 Effective contribution to teaching at EKU; for example, revision of curriculum, innovations in teaching, involving students in teaching, teaching in alternative modes and settings, etc.
- 1.5 Record of successful peer-reviewed scholarly/creative activities, some accomplished at the state, regional, national, or international level. Examples of activities include creative products or performances, professionally related innovations, grant proposals/awards, publications, presentations, exhibitions, or other forms of scholarship of discovery, interpretation, application, or pedagogy.
- 1.6 Record of effective professionally related service in the department and in the college or university; in the profession; and, as appropriate, in the community.

### *For Promotion to Professor*

- 1.1 **Educational qualifications:** terminal graduate degree in appropriate discipline
- 1.2 **Time in previous rank:** minimum of five years of full-time experience in rank at EKU or a term agreed upon and documented at the time of initial appointment; candidates may apply for promotion in the fifth year.
- 1.3 **Experience:** sustained record of superior teaching (demonstrated, for example, through student opinion of instruction, peer observations/evaluations, course outlines, assignments, students' work, views of alumni, and other evidence requested by the department).
- 1.4 Additional effective contributions to teaching; for example, innovations in teaching, revision of curriculum, team teaching, involving students in teaching, teaching in alternative modes or settings, etc. Demonstration of leadership in teaching.
- 1.5 Sustained record of successful peer-reviewed scholarly/creative activities, some accomplished at the state, regional, national, or international level. Examples of activities include creative products or performances, professionally related innovations, grant proposals/awards, publications, presentations, exhibitions, or other forms of scholarship of discovery, interpretation, application, or pedagogy.
- 1.6 Sustained and broad record of effective professionally related service at multiple levels in the university and in the profession; and, as appropriate, in the community. Demonstration of leadership in service.

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## Definitions

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### **Full-time Teaching Faculty**

For the purpose of this policy, full-time teaching faculty is defined full-time employees of the University who hold the rank of Professor, Associate Professor, Assistant Professor, or Instructor, and whose faculty-load assignment includes 50 percent or more teaching and/or research as shown by the Faculty Load Analysis or comparable report for the fall semester for each academic year or who are members of the

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	<u>Library Faculty.</u>
<b>Provost</b>	Refers to either the Provost and Vice President for Academic Affairs or his/her designee.
<b>Terminal Degree</b>	The terminal degree is generally, for teaching purposes, the highest academic degree awarded in a field. In most cases, the terminal degree will be the doctorate; however, sometimes an advanced professional degree or a master's degree will be the terminal degree in a particular field (e.g. MFA in Creative Writing, MLS in Library Science, etc.). On rare occasions, the terminal degree may be a bachelor's degree in the field. A distinction is made here between a terminal degree appropriate for teaching in higher education and a degree appropriate for autonomous practice outside the academy.
<b>University</b>	Eastern Kentucky University
<b>Within Five Days</b>	Throughout this document "within five days" 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.

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## Responsibilities

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<b>Candidate for Tenure/ Promotion</b>	<p>The candidate for tenure/promotion is responsible for the knowing and adhering to the principles and criteria set forth in this policy. Specifically</p> <ol style="list-style-type: none"> <li>1. For TENURE, it is the responsibility of the candidate to submit an application. Failure to do so will result in a terminal contract. Appropriate forms shall be made available in department offices.</li> <li>2. For PROMOTION, it is the responsibility of the candidate to initiate the process: the candidate must request a departmental review by presenting a letter to the department chair, with a copy to the dean, no later than September 10 of the year of review.</li> <li>3. For both promotion and tenure, it is the responsibility of the candidate to review the Faculty Handbook for University policies on these matters. It is also the candidates' responsibility to provide the department committee with materials listed. The committee is not responsible for collecting these materials. In the process of being reviewed for promotion or tenure, the candidates necessarily must allow their professional materials to be open to their peers on the various promotion and tenure committees.</li> <li>4. Department committees may set additional requirements for documentation materials; however, all candidates will provide the committees with the materials listed below:             <ol style="list-style-type: none"> <li>a) Accurate factual data required by the application form, which is to be provided by the chair of the department at the candidate's request.</li> <li>b) Statements by the candidate in support of the application for promotion or tenure:                 <ul style="list-style-type: none"> <li>• In the category of teaching, the candidate should provide any potentially useful information, such as teaching philosophy, descriptions of unique methods or experiments, and attitudes toward evaluation of student work.</li> <li>• In the category of service, the candidate should provide complete details, including documentation, if available, of service to the University, professional and/or community organizations.</li> <li>• In the category of scholarly and/or creative achievements, the candidate should provide accurate and complete details of works published, papers or other presentations, creative performances, exhibitions, grant and contract activities, etc., as appropriate to the academic field. Details such as dates, places, audiences, and professional organizations must be spelled out.</li> </ul> </li> </ol> </li> </ol>
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## Responsibilities, continued

