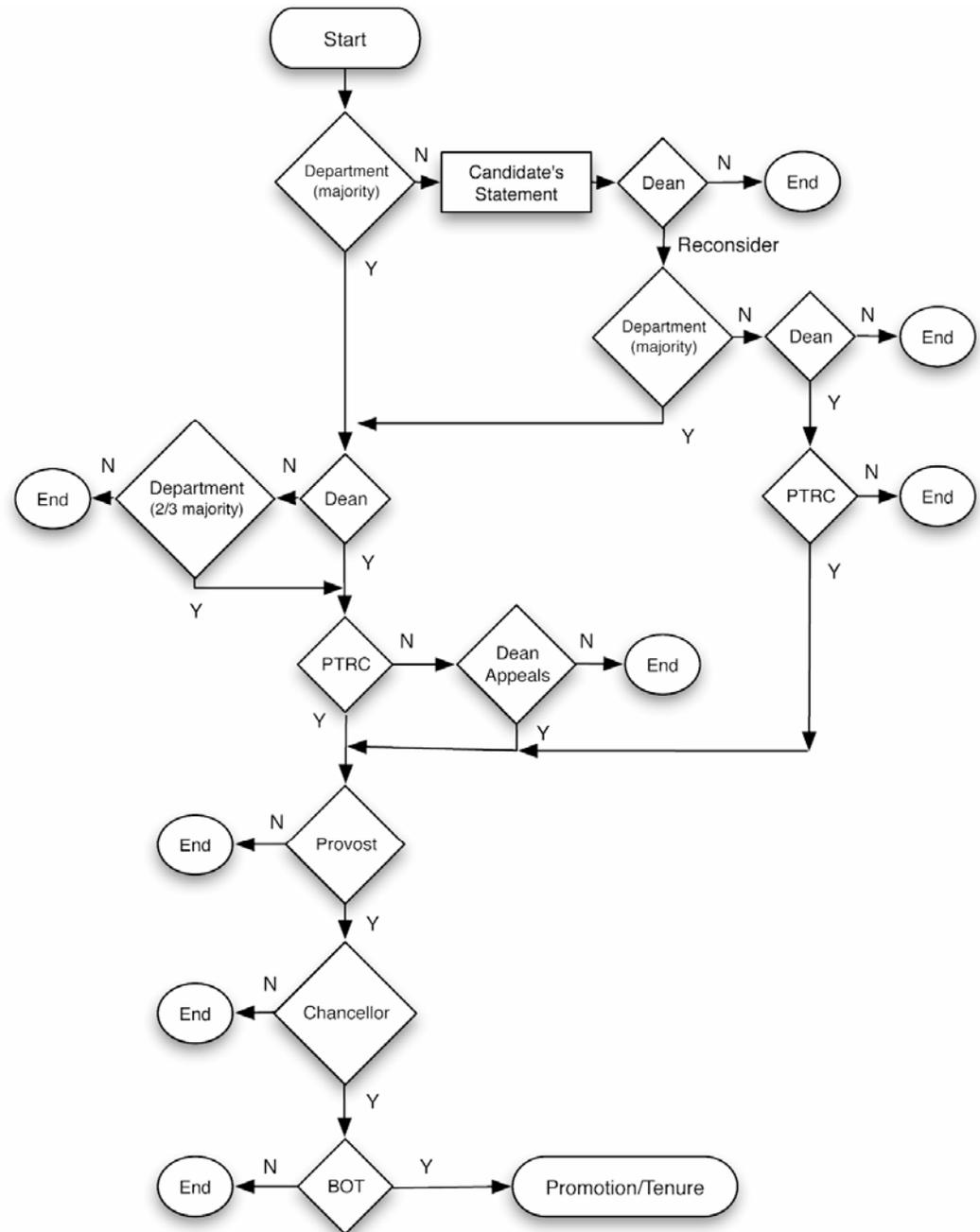


A Tour of the Promotion and Tenure Process in the College of Arts & Science

Promotion and Tenure Process in University Central





For the award of tenure, Vanderbilt requires:

- 1) excellence in research, scholarship, or creative expression in one's discipline
- 2) a high level of effectiveness in teaching
- 3) satisfactory performance in the area of service

-Chapter 3.C., page 53, *Faculty Manual* (2003)

For appointment to the rank of Associate Professor:

- Judgments should be based on performance in research, teaching, and other kinds of intellectual and academic service.
- Excellence in all these activities is desired.
- A high level of effectiveness in teaching is required.

-Rules and Procedures, The College of Arts and Science

Check with your department for criteria beyond *FM* and *R&P*, if any.



Keep in mind . . .

*Lack of achievement in one of the areas of **teaching** or **research** cannot be offset by outstanding achievement in the other area.*

Starting the process:

- Mandatory consideration for tenure occurs during the 7th year of full-time employment, which includes any time allocated for prior service at other universities as specified at the time of hiring.
- Extensions beyond the 7th year may be granted by the Provost for such extenuating circumstances as parental leave, or health reasons.

