

Promotion and Tenure Document

COLLEGE OF SCIENCES AND HUMANITIES

EFFECTIVE FOR
2011-2012

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COLLEGE OF SCIENCES AND HUMANITIES³²

1. Guidelines for Promotion and Tenure
 - 1.1 The evaluation of a faculty member's eligibility for promotion or tenure shall be based on evidence of a continuing pattern of achievement throughout the faculty member's professional career in the following areas:
 - 1.11 Teaching;
 - 1.12 Scholarship;
 - 1.13 Service in a professional capacity.
 - 1.2 Work accomplished before hiring at Ball State, as well as work accomplished while a faculty member at Ball State, will be considered in promotion and tenure deliberations. It is understood that greater attention and significance will be given to the work accomplished during the appointment at Ball State.
 - 1.3 Promotion to Associate Professor is not coupled to the initial tenure decision during the sixth creditable year in rank. Candidates for promotion to Associate Professor are encouraged to take the time necessary to provide evidence of sustained productivity at Ball State University. Candidates should present a vita that clearly demonstrates high quality in the areas of teaching, scholarship; and service in a professional capacity. This does not preclude application for promotion to Associate Professor prior to the fifth or sixth creditable year in rank in cases when sustained productivity can be demonstrated earlier.
2. Definitions
 - 2.1 Department and departmental refers to the twenty departments housed within the College.
 - 2.2 College and collegiate refers to the College of Sciences and Humanities
 - 2.3 Reconsideration refers to the initial action required when there is an adverse recommendation concerning promotion or tenure at the departmental level. Request for reconsideration by the departmental promotion and tenure committee is the first step to be taken by the appellant.
 - 2.4 Appeal refers to the action taken by the appellant when the outcome of the departmental reconsideration is the same as the original recommendation or when an adverse recommendation is made at the College or Provost and Vice President for Academic Affairs level.
 - 2.5 Working days are those days when Ball State University administrative offices are open.
 - 2.6 Calendar days are the days which appear on a calendar, including Saturday, Sunday, and holidays. They do not relate to the Ball State academic schedule or calendar.
 - 2.7 Tenure-track faculty are those who are currently in the seven-year probationary tenure period.
 - 2.8 Tenured faculty are those faculty who have been granted tenure.
 - 2.9 An external reviewer is an individual from outside the university who has demonstrated expertise in the candidate's area.
 - 2.10 Scholarship is the process of attaining new knowledge, creating a new work, or re-creating/interpreting existing works, and disseminating the results. Generally this takes the form of appropriate peer reviewed publications, presentations or exhibits, performances, other creative endeavors, and grant proposals. Scholarship can occur in four areas: discovery, integration, application, and teaching

- 2.101 The scholarship of discovery is traditional research and creative endeavors that pursue and contribute to new knowledge for its own sake.
- 2.102 The scholarship of integration makes connections across disciplines bringing together isolated knowledge from two or more disciplines or fields to create new insights and understanding.
- 2.103 The scholarship of application applies knowledge to address significant societal issues.
- 2.104 The scholarship of teaching studies the development of knowledge, skill, mind, character, and/or ability of others.

3. Policy for Evaluation of Scholarship

- 3.1 Ball State University recognizes the importance of providing a climate in which professors pursue independent or collaborative scholarly activities or creative endeavors.
 - 3.12 Departments will recognize and reward the four areas of scholarship: discovery, integration, application, and teaching.
 - 3.13 Each department or school shall define its own emphases and the appropriateness of each faculty member's scholarly productivity and creative endeavors.
 - 3.131 Faculty shall NOT be required to participate in each of the four areas of scholarship.
 - 3.14 Each faculty member shall communicate clearly to the chairperson or director his or her goals and accomplishments, which contribute to the departmental goals and emphases.
 - 3.15 Each faculty member shall communicate clearly to the chairperson or director the appropriateness of his or her creative endeavors and means of disseminating results of scholarly productivity. The traditional methods of dissemination through refereed publications, presentations, exhibitions, productions, concerts, and other recognized professional formats currently evolving will be considered.