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**Candidate for Tenure/  
Promotion  
(continued)**

- 5) For promotion, the committee may concentrate on activities since the last promotion, but candidates may provide clearly dated prior activities to demonstrate a record of continued achievement.

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**College Dean**

The role of the college dean may vary considerably among the colleges in the University. At a minimum, however, the dean shall fulfill the following responsibilities:

Regarding the College Promotion and Tenure Committee

1. The dean shall arrange for the election of members of the college promotion and tenure committee and an alternate.
2. The dean shall ensure that the membership of the college promotion and tenure committee does not pose a conflict of interest in evaluating and voting upon applicants. If such a conflict exists, the dean shall arrange for an elected alternate.
3. The dean shall provide the committee with such documentation and data as college policy and committee needs require.

Regarding Tenure

It is the responsibility of the dean of the college to inform the department chairs of the need to review each person eligible for tenure.

Regarding Recommendations

1. Upon receipt of the committee's recommendation form and the individual application file, the dean shall review the entire set of material and write a separate recommendation regarding the promotion or tenure.
  - (1) If the college dean does not agree with the recommendation of the committee, he or she shall so indicate on the recommendation form and submit in an addendum a justification for the differing judgment.
  - (2) Justification of the decision of the dean shall rest upon documented, verifiable information and shall be presented to the committee and the candidate.
2. The dean shall inform the candidate of the decisions by the college committee and the dean in time to provide the candidate with the opportunity to request a reconsideration or appeal.
3. The dean shall forward positive, divided, and appealed recommendations pertaining to promotion and all recommendations on tenure to the Provost, with copies of the recommendations from the college (and addenda) to the candidate, the chair of the college committee, and the department chair no later than February 15.
4. In the case of a negative recommendation, the dean shall remind the candidate of procedures for appeal.

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## Responsibilities, continued

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**College Dean  
(continued)**

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Regarding Communication with Others

1. The dean shall arrange for the department chair or the chair of the department promotion and tenure committee to meet with the college promotion and tenure committee as necessary.
2. The dean may meet with the Provost or the chair of the university committee in response to their request or the dean may initiate such a request for meeting.

Regarding Review of Criteria

At least every five years the dean shall ensure that each department reviews and revises as needed departmental-level criteria for promotion and tenure.

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**College Promotion and  
Tenure Committee**

The college committees shall have the following responsibilities:

- a. To ensure that a chair and a recording secretary are provided for in accordance with college policies and procedures.
- b. To conduct all reviews in an ethical manner: basing decisions on relevant information, maintaining confidentiality, and recording written minutes of meetings, proceedings, and recommendations.
- c. To review applications for tenure before considering and voting on applications for promotion to associate professor and professor. In reviewing applications for promotion to assistant professor and tenure, vote on promotion before voting on tenure. Assistant professor is required for tenure.
- d. To see that the appropriate professional interpretation for the discipline has been applied.
- e. To ensure that the promotion and tenure recommendations are consistent with the goals and needs of the college as well as consistent with the department's own criteria.
- f. To review materials prepared by departments and addenda provided by the department chair and/or the candidate.
- g. To ensure that unsubstantiated information or material which lacks documentation is not used as part of the decision-making process at this level.
- h. To submit the committee's recommendation with appropriate documentation and required forms to the college dean.
  - (1) Committee recommendations on promotion and tenure shall be based upon secret ballot and majority vote. A tie vote shall be considered a negative recommendation.
  - (2) The voting members of the committee shall complete the appropriate forms for recommendation for promotion or tenure and provide any necessary addenda. Members of the committee shall sign the form, indicating the accuracy of the report as it was approved by the majority of the committee.
- i. The chair of the college committee shall formally inform the dean of the college of the decision of the committee.