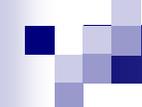


For certain cases of **exceptional performance** . . .

Consideration for tenure/promotion can commence prior to the 7th year if requested by the faculty member and recommended by the Chairperson of the department or recommended by a vote of the tenured members of the department.

Contents of the Promotion and Tenure File:

- 1) **Brief contractual history** (*provided by department*)
- 2) **Letter from the Dean to the Provost** (*provided by Dean*)
- 3) **Summary of College Senior Advisory Review Committee discussion** (*provided by Dean's office*)
- 4) **Letter from the department Chair to the Dean**, including vote of the tenured faculty (*provided by Chair*)

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- 5) **Minutes of the tenured faculty meeting when voting occurred**, including report of any faculty evaluation subcommittee (*provided by department*)
 - 6) **Candidate's C.V.** (*provided by candidate*)
 - 7) **Teaching Evaluations**, including written comments from students (*provided by department*)
 - 8) **Candidate's Statement of Endeavors** (*provided by candidate*)
 - 9) **Letters from external reviewers** (*from lists provided by candidate and department*)

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- 10) **Biographical information from reviewers**
(provided by department)
 - 11) **Copies of previous counseling memos and C.V.s at the time of counseling** *(provided by department)*
 - 12) **Copies of correspondence** between the department Chair and the candidate, and between the Chair and the external reviewers *(provided by Chair)*.

- Appendix A – **Other relevant materials concerning research**: All other materials (e.g. reviews or citations of articles, books, or other creative works) submitted for consideration by the voting faculty that are related to the recommendation. (*provided by candidate*)
- Appendix B – **Other relevant materials concerning teaching**: Optionally, copies of syllabi, outlines, reading lists, examinations, etc., may be included here. (*provided by candidate*)
- Appendix C – **Publications**: Copies of all publications submitted by the candidate for review by the department. (provided by candidate)

Candidate's C.V.:

1) **Date, name, and contact information**

2) **Degrees earned**

Include university, date of degree, subject, title of dissertation, and mentor's name.

3) **Employment history**

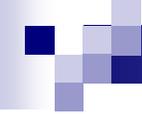
Include post-docs and name of mentor(s).

4) **Honors and awards**

Include information from undergraduate and thereafter. Provide details.

5) Research

- a) **books** (in print or accepted); list separately (i) authored and co-authored works; (ii) edited volumes
- b) **articles** (in print or accepted) **in refereed journals**
- c) **book chapters**
- d) **articles in conference proceedings**
- e) **book reviews**

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- f) **working papers and books** (list current state; e.g. submitted, under contract, etc.) Note: avoid the word “forthcoming”
 - g) **research grants received** (including granting agency, period of grant, amount of grant)
 - h) **research grant proposals currently under review**
 - i) **invited presentations** (list title of talk and any support provided by host institution)
 - j) **published abstracts**
 - k) **conference presentations**



The full citation (including beginning and ending page numbers in book chapters, journal articles and proceedings) of published works must be provided.

For works accepted but not yet published, the number of their manuscript pages should be provided.

C.V. Cont'd

For **Co-authored Works . . .**

- Complete citations listing all co-authors in correct order must be given.
- The role of the candidate must be fully explained.
- Indicating percentage of the candidate's contribution is helpful but not sufficient.
- Explanations should follow each bibliographic entry.
- Further discussion can be included in the *Statement of Endeavors*.

C.V. Cont'd

6) Teaching-related Activities:

- list any new courses introduced;
- graduate students whose Masters/Ph.D. dissertations you have directed;
- training grants received;
- undergraduate research projects supervised.

C.V. Cont'd

7) Service

- To Department:
- To College:
- To University:
- To Profession:

Teaching Evaluations:

This section of the file will contain data for all courses taught since the candidate was hired and will include:

- a) Students' written comments
- b) Mean numerical ratings for all questions on the standard evaluation form
- c) Measures of how the candidate's numerical ratings compare to other faculty members teaching the same or similar courses (e.g., means & standard deviations across faculty). This information will be prepared by the Dean's office.



Candidate's Statement of Endeavors:

Candidates should provide a clear, complete, and well-documented report of their activities and achievements in each of the three areas of performance--teaching, research and service.

- Typically 6-12 pages.

Endeavors: Teaching

- Must be more than a list of activities
- It should articulate the candidate's teaching philosophy and objectives.
- Include past and planned course and curriculum development and any pedagogical initiatives, innovations or experiments and their results.
- Syllabi, course materials, and the like may be included in Appendix A. Do not add them here.

Endeavors: Research

- Introduction should be understandable to non-expert.
- Describe how your research relates to the discipline as a whole and to other academic programs.
- Describe works-in-progress, expected dates of completion, book contracts or expressions of publisher's interest.
- Amplify on roles in any collaborative projects.



