

### III. Promotion and Tenure

#### A. Probationary Periods

Probationary periods are applicable to non-tenured appointments of faculty members on a full-time year-to-year basis in the regular, special title, extension, and librarian series of academic ranks and titles. Such non-tenured appointments may be for one year or other stated periods, subject to renewal. The total non-tenured period, however, shall not exceed seven years unless one of the following provisions applies: AR II-1.1-12 (Family Medical Leave); GR X.C.7. (leave for duration of an election or term of office); GR X.C.5.d. (educational leave); or for other leaves of absence where the University, in granting the leave, and the individual, in accepting it, agree that time spent on the leave of absence shall not count as probationary period service. Except for an approved leave of absence without pay for the duration of an election campaign or a term of office (Governing Regulations, PART X.C.5.d. and X.C.7.), time spent on leave of absence shall count as probationary period service unless, in granting and accepting the leave, the University and the individual agree to the contrary. An individual initially appointed to the rank of full professor may be given non-tenure status for a period not to exceed one year.

Probationary periods (or maximum non-tenured periods) do not apply to faculty members appointed (1) in the research, clinical, adjunct, visiting, and voluntary series of academic ranks and titles, or (2) on a part-time or temporary basis. In all such appointments, faculty members are ineligible for tenure. However, if an individual on appointment in the visiting series or on a temporary basis subsequently should be appointed full-time in the regular, special title, extension, or librarian series, time spent on full-time appointment in the visiting series or on a temporary basis at the University shall be counted as part of the individual's probationary period which shall become applicable and defined when such a subsequent appointment occurs.

#### B. Initiation of a Recommendation to Promote and/or Grant Tenure

A recommendation to promote and/or grant tenure shall originate with the department chairperson (or with the dean, director, or other appropriate administrator in an educational unit other than a department). The procedures to be used in a department for preparing such a recommendation should be established jointly by the chairperson and the faculty of that department (Governing Regulations, PART VII.A.6, second paragraph).

In preparing a recommendation to promote and/or grant tenure, the department chairperson shall consult with appropriate faculty in the department and directors of pertinent multidisciplinary research centers and institutes in accordance with the Governing Regulations (PART VII.B.5, second paragraph. See also Appendix I to this Administrative Regulation). If there is disagreement between the chairperson and consulted faculty members and directors concerning a recommendation to promote and/or grant tenure, the chairperson shall communicate the department faculty's opinion and directors' recommendations as well as the chairperson's recommendation, stating reasons for differing from the department faculty's opinion and directors' recommendations, and notify the consulted faculty members and directors

of such action.

C. Areas of Consideration for Promotion and Tenure

The results of the evaluation of teaching, advising, research, and service assignments shall be considered in the decisions to promote or grant tenure. The extent and character of each faculty member's teaching and advising shall be documented by a body of supporting materials regularly maintained and updated by the faculty member. For the University System, such documentation shall include a teaching portfolio as outlined in Appendix I, AR II-1.0-5.

D. Development of a Dossier Relative to a Recommendation to Promote and/or Grant Tenure

For each recommendation to promote and/or grant tenure, the department chairperson shall develop a dossier. (See AR II-1.0-1, Section II.H for development of a dossier.)

A dossier relative to a recommendation for promotion to associate professor or professor and/or for the granting of tenure also must include at least three letters of evaluation from qualified persons outside the University. These letters shall be obtained by the department chairperson directly from appropriately qualified persons selected in part from, and in part independent of, suggestions of the individual being considered for promotion and/or tenure. All letters of evaluation received shall be included in the dossier and be accompanied by a written statement by the department chairperson indicating for each letter whether or not the name of the respondent had been suggested by the individual under consideration and, if known, whether or not the respondent had been a previous faculty colleague of the individual. The department chairperson shall request the outside evaluators to return their letters on a date prior to the chairperson's meeting with or requesting letters of advice from the departmental faculty members to be consulted. The chairperson shall take positive actions to make available to the consulted faculty members all letters received and to encourage them to read and consider these letters before providing individual written judgments to the department chairperson on a recommendation to promote to associate professor or professor and/or grant tenure.

The department chairperson shall forward the completed dossier with the chairperson's recommendation to the dean.