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**Department Chair**

The role of the department chair may vary considerably among the departments in the University. At a minimum, however, the chair shall fulfill the following responsibilities:

Regarding the Department Promotion and Tenure Committee

Provide the committee with such documentation and data as department policy and committee needs require.

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## Responsibilities, continued

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**Department Chair  
(continued)**

Regarding Tenure

It is the responsibility of the department chairs to inform the department promotion and tenure committee of the need to review each person eligible for tenure.

Regarding Promotion

It is the responsibility of the chair to inform the faculty of policies, procedures, and criteria for promotion.

Regarding Recommendations

1. Upon receipt of the committee's recommendation form and the individual application file, the chair shall review the entire set of material and write a separate recommendation regarding the promotion or tenure based upon the application, supporting materials, the department committee's evaluation narrative, and other relevant information.
  - (1) If the department chair does not agree with the recommendation of the committee, he or she shall so indicate on the recommendation form and submit in an addendum a justification for the differing judgment.
  - (2) Justification of the decision of the chair shall rest upon documented, verifiable information and shall be presented to the committee, the candidate, and the dean of the college.
  - (3) Hereafter, the term "divided recommendation" refers to recommendations wherein the committee and the chair do not concur.
2. The department chair, together with the chair of the department committee, shall review the recommendation of the department chair and the recommendation of the committee with the candidate, provide the candidate with a copy of the report (and all addenda), and secure the candidate's signed receipt.

**NOTE:** Should an applicant for promotion choose to withdraw from candidacy, the applicant shall so inform the department chair and the dean of the college in writing.
3. The department chair shall present all positive, divided, and appealed recommendations pertaining to promotion and all recommendations on tenure to the dean no later than December 1st.
4. The department chair shall remind the candidate, as appropriate, of procedures of the appeal process, such as explaining precise steps and due dates. Also remind candidate, as appropriate of procedures for review of negative recommendations for tenure.

**Department Promotion  
and Tenure Committee**

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The department committee shall have the following responsibilities:

- a. To conduct all reviews in an ethical manner: basing decisions on relevant information, maintaining confidentiality, and recording written minutes of meetings and proceedings.
  - b. To provide the appropriate professional interpretations for the discipline.
  - c. To ensure that the promotion and tenure recommendations are consistent with the goals and needs of the department.
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## Responsibilities, continued

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**Department Promotion  
and Tenure Committee  
(continued)**

- d. To assemble material to accompany the committee's recommendations. These materials shall include the following:
  - (1) material presented by the candidate;
  - (2) peer opinions (not limited to committee members) but not anonymous opinions;
  - (3) formal student evaluations;
  - (4) department's systematic method of assessing teaching performance [In addition to student opinion of instruction, each department shall use a systematic method of assessing teaching performance. This method shall include a consideration of the perspectives of students, colleagues, and supervisors and shall be clearly defined and communicated in the department merit pay policy];
  - (5) results of nontenured evaluations;
  - (6) data and opinions provided by the chair of the department.
- e. To vote on applications for tenure before considering and voting on applications for promotion to associate professor and professor. In tenure, vote on promotion before voting on tenure. Assistant professor is required for tenure.
- f. To compose the evaluation narrative using the material above and ensuring that unsubstantiated information or information sets which lack documentation are not used as part of the decision process at the department level.
- g. To submit to the department chair the committee recommendation with appropriate documentation and required forms as follows:
  - (1) The voting members of the committee shall complete the appropriate forms for recommendation for promotion or tenure. Members of the committee shall sign the form, indicating the accuracy of the report as it was approved by the majority of the committee;
  - (2) Committee recommendations on promotion and tenure shall be based upon secret ballot and majority vote. A tie vote shall be considered a negative recommendation;
  - (3) Justification of the decision by the committee shall be included in the recommendation and shall rest upon documented, verified information.
- h. To complete and forward to the department chair all promotion application forms and the committee's evaluation and recommendation forms for all candidates.