Endeavors: Service

- Briefly describe roles as departmental, college and university citizen
- Identify those areas of service that you found particularly rewarding, and those in which involvement is desired
- Examples of service to the discipline may also be included in this section.

Selection of **Outside Reviewers**

- Promotion files should include at least 6 letters of reference solicited, in writing, by the Chair from a list approved by the Executive Dean.
- Of these six, at least 3 should be from individuals selected by the Chair from a list compiled by the candidate of no more than 6 qualified reviewers from outside the University.

Outside Reviewers, Cont'd:

- The remaining letters (at least 3 and preferably 4 or 5) should be from reviewers chosen by the Chair in consultation with tenured department members whose fields of expertise are closest to the candidate's.
- Each reviewer should be a leading scholar in the field who has no vested interest in the outcome of the case and who has not interacted with the candidate in any way that might compromise his/her objectivity.



- Typical examples of **non-eligible reviewers include:**

- A coauthor of an article or book;
- A Ph.D. mentor or postdoctoral advisor;
- A former colleague or classmate; and
- Anyone who has previously written on the candidate's behalf (an exception can be made upon presenting compelling reasons)

Selection of Reviewers:

- It is expected that the **reviewers will be at the full professor level** with exceptions in rare circumstances
- Every effort will be made to obtain reviewers **from leading programs in the discipline** of the candidate (typically, top 25 ranked departments). It is recognized that many highly qualified reviewers are not in leading or NRC-ranked departments. Thus, when **exceptions to this guideline** are proposed they **must be justified**.
- The file must note any personal or professional associations between the candidate and any contributing reviewer.

Confidentiality:

- In matters of personnel decisions, the Chair of the department alone speaks for the tenured faculty of the department.
- Department members have the responsibility to maintain the strictest confidentiality.
- In particular, they may not reveal or discuss the transactions of the decision meeting, the votes, the contents of letters, the names of referees, or the outcome of the meeting.

Confidentiality, Cont'd:

- The Department Chair will advise a candidate for promotion in writing (with a copy to the Dean), within three days of the departmental meeting, of the decision reached by the tenured faculty (whether or not to recommend promotion).
- The vote tally is not reported to the candidate.
- If the vote is divided, the fact of division may be reported to the candidate, but not the specific count of votes.



Viewing the File:

If a candidate for promotion asks to see his or her personnel file, under the provisions of the legislation passed by the faculty, the right of access does not include evaluations, departmental recommendations, or solicited letters of recommendation.

Senior Advisory Review Committee

(SARC):

- Appointed each year by the Executive Dean of the College, it reviews all files for tenure/promotion sent forward by a department.
- It does not vote on the cases, but rather acts in an advisory capacity to the deans by discussing strengths and weaknesses of the file.
- It consists of two distinguished senior A&S faculty from each of the three areas: humanities, social science, and natural science, along with the Executive Dean, the Associate Dean for Graduate Studies and the Dean.

The University Promotion and Tenure Review Committee (PTRC):

- Appointed by the Chancellor upon the recommendation of the Provost, the committee reviews, discusses, and votes on each promotion/tenure case.
- It is composed of 9 distinguished members of the faculty, only one of whom is from administration.
- **Membership includes:**
 - **3 representatives from the College of Arts and Science**
 - **One representative each from Engineering, Divinity, Peabody, Owen, and Law**
 - **The Associate Provost for Research and Graduate Education.**

PTRC, Cont'd:

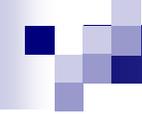
- **The deliberations of the PTRC are essentially based on the evidence presented in the written file.** All members of the committee are asked to read the entire file of each candidate.
- Normally, neither the Dean of the College/School nor the Chair of the candidate's department are interviewed during the deliberation process.
- However, the Committee may request further clarification of the documentation presented in the file.

PTRC, Cont'd:

The vote of the committee along with its rationale are communicated to the Associate Provost for Faculty and then to the Provost. In case of a negative decision, the Dean is notified at this stage and can appeal to the Provost.

The Provost's Recommendation:

- The Provost reads and evaluates recommendations for tenure and promotion received from the PTRC.
- The Provost also decides appeals by deans of negative decisions by the PTRC.
- The Associate Provost for Faculty advises the Provost on strengths and weaknesses of the case.
- Positive decisions by the Provost are communicated to the Chancellor.
- Negative decisions are final and may not be appealed by any party.

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- ***The Chancellor's Recommendation:*** The Chancellor must approve all recommendations for tenure and promotion before they are forwarded to the Board of Trust.
 - ***The Board of Trust:*** This committee is responsible for the final approval of any tenure case.
 - ***Final Decision Announcements:*** For cases of promotion to tenure, announcements are normally, but not always, made within a few days following the December & April meetings of the Board of Trust.