E. Use of a College Advisory Committee on Promotion and Tenure

Each college shall have an advisory committee, established by the dean after consultation with an appropriate faculty body of the college or elected by the faculty, which is concerned with matters related to faculty promotion and tenure. Prior to making a decision to approve or disapprove or to making a recommendation, as appropriate, relative to a proposal to promote and/or grant tenure, the dean has the option in most cases to seek advice or a recommendation from a college advisory committee on promotion and tenure. However, the dean is required to obtain a written recommendation from the advisory committee (1) when an assistant professor must be considered for promotion with tenure in the sixth or next-to-last year of the individual's probationary period, (2) when an associate professor must be considered for

tenure in the next-to-last year of a probationary period, and (3) when a professor must be considered for tenure in the first half of a one-year probationary period.

However, where feasible, a member of the college advisory committee on promotion and tenure shall be excluded from any participation in that committee's consideration of a recommendation if the affected individual and the advisory committee member are assigned to the same educational unit.

#### F. Promotion from Instructor to Assistant Professor

An individual shall not remain at the rank of instructor in the University System for more than three years. After two years at the rank of instructor, if it appears that promotion to a higher rank cannot be justified at the end of three years, the individual shall be given a year's terminal reappointment (See Section IV.B).

Promotion from instructor to assistant professor shall be approved or disapproved by the dean of the college to which the faculty member is assigned. Approved action is communicated through the Senior Vice President and Chancellor of the Medical Center or the Provost to the President who reports the action to the Board of Trustees. In a case of disapproval and stopping a recommendation for promotion of an individual from instructor to assistant professor, the dean shall notify the individual of such action in writing with a copy to the department chairperson.

#### G. Promotion to Associate Professor or Professor

Reviews for promotion and/or granting tenure must be completed in time for the affected faculty member to be notified of the result in accordance with Section IV.B. An assistant professor must be promoted and granted tenure before or at the end of the stated probationary period or the appointment shall not be continued beyond the end of the probationary period (See Section III.G.1).

The review required for promotion and/or the granting of tenure is a comprehensive review of both the candidate's accomplishments over the entire probationary period and his or her future scholarly potential. It is based on the criteria set out in the Administrative Regulations which require a consideration of information (e.g., the evaluations of external reviewers) which might not be available for the annual and progress reviews.

The process described in Sections III.B, III.C, and III.D applies to a recommendation to promote to associate professor or professor and/or to grant tenure. After obtaining, as desirable or necessary, advice or a recommendation from the college's advisory committee on promotion and tenure, the dean shall approve or disapprove the recommendation to promote and/or grant tenure. If approved, the dean shall forward the dossier with an affirmative recommendation to the Senior Vice President and Chancellor of the Medical Center or the Provost. In case of disapproval and stopping the proposal to promote and/or grant tenure, the dean shall notify the faculty member of such action in writing with a copy to the department chairperson.

Upon receiving the dossier from the dean, the Senior Vice President and Chancellor of the Medical Center or the Provost shall review the dossier for completeness and obtain a recommendation from the appropriate Area Committee. The Area Committee, however, may request the use of an ad hoc committee (appointed by the Provost or the Senior Vice President for Administration and Chancellor of the Medical Center) for further evaluation before returning the dossier with the Area Committee's recommendation to the Senior Vice President and Chancellor of the Medical Center or the Provost (see Section XII). For a recommendation to promote and/or grant tenure affecting a faculty member who is or may be involved in research and/or graduate programs, the Provost or the Senior Vice President and Chancellor of the Medical Center also shall obtain a recommendation from the Dean of the Graduate School. Additionally, the Senior Vice President and Chancellor of the Medical Center shall obtain a recommendation from the Associate Vice President for Academic and Student Affairs. After reviewing the dossier and all recommendations, the Senior Vice President and Chancellor of the Medical Center shall either approve the proposal for promotion and/or tenure and forward an affirmative recommendation to the Provost or disapprove and stop the proposal and notify the Dean of the College. The Provost shall review the dossier and all recommendations and either approve the proposal for promotion and/or tenure and forward an affirmative recommendation to the President of the University, or disapprove and stop the proposal and notify the Senior Vice President and Chancellor of the Medical Center and the Dean of the College. The dean, in turn, shall inform the individual, in writing, and the department chairperson/director.

If an affirmative recommendation is forwarded to the President by the Provost, the President shall approve or disapprove the recommendation to promote and/or grant tenure. If approved, the president shall make an affirmative recommendation to the Board of Trustees for final action. In case of disapproval and stopping the recommendation to promote and/or to grant tenure, the President shall inform the Provost who, in turn, informs the Senior Vice President and Chancellor of the Medical Center and the dean. The dean, in turn, shall notify the faculty member of such action, in writing, with a copy to the department chairperson.