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**University Promotion and  
Tenure Committee**

- The University Promotion and Tenure Committee shall have the following responsibilities:
- a. To elect a chair and recording secretary from the committee membership.
  - b. To conduct all reviews in an ethical manner: basing decisions on relevant information, maintaining confidentiality, and recording written minutes of meetings, proceedings and recommendations.
  - c. To review applications for tenure before considering and voting on applications for promotion to associate professor and professor. In reviewing applications for promotion to assistant professor and tenure, vote on promotion before voting on tenure. Assistant professor is required for tenure.
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## Responsibilities, continued

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**University Promotion and  
Tenure Committee  
(continued)**

- d. To review the applications to ensure the following:
  - (1) That the promotion and tenure recommendations are consistent with the goals and needs of the University as well as consistent with the criteria of both the college and department.
  - (2) That the candidate meets the basic requirements of the University for promotion or tenure.
  - (3) That the appropriate review of the candidate's qualifications has been made by those professionally able to do so and that these reviews have been documented appropriately.
- e. To review appeals and divided recommendations in light of the above factors and the supporting material submitted on behalf of the parties involved.
- f. To determine whether the candidate's application should be approved based upon the above reviews.
- g. The chair of the committee shall notify the Provost of the decision of the committee.

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The Provost shall have the following responsibilities in matters relating to promotion and tenure.

Regarding the University Promotion and Tenure Committee

1. It is the responsibility of the Provost to arrange for the election of members and alternates of the University Promotion and Tenure Committee.
2. It is the responsibility of the Provost to ensure that the membership of the University Promotion and Tenure Committee does not pose a conflict of interest in evaluating and voting upon applicants. If such a conflict exists, the Provost shall arrange for an elected alternate.
3. To review the procedure to ensure that in every case the process followed was consistent with university policies and the policies of the various colleges and departments.

Regarding Communication with Others

1. It is the responsibility of the Provost to arrange for the department chair or the chair of the department promotion and tenure committee, the dean or the chair of the college promotion and tenure committee to meet with the University Promotion and Tenure Committee as necessary.
2. The Provost may meet with the President and the EKU Board of Regents in response to their request or the Provost may initiate such a request for meeting.

Regarding Recommendations

1. Having determined that the appropriate procedures have been followed, the Provost shall review the individual application file, accompanying documentation, and addenda to determine whether the application should be supported. This decision shall be based upon documented and verifiable data contained in the file.
  2. If the Provost does not concur with the recommendation of the University Promotion and Tenure Committee, the basis for the disagreement shall be indicated in writing.
  3. If the Provost agrees with the recommendation of the University Promotion and Tenure Committee, the Provost shall sign the recommendation form and indicate agreement.
  4. The Provost shall ensure that the candidate shall be notified in time to provide the candidate with the opportunity to request a reconsideration or appeal. Where a negative recommendation is given, the Provost shall meet the
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**Provost and Vice  
President for Academic  
Affairs**

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## Responsibilities, continued

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	<p>candidate in person to remind the candidate, as appropriate, of appeal procedures and to secure the candidate's signature on a dated form indicating receipt of relevant reports.</p> <p>5. The Provost shall submit all recommendations to the President of the University by March 15. Copies of the recommendation shall be given to the chair of the University Promotion and Tenure Committee, the appropriate academic deans, the appropriate department chairs, and the candidates.</p>
<b>Provost and Vice President for Academic Affairs (continued)</b>	<p><u>Regarding Criteria</u></p> <ol style="list-style-type: none"> <li>1. The Provost shall ensure that deans and chairs supervise the establishment of written criteria for promotion and tenure and that these are consistent with and approved by the University Promotion and Tenure Committee.</li> <li>2. At least every five years the Provost shall ensure that each college and department reviews and revises as needed college-level and departmental-level criteria for promotion and tenure.</li> <li>3. Ensure that new faculty members receive at the time of their appointment the criteria for promotion and tenure.</li> <li>4. Ensure that criteria applied in the review of applications is consistent with the terms of agreement established at the candidate's initial appointment in a tenure-track position.</li> <li>5. Arrange early in the fall semester for meetings wherein experienced faculty and administrators inform faculty members of the criteria for promotion and tenure.</li> </ol>
<b>President</b>	The President of the University shall evaluate each recommendation on its merits and shall determine the appropriate <u>recommendations to be submitted to the Board of Regents.</u>
<b>Board of Regents</b>	The Board of Regents shall have final approval authority for all tenure and promotion recommendations.