4. Qualifications for Tenure-track or Tenured Faculty Academic Rank

- 4.1 There are three basic ranks for tenure-track or tenured faculty: Assistant Professor, Associate Professor and Professor. The qualifications for each rank are as follows.
 - 4.11 Assistant Professor
 - 4.111 Evidence of effective teaching performance or evidence of potential for excellence as a teacher
 - 4.112 Evidence of, or potential for Scholarship
 - 4.113 Evidence of, or potential for, significant professional service
 - 4.12 Associate Professor
 - 4.121 Evidence of high quality teaching
 - 4.122 Evidence of high quality Scholarship
 - 4.123 Evidence of high quality professional service
 - 4.13 Professor
 - 4.131 Evidence of excellence as a teacher
 - 4.132 Evidence of excellence in scholarship, including at least two letters from external reviewers who have reviewed and commented upon the evidence of excellence.
 - 4.133 Evidence of excellent professional service
- 4.2 Departmental promotion and tenure documents must specify the earned degrees, professional training, professional experiences and/or other appropriate certifications that the department requires for each academic rank. A department may require an appropriate earned doctorate for the ranks of associate professor or professor.
- 4.3 Departmental promotion and tenure documents may provide

- more specific articulations of the qualifications for academic rank as appropriate to the department's disciplines.
- 4.4 For new hires, academic rank will be recommended by the department and approved by the Dean of the College and the Provost and Vice President for Academic Affairs.
5. Annual College Procedures
 - 5.1 Each year the College Promotion and Tenure Committee will review college procedures including the vita form and the evaluation form. After review, the committee will approve procedures and forms to be used by that committee. Once approved, the procedures and forms will be forwarded by December 1 to the University Promotion and Tenure Committee for their review, will be distributed to department chairpersons, and will be placed on file in the Office of the Dean.
 6. College Promotion and Tenure Committee
 - 6.1 The regular full-time faculty of each department in the College of Sciences and Humanities will elect a Department Promotion and Tenure Committee. The committee shall consist of tenure-track and tenured faculty members of the department. However, by unanimous consent of the regular full-time faculty, one of those serving on the departmental committee may be from another department. No candidate shall be evaluated by a Promotion and Tenure Committee of fewer than three (3) eligible voting members. An untenured member of the committee must recuse herself/himself from consideration of his/her own candidacy. The department chairperson shall be an ex officio non-voting member. The departmental committee shall elect its own chairperson, but no faculty member who has served as a regular faculty member for less than one year at Ball State University shall be eligible to become chairperson. The chairpersons of the Department Promotion and Tenure Committees will generally comprise the Promotion and Tenure Committee of the College of Sciences and Humanities (hereafter referred to as the College Committee). In the event that a member of the College Committee cannot continue his/her duties for any reason, the approved departmental replacement policy shall be invoked to find an immediate replacement for the college committee. A department committee, for reasons it deems good and appropriate, may be represented on the College Committee by someone other than the chairperson of the department committee. In addition, the dean and associate deans will be non-voting ex officio members, and the college's representative on the University Promotion and Tenure Committee will serve as a non-voting liaison to the University Committee. In the event that a member of the College Committee or his or her spouse is considered for promotion, he or she must resign from the College Committee.
 - 6.2 The College Promotion and Tenure Committee will elect the following officers:
 - 6.21 A chairperson.
 - 6.22 A secretary.
 - 6.23 A chairperson of the Criteria Subcommittee who will appoint two additional members from the College Committee to the Criteria Subcommittee;
 - 6.24 A chairperson of the Appeals Subcommittee who will organize appeal panels as they become necessary. The chairperson of the Appeals Subcommittee will serve as the designee of the chairperson of the College Promotion and Tenure Committee.
 7. College Procedures
 - 7.1 The chairperson of each department promotion and tenure committee should forward by November 1 of each year to the College Committee a copy of the department's current policies, procedures, and criteria for promotion and tenure and should note any changes made during the intervening year. These materials will be reviewed by the members of the Criteria

Subcommittee which shall report regarding compliance with the College policies and procedures. The chairperson of the department committee will be consulted when clarification of the department's documents is needed. Each department's policies, procedures, and criteria must comply with those of the University and the College.

7.2 Promotion and Tenure

7.21 In accordance with the department's policies, procedures and criteria, the Department Promotion and Tenure Committee chairperson and/or the chairperson of the department will prepare recommendations on promotion and tenure. Recommendations for promotion and tenure will be submitted to the Dean of the College by the date established each year by the College Committee. Persons recommended for promotion to the College Promotion and Tenure Committee must be informed by the department (in writing) of their rank order on the departmental promotions list at least five working days prior to the submission deadline in the Office of the Dean.

7.211 Recommendations for tenure and/or promotion will be supported by documented and specific evidence pertinent to criteria adopted by the department, college, and University. Each candidate must complete the standard vita form prepared by the College Committee and available in the Office of the Dean.

