



# COAS Faculty Governance Document

Note: Sections 1–11, 13 of the document are not relevant and therefore omitted. Changes to Section 12 are marked below as follows:

stricken language is indicated by strike-through and yellow font color

new language is indicated by italics and red font color

## 12.0 PROCEDURES FOR PROMOTION AND TENURE

Fort Wayne Senate Document SD 14-36 charges each school/division faculty (1) to approve department/program promotion and tenure committee composition and functions (Section 1.1.4) and (2) to establish, with approval by the Senate, school/division promotion and tenure committee composition and functions (Section 1.2.1). The College faculty adopts Senate Document SD 14-35, *SD 18-15, and SD 19-9* as College guiding principles regarding promotion and tenure. The following section of the College Governance Document is subordinate to Senate legislation, and revisions to this section require Senate approval.

### 12.1 Candidates and Their Cases

**12.1.1** ~~Each Faculty member must be considered for tenure not later than during the penultimate year of the probationary period.~~ *Each Assistant Professor must be considered for tenure not later than during the penultimate year of the probationary period. Faculty who are candidates for promotion (but not tenure) may submit a case whenever they are eligible for promotion. That case must be considered according to university policies and procedures.*

**12.1.2** Each candidate for promotion and/or tenure is responsible for the preparation and submission of the case according to applicable guidelines and schedules. Supporting documentation, such as copies of abstracts, papers, or books cited in the case itself, should be included ~~in a file labeled “Supporting Documentation” in the appropriate folder~~ but is not considered part of the case. The candidate shall determine the content of the case and ~~of the sSupporting dDocumentation file~~. No change in the case or the ~~sSupporting dDocumentation file~~ may be made without the consent of the candidate.

### 12.2 Decision Levels

All cases for promotion and/or tenure shall pass sequentially through the following decision levels before being forwarded to the campus committee:

**12.2.1** The department committee, whose composition and functions shall be established according to a procedure adopted by the Faculty of the department and approved by the Arts and Sciences Faculty, subject to Senate review. In establishing their committees, departments should be guided, ~~where possible~~, by two principles: *first*, that *all lecturer*,

*clinical*, tenured, or tenure-track members of the department should be consulted about each case for promotion and/or tenure; ~~and~~ *second*, that those persons possessing the same or higher rank or the status to which a candidate aspires should have major responsibility in formulating the department's recommendations.

**12.2.1.1** If, by established departmental criteria, fewer than three *tenured* persons, *or in cases of promotion to associate or full clinical professor, no associate or full clinical professors, or, in cases of promotion to senior lecturer, no senior lecturer*, are eligible to serve on the department committee, the department shall submit to the Dean the names of Faculty members from other departments whom it deems suitable to serve on the department committee. From this list, the Dean shall appoint enough Faculty members to bring the committee membership to between three and five.

**12.2.1.2** The letter appointing a Faculty member to more than one academic unit shall identify that department whose promotion and tenure process shall apply to the appointee.

**12.2.2** The department chair. (Promotion and/or tenure cases of department chairs proceed directly from the department committee to the College committee.)

**12.2.3** The College of Arts and Sciences Promotion and Tenure Committee, comprising six tenured Voting Faculty members—two each from the Sciences, the Social Sciences, and the Humanities (as defined in Section 1.6 above)—*and one senior lecturer*.

**12.2.3.1** Terms shall be two years. Each year three *tenured* committee members shall be elected, one from the Humanities, one from the Social Sciences, and one from the Sciences. *Every other year a senior lecturer shall be elected*. Committee members whose terms have expired cannot serve on the promotion and tenure committee in the subsequent academic year.

**12.2.3.2** The committee members shall be elected as follows: Each department with no continuing committee members shall nominate one tenured Faculty member. Nominees must have prior experience at the department level. If a department has fewer than three tenured Faculty members eligible to serve, the department may choose to submit no nominee. *In years when a senior lecturer must be elected to the committee, each department may also nominate one of its senior lecturers*. Department chairs or program directors whose departments have pending tenure or promotion cases and members of the campus promotion and tenure committee are ineligible to serve. The Voting Faculty of the College shall elect by preferential ballot the three committee members,—one from the Humanities, one from the Sciences, and one from the Social Sciences—*and, every other year, one senior lecturer*. The ballot shall identify each candidate's department, rank, and tenure status. The dean may not serve as a committee member nor attend College committee meetings as an observer.