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## Procedures

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	<p><b>ESTABLISHING PROCEDURES AND THE COMMITTEE</b></p> <ol style="list-style-type: none"> <li>A. Procedures for the selection of the department committee and procedures for the consideration of the matters of promotion and tenure within the department shall be approved by a majority of the full-time teaching members of the department and reviewed by the dean for compliance with this university document. A statement of the procedures shall be filed in both the office of the dean and the department office.</li> <li>B. Changes in the department procedures shall be made by a majority vote of the full-time teaching members of the department and shall be reviewed by the dean by May 1 prior to the academic year in which the changes are to take effect.</li> <li>C. Each department shall establish procedures and methods for selecting the department committee for promotion and tenure. Department committees for promotion and tenure shall be composed as determined by the full-time teaching faculty of the department, within the following guidelines:             <ol style="list-style-type: none"> <li>1. The committee shall consist of no fewer than three voting members. They shall be elected from the full-time tenured faculty. If a department is too small to provide such a committee, the department may select</li> </ol> </li> </ol>
<b>Department Level</b>	

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## Procedures, continued

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- tenure-track faculty within the department or faculty outside the department with the advice of the dean of the college. In the latter case, the faculty member may serve on the promotion and tenure committee of more than one department.
2. The maximum number of members shall be determined by the department.
  3. The chair of the department may NOT serve as a voting member on the committee.
  4. If a faculty member or a member of his or her immediate family is being considered for promotion or tenure, a faculty member may not serve on the committee that year. The department procedures shall provide for an alternate who shall serve throughout the year. If the department cannot comply with this provision because of the size of the department or other unique circumstance, the procedure in II. C. 1. above shall be followed.
  5. The committee shall be elected no later than September 10 of the year in which it is to function.
- D. Each department shall establish clear definitions and delineations of the responsibilities of the committee and the department chair in writing and filed as indicated above.

### RECONSIDERATIONS AND APPEALS

**Department Level  
(continued)**

- E. The department shall establish procedures for the expeditious handling of reconsiderations and appeals.
1. The candidate may request reconsideration of the decision of the department committee or department chair by submitting a written notification by the department chair, with a copy to the dean of the college, within five days of notification by the department chair of the decision. The request shall detail grounds for reconsideration and shall include relevant evidence.
  2. The committee and/or the department chair shall reconsider the recommendation in light of the information provided in the statement of the candidate. The committee and/or department chair shall consider any new information provided, shall meet with the candidate, and shall record the confirmed or revised recommendation.
  3. The candidate shall be notified by the department chair of the results of the reconsideration in sufficient time to provide the candidate an opportunity to request an appeal. Decisions on the reconsiderations shall be processed in the same manner as uncontested decisions—through the department chair to the college dean.
  4. If the candidate determines that the decision should be appealed within five days, he or she shall submit a formal statement appealing the decision to the dean of the college, with a copy to the department chair. The statement shall detail the grounds for the appeal and shall include relevant evidence.
  5. 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.

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### ESTABLISHING PROCEDURES AND THE COMMITTEE

**College Level**

- A. Each college, by majority vote of the full-time tenure-track faculty, shall develop written guidelines for promotion and tenure procedures to include at least the following:
1. Criteria unique to that college.
  2. Procedures and methods of selecting the college committee
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## Procedures, continued

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**College Level  
(continued)**

- to review candidates for promotion and tenure and the selection of the chair of that committee.
3. Clear definitions of the responsibilities of the college committee and the college administration.
- B. Guidelines developed by the college shall provide for independence of decision making for the committee and the dean, while ensuring that candidates receive full consideration at every point.
1. The committee shall consist of no fewer than six voting members and shall be constituted so as to ensure fair representation in regard to diversity and department. These representatives shall hold a minimum rank of Associate Professor (or its equivalent in programs where such rank does not apply, i.e. Model Lab, the Libraries etc.).
  2. The dean of the college shall NOT serve as a voting member.
  3. If a faculty member or a member of his or her immediate family is being considered for promotion or tenure, the faculty member shall not participate in deliberations regarding that candidate.
  4. Members of the college promotion and tenure committee cannot simultaneously serve on the department or university promotion and tenure committees. That is, no one individual may vote upon a particular petition at more than one level in the process.
  5. If an elected member cannot serve, an elected alternate should serve in their stead.
  6. If these provisions cannot be met, the dean shall arrange for appropriate representation from other qualified faculty.
  7. The committee shall be selected no later than September 10 of the year in which it is to function.
- C. Each college shall establish clear definitions and delineations of the responsibilities of the committee and the college dean in writing and filed in the Office of the Provost and Vice President for Academic Affairs.