The Board of Trustees shall take final action on the proposal to promote and/or grant tenure by approving or disapproving the President's recommendation. The President, through the Provost, shall inform the dean of the Board's action. The dean, in turn, shall notify the faculty member of the result in writing with a copy to the department chairperson.

A procedural flow chart with comments relative to proposals to promote and/or grant tenure is provided in Section XIV.

1. Required Consideration of an Assistant Professor for Promotion and Tenure

An assistant professor who is in the sixth or next-to-last year of a probationary period must be considered for promotion and tenure, unless the individual requests in writing that such not be done because of resignation or willingness to accept a terminal reappointment. A dossier for the individual shall be prepared according to established guidelines (see Section III.D), and a recommendation, either affirmative or negative, shall be made by the department

chairperson and forwarded with the dossier to the dean of the college. After reviewing the dossier for completeness, the dean shall obtain a written recommendation from the college's advisory committee on promotion and tenure. If the dean decides to recommend the faculty member for promotion and tenure, such a recommendation shall be added to the individual's dossier and forwarded to the Senior Vice President and Chancellor of the Medical Center or the Provost for further consideration by normal procedures. If the dean makes a decision not to recommend the faculty member for promotion and tenure, the dean shall notify the individual of this action in writing before the end of the sixth or the next-to-last year of the individual's probationary period.

2. Promotion Review Opportunity for Tenured Assistant or Associate Professor

An assistant or associate professor with tenure whose promotion to a higher rank has not been considered by an Academic Area Advisory Committee for a period of six years may request such consideration by October 1 of the seventh or a subsequent year. This request shall be submitted in writing to the chairperson of the individual's department. Upon receiving such a request, the chairperson of the department shall prepare a promotion dossier, and a recommendation, either supporting or opposing promotion, shall be forwarded by the chairperson to the dean. The dean shall review the dossier and forward it with the dean's recommendation to the Senior Vice President and Chancellor of the Medical Center or the Provost by January 15 of the academic year in which the request is made. After examining the dossier for completeness, the Senior Vice President and Chancellor of the Medical Center or the Provost shall submit the dossier to the relevant Area Committee for review. Upon completion of its review, the Area Committee shall recommend to the Senior Vice President and Chancellor of the Medical Center or the Provost in the usual manner. If a faculty member is considered by an Area Committee for promotion under this option, the provision of another opportunity for such consideration shall not be mandatory until six or more years have passed.

H. Consideration of an Associate Professor or a Professor for Tenure

An associate professor on appointment without tenure may be considered for tenure at any time prior to the next-to-last year of the stated probationary period. However, a non-tenured associate professor in the next-to-last year of a probationary period, or a professor in the first half of a one-year probationary period, must be considered for tenure at that respective specific time, unless the individual requests in writing that such not be done because of resignation or willingness to accept, as applicable, a terminal reappointment or a notice of non-renewal of appointment. A dossier relative to considering the individual for tenure shall be prepared according to established guidelines (see Section III.D) and a recommendation, either affirmative or negative, shall be made by the department chairperson and forwarded with the dossier to the dean of the college. After checking the dossier for completeness, the dean shall obtain a written recommendation from the college's advisory committee on promotion and tenure. If the dean decides to recommend the faculty member for tenure, such a recommendation shall be added to the dossier and forwarded to the Senior Vice President and Chancellor of the Medical Center or the Provost for further consideration by normal procedures (refer to procedural flow chart in

Section XIV). If the dean makes a decision not to recommend an associate professor for tenure but, on the contrary, to offer the individual a terminal reappointment, the dean shall notify the individual of this action in writing, before the end of the next-to-last year of the individual's probationary period. If the dean makes a decision not to recommend a professor for tenure but, on the contrary, to inform the individual of non-renewal of appointment, the dean shall notify the individual of this action, in writing, no later than March 1 if the individual's one-year probationary period expires at the end of the academic or fiscal year or three months in advance if the probationary period terminates during the year.

I. Failure to Support a Recommendation to Promote and/or Grant Tenure

Whenever a recommendation to promote and/or grant tenure is disapproved at any level, this fact shall be reported back to the preceding level(s) with supporting reasons and an opportunity provided for a thorough discussion of the recommendation among the concerned parties. Any related appeal(s) to the Senior Vice President and Chancellor of the Medical Center or the Provost concerning procedural matters or privilege and/or to the University Senate Advisory Committee on Privilege and Tenure concerning procedural matters, privilege, or allegations of violation of academic freedom shall be initiated in writing by the faculty member within 60 days after being notified in writing by the dean of the disapproval of the recommendation to promote and/or grant tenure.