**12.2.3.3** The committee shall choose a chair from among its voting members. The first meeting shall be called by the Dean.

**12.2.3.4** Each candidate may select from among the tenured, tenure-track, *clinical, or lecturer* faculty a nonvoting representative who will be available to answer questions pertaining to the case. The representative will have the option of making an opening statement. The representative is bound by the same rules of confidentiality as committee members and shall withdraw before the committee's vote is taken. A candidate may not act as the representative before the committee, nor shall a committee member act as representative.

**12.2.3.5** Each case is to be duplicated in full and distributed to all committee members by the committee chair. The Supporting Documentation file is to be maintained in confidence by the Arts and Sciences office and made available to committee members upon request.

**12.2.3.6** A tie vote of the committee shall be considered neither an endorsement nor a rejection of the candidate's application for promotion and/or tenure.

**12.2.4** The Dean of the College of Arts and Sciences. (The Dean's promotion and/or tenure case proceeds directly from the College committee to the campus committee.)

### **12.3 Operation of Committees**

**12.3.1** The administrator or committee chair at each level shall inform the candidate in writing of the recommendation and vote on the nomination, with a statement of the reasons therefor, by the time the case is sent forward. The administrator or committee chair shall also send to the previous level(s) a copy of the recommendation and statement of reasons. When the vote is not unanimous, a written statement stipulating the majority opinion and minority opinion must be included. The candidate may submit a written response to the statement to the committee chair within 7 calendar days of the date of the recommendation; this response must proceed with the case. At the same time the case is sent forward to the next level, the committee chair shall also send a copy of the recommendation and statement of reasons, and the candidate's response, if any, to the department chair and the department promotion and tenure committee chair. The committee chair shall distribute copies to committee members.

**12.3.2** All committee deliberations shall be confidential. The committee's recommendation and vote shall be communicated only by the chair. Within the committee, individual votes shall be openly declared. Outside the committee, only the total vote shall be disclosed. No abstentions or proxies are allowed. Committee members must be present during deliberations in order to vote. When a committee member must step down due to an extreme personal emergency, the Nominations and Elections Committee shall find a replacement *for the remainder of that committee member's term using a process similar to the one for electing committee members to full terms*.

**12.3.3** All cases except tenure cases in the penultimate year may be withdrawn by the candidate at any stage.

- 12.3.4** The substantive evaluation of a candidate's qualifications shall occur primarily at the department level. The college committee shall review how well the process has adhered to documented procedures and review the recommendation of the lower levels. This review shall include a consideration of the basis of the decisions from the lower levels. If the committee judges that a decision from a lower level is contrary to the evidence, the committee may include consideration of the evidence in the case as it compares to department criteria.
- 12.3.5** When a candidate has been nominated for both promotion and tenure, separate committee votes shall be taken for each change of status, and separate rationales provided when the votes are not identical. Separate recommendations on each change of status shall similarly be supplied by the department chair and Dean.
- 12.3.6** Committee members shall recuse themselves from considering cases of candidates with whom they share significant credit for research or creative endeavor or other work which is a major part of the candidate's case or if they have other conflicts of interest. The committee will decide if committee members who collaborate with the candidate need to recuse themselves. Any committee member who recuses her/himself shall leave the room during the discussion of that case.
- 12.3.7** The Committee writes a letter of recommendation from the College committee based on the committee's review of the process to this point, and must clearly state and explain the recommendation of the committee including an explanation of agreement or disagreement with the decisions of lower levels.

## **12.4 Individual Participation**

- 12.4.1** No candidate shall serve on any promotion and tenure committee, nor shall any candidate make a recommendation on his or her own case.
- 12.4.2** The department level excepted, no individual shall serve in a voting or recommending role at more than one decision level. In order that this be accomplished, the campus committee shall be filled before the College committee.

## **12.5 Selection of Arts and Sciences Nominees for the Campus Committee**

For the campus committee, the Voting Faculty shall elect by preferential ballot ~~six~~ *seven* nominees, at least three of whom shall be full professors *and one of whom must be a senior lecturer*. The ballot shall identify each candidate's academic rank.