### **RECONSIDERATIONS AND APPEALS**

- D. Each college shall establish procedures for the expeditious handling of reconsiderations and appeals.
1. The candidate may request reconsideration of the decision of the college committee or the college dean by submitting a written request to the chair of the committee and college dean, with a copy to the Provost and Vice President for Academic Affairs, within five days of notification of the decision by the college dean. The request shall detail grounds for reconsideration and shall include relevant evidence.
  2. The committee and/or the college dean shall reconsider the recommendation in light of the information provided in the request of the candidate. The committee and/or college dean shall consider any new information provided, shall meet with the candidate, and shall record the confirmed or revised recommendation.
  3. Decisions on the reconsiderations shall be processed in the same manner as uncontested decisions—through the college dean to the Provost. The candidate shall be notified by the college dean of the results of the reconsideration in time to provide the candidate with the opportunity to request an appeal.

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## Procedures, continued

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**College Level  
(continued)**

4. If the candidate determines that the decision should be appealed, within five days he or she must submit a formal statement of appeal to the chair of the University Promotion and Tenure Committee, with a copy to the departmental college dean and to the Provost and Vice President for Academic Affairs. The statement shall detail the grounds for the appeal and shall include relevant evidence.
5. The Provost shall present the appealed recommendation with the statement of appeal to the University Promotion and Tenure Committee along with other recommendations from within the University.

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**ESTABLISHING PROCEDURES AND THE COMMITTEE**

**University Level**

- A. The Provost and the University Promotion and Tenure Committee shall develop written guidelines for the committee's promotion and tenure procedures to include at least the following:
  1. The ways that established university criteria are to be applied.
  2. Clear definitions of responsibility for the university committee and for the Provost.
- B. Guidelines developed by the Provost and the University Committee on Promotion and Tenure shall provide for independence of decision making by the Committee and the Provost, while ensuring that the candidates receive full consideration at every point.
  1. Neither the Provost nor a dean nor department chair shall serve as a voting member on the Committee.
  2. If a member of the immediate family of a member of this Committee is being considered for promotion or tenure, the Committee member may not serve during those deliberations. The Committee procedures shall provide for the selection of an alternate, if needed.
- C. The procedures of the University Promotion and Tenure Committee shall be set forth in writing by the members of the Committee and filed in the Office of the President of the University, with copies to the offices of the Provost, the deans of colleges, and all academic departments.
  1. The University Promotion and Tenure Committee shall consist of two tenured full-time faculty from different departments representing each college.
    - a. Each college shall devise its own method for electing a representative from the tenured teaching faculty (excluding chairs) to serve on the University Promotion and Tenure Committee. This representative—as well as a first alternate and a second alternate—shall be elected no later than May of the year preceding the academic year in which the Committee is to serve. The representative and alternates shall hold the rank of professor (or the highest rank available).
    - b. The faculty representatives shall serve for staggered terms of two years. Any member may be selected for two consecutive terms.
    - c. In the event the elected representative from a college cannot serve or complete the term, the first alternate shall complete the three-year term. If the first alternate also cannot serve, then the second alternate shall complete the three-year term. An exception to this general rule would involve the representative's

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## Procedures, continued

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- submission of an application for promotion. In this case, the alternate shall serve for that year only.
2. The voting members of the Committee shall complete their portion of the appropriate university recommendation forms for promotion and tenure and provide any necessary addenda. Members shall sign the forms to indicate the accuracy of the report as it was approved by majority vote.
  3. Committee recommendations on promotion and tenure shall be based upon secret ballot and majority vote. A tie vote shall be considered a negative recommendation.
- D. Having determined that the appropriate procedures have been followed, the Provost shall review the individual application file, accompanying documentation, and addenda to determine whether the application should be supported. This decision shall be based upon documented and verifiable data contained in the file. See Provost Responsibilities for specific recommendation actions.
- E. The President of the University shall evaluate each recommendation on its merits and shall determine the appropriate recommendations to be submitted to the Board of Regents.
- F. Official notification of a candidate that tenure will not be awarded shall be given one year prior to the candidate's termination of employment at the University.