7.212 In the case of a candidate seeking promotion to Professor, a minimum of two letters from reviewers external to the University shall be included. Such letters shall provide supplementary review of the candidate's scholarship, creative endeavors, and other scholarly productivity.

7.213 To select external reviewers, the candidate will provide the Department Promotion and Tenure Committee Chair the names of at least two external reviewers and explain in writing why each individual was proposed as a reviewer. The candidate will also describe the relationship, if any, between the candidate and each reviewer. The Department Promotion and Tenure Committee will select at least two additional external reviewers and record in writing why each individual was proposed as a reviewer. The candidate and the Department Promotion and Tenure Committee will jointly decide on the reviewers to be contacted for letters. One-half of the contacted reviewers must be from the candidate's list. If an agreement on the reviewers to be contacted cannot be reached, the dean will decide the issue.

7.214 All letters received from external reviewers will be available to evaluators in the promotion review process. These review letters shall be inserted and retained in the candidate's Promotion and Tenure file for use by the departmental, collegiate, and, in the case of an appeal, University Promotion and Tenure Committee, and by the Provost in promotion deliberations for the current year.

7.215 Not later than one week prior to the beginning of the Departmental Promotion and Tenure Committee's consideration of the candidate's promotion to Professor, the chair of the committee shall make a copy of the set of external letters received available to the candidate for review. In the set of external letters presented to the candidate, the anonymity of the external reviewers will be protected by blocking out all information in the letter that could be used to identify a reviewer (such as her/his name, position, letterhead identifying the location of employment, etc.). This set of letters

shall be referred to as the redacted file. The candidate may respond in writing to information included in the redacted file for inclusion in the promotion file. Any written responses and all copies in the redacted file must be delivered by the candidate to the chair of the Departmental Promotion and Tenure Committee before the scheduled beginning of the committee's consideration of the candidate's promotion to Professor.

7.216 At the conclusion of promotion deliberations, the redacted file will be destroyed by the Office of the Dean. The original letters from external reviewers shall be retained in a confidential file in the Office of the Dean. Once letters are placed in this separate confidential file, they cannot be reopened for the purposes of subsequent promotion deliberations at any level of consideration unless requested by the candidate.

7.22 The Dean of the College will receive department recommendations and supporting documentation for promotion and tenure and check them for compliance with current college criteria. Any recommendations and documentation not meeting the criteria will be returned immediately to the department for review and resubmission.

7.3 Procedures for Tenure

7.31 Whenever possible, standard letters should be used for stating a candidate's progress toward tenure. Lack of satisfactory progress toward tenure should be identified as early as possible in the standard probationary period of seven years and no later than May 1 of the sixth year. It is recommended that if any reasonable doubt exists as to satisfactory progress toward tenure that a unsatisfactory progress toward tenure letter be given as early as the first year of employment.

7.32 It is mandatory that departments record the nature of any problems along with the dates and the names of those present in meetings in which these problems related to tenure were discussed with the candidates and retain these notes in the department files. The names of regular faculty who are to be dismissed in the first year of their employment are to be sent to the Dean of the College by February 1 and those to be dismissed at the end of their second year by November 15. For those employed two or more years, notice of non-reappointment, or intention not to recommend reappointment, shall be given in writing at least twelve months before the expiration of the appointment.

7.33 The department chairperson will submit the credentials of candidates eligible for tenure to the Dean in accordance with University, College and departmental policies. This will include the recommendations of the departmental promotion and tenure committee and the department chairperson.

7.34 The Dean of the College each year will review the department recommendations and supporting vita for each untenured tenure-track faculty. The Dean may consult with and/or solicit additional supporting materials from the faculty member, the department chairperson, and/or other persons the Dean may deem to have relevant information. The Dean of the College will recommend to the Provost and Vice President for Academic Affairs.

6.341 During the first five years of the probationary period, the Dean will recommend satisfactory or unsatisfactory progress toward tenure, or dismissal, or

7.342 During the sixth year of the probationary period, the Dean will recommend for tenure or for

dismissal, or

7.343 During the seventh year of the probationary period, the Dean will recommend that tenure be granted or that employment be terminated in accordance with University Promotion and Tenure policy as described in Section III 2.113 of the Faculty and Professional Personnel Handbook.