### RECONSIDERATIONS AND APPEALS

**University Level  
(continued)**

- G. Reconsideration and appeal procedures shall be provided at the university level also.
1. During the reconsideration and appeals, the Committee reserves the right to request the presence and response of a department chair, college dean, or representative of any committee involved in the original decision.
  2. The candidate may request reconsideration of the decision of the University Committee or the Provost by submitting a written request to the chair of the Committee or to the Provost, with a copy to the President of the University, within five days of notification by the Provost of the decision. The request shall detail grounds for reconsideration and shall include all relevant evidence not previously presented.
  3. The Committee and/or the Provost shall reconsider the recommendation in light of the new information provided in the request of the candidate, shall meet with the candidate, and shall record the confirmed or revised recommendation.
  4. Decisions on reconsiderations shall be processed in the same manner as uncontested decisions—through the Provost to the President. The candidate shall be notified by the Provost of the decision on the reconsideration in time to provide the candidate with the opportunity to submit an appeal.
  5. If the candidate determines that the decision should be appealed, a formal request appealing the decision shall be submitted to the President of the University within five days. Copies shall be provided to the Provost and to the chair of the University Promotion and Tenure Committee.
  6. The appealed recommendation, with the request of appeal, shall be presented to the President of the University, along with other recommendations from within the University. The recommendations will be submitted to the Board of Regents, with the recommendations from the President, at the
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## Procedures, continued

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<b>University Level (continued)</b>	appropriate meeting for the consideration of faculty promotion and tenure. 7. If the President rules against the appeal by the candidate, the candidate shall be informed prior to the submission of the approved recommendations to the Board of Regents.
<b>Faculty Holding Administrative Positions</b>	Consideration of Faculty Holding Administrative Positions a. All the procedures and guarantees outlined above for faculty apply equally to faculty in administrative posts insofar as their academic faculty position or rank is concerned. b. Certain additional observations need to be made when the procedures are applied to administrative faculty. There are practical considerations of balancing administrative time against time served as a member of the faculty. These include the following: 1. Administrators shall be judged by the same criteria as any other faculty. Teaching, scholarship, and service standards shall meet the approval of the various committees and administrators. Administrative performance shall not substitute for any of these three areas. 2. The consideration for academic rank or tenure of a faculty member serving in an administrative post shall be made by the department and the college in which the administrator holds academic rank. If the administrator is normally a part of the process (as a department chair or dean would be) that administrator's recommendation is omitted and the committee's recommendation is forwarded to the next level. 3. Procedures for reconsideration and appeal are no less a part of the process for faculty holding administrative posts than for any other faculty member. The same principles apply as for consideration of recommendations: if the administrator is normally part of the process of reconsideration or appeal, that person's responsibilities are omitted and the matter is forwarded to the next level.
<b>Amending the Promotion and Tenure Policy</b>	The procedure for amending this promotion and tenure document is as follows: A. A written request to amend the document is to be submitted to a member of the Faculty Senate. B. The member of the Faculty Senate is to submit the amendment to the Faculty Senate. C. If the proposed amendment is approved by the Faculty Senate, it proceeds through the appropriate channels for approval by the Board of Regents. D. The time for completion of the acceptance or rejection of the proposed amendment shall not exceed one calendar year from the initial proposal to the Faculty Senate.

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## Effective Date

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The effective date of the policy, as revised, is August 1, 2008. Tenure-track faculty whose employment at ECU began prior to August 2008 may request a one-year extension of their

probationary period. Requests must be made in writing to the chair of the department and must be approved by the chair, the dean of the college, and the Provost. All requests for the one-year extension of the probationary period must be made within 30 days of the effective date of this policy. This extension request does not preclude a tenure candidate from requesting other adjustments to the probationary period as allowed by this policy.

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## Violations of the Policy

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NA

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## Interpreting Authority

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- Provost and Vice President for Academic Affairs

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## Relevant Links

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[www.forms.eku.edu](http://www.forms.eku.edu) (Promotion and Tenure Application)

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## Policy Adoption Review and Approval

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### Revised Policy

- Faculty Senate: Recommended on October 2, 2006
- Provost Council: Recommended on November 7, 2007
- Board of Regents: Approved on January 18, 2008
  
- Faculty Senate: Approved September 5, 2003
- Faculty Senate: Approved November 3, 1986

### Policy Adopted

- Board of Regents: Approved July 30, 1986