7.4 Procedures for Promotion

7.41 The department chairperson will forward to the Dean two ranked lists of candidates, one for promotion to Associate Professor and one for promotion to Professor, recommended by the department promotion and tenure committee with appropriate supportive evidence and an indication of the department chairperson's endorsement or non-endorsement. A list of items to be treated in the supportive letter will be distributed by the Office of the Dean.

7.42 The Dean of the College will distribute the department recommendations for promotion and the supporting vitae to the members of the College Committee. The Dean will make available to the members of the Committee other documentation that has been submitted with the recommendation for promotion.

7.43 The College Committee will study the recommendations with supportive materials from departments for compliance with policies and procedures established for the College. The Committee

7.431 Will request additional evidence to support recommendations if needed;

7.432 Will meet with department promotion and tenure committees in those instances when in its judgement policies and/or procedures have not been adhered to or some other question exists and request that alterations in recommendations be made;

7.433 May hold interviews with recommending officers or take whatever action is needed to discharge its above review function;

7.434 Will rank the candidates for promotion. In cases where department rankings have been violated and the College Committee does not feel simple modification of the ranking is warranted, the Committee will consult with the Department Committee to effect a reconciliation.

7.44 The College Committee is responsible for submitting two ranked lists, one for promotion to Associate Professor and one for promotion to Professor, to the Dean for forwarding to the Provost and Vice President for Academic Affairs. Each list must respect the department rankings originally submitted or those that may have been adjusted after consultation between the College Committee and respective Department Promotion and Tenure Committee(s).

Any recommendation from the College Committee not receiving approval by the Dean of the College shall be returned to the College Committee with reasons for the disapproval. A two-thirds vote of the College Committee shall be required to override the disapproval after which the Dean must forward the recommendation.

The Dean of the College is instructed to mail letters to all persons whose names have been submitted for promotion by their department informing them of the committee's recommendations.

For those persons not being recommended favorably for promotion by the College Committee and/or the College Dean, the letter must include written statements

delineating the person's strengths and weaknesses in each of the areas of 1) teaching, 2) scholarship, and 3) service in a professional capacity. The College Committee and/or the College Dean may also suggest areas for improvement.

8. College Appeals Subcommittee Policies and Procedures
 - 8.1 Appeals regarding promotion or tenure will be based upon
 - 8.11 Allegation of violation of approved departmental, collegiate, and/or University Policies, including those set forth in the Faculty and Professional Personnel Handbook;
 - 8.12 Allegation of unfair treatment on the part of the decision makers;
 - 8.13 Allegation of discriminatory treatment on the part of the decision makers.
 - 8.2 The Appeals Subcommittee will adhere to the University Promotion and Tenure Committee Policies.
 - 8.3 The Appeals Subcommittee Chairperson will review the appeals documents to determine whether the appeal specifies a criterion established in 6.1. Documents which do not specify any of these criteria will be returned immediately to the appellant for review and resubmission. The appellant must resubmit or withdraw the appeal within five (5) working days from the date of notification by the Appeals Subcommittee Chairperson. Upon resubmission the Appeals Subcommittee Chairperson will form an appeal panel to hear the appeal.
 - 8.4 Persons who will be involved in an appeal hearing:
 - 8.41 The appellant who has the prerogative of being accompanied by a full-time regular Ball State faculty or professional personnel member to serve as faculty colleague for the appellant and/or a recording secretary;
 - 8.42 The department chairperson and the Department Promotion and Tenure Committee chairperson (unless the chairperson of the Appeals Subcommittee appoints a different individual or individuals to represent the department) who would present the case for the department including such material as minutes of promotion and tenure meetings involving the appellant;
 - 8.43 Witnesses who may be called by the appellant, the department and/or the chairperson of the appeal panel. Each witness will be present at the appeal hearing only during his or her testimony;
 - 8.44 The Dean or the Dean's designee who will be an ex officio non-voting attendant at the hearing;
 - 8.45 The appeal panel who will hear the appeal.
 - 8.5 Persons who will serve on the appeal panel:
 - 8.51 The Chairperson of the Appeals Subcommittee or his or her designee who will chair the appeal panel;
 - 8.52 Four additional faculty members who will be appointed by the chairperson of the Appeals Subcommittee, at least two (2) of whom must also be members of the College Promotion and Tenure Committee. Appointed members must be from four departments other than that of the appellant. The appeal panel must be in accordance with University Promotion and Tenure policy as described in Sections IV 2.3 and VII 3.52 and 3.522 of the Faculty and Professional Personnel Handbook. The chairperson of the appeal panel will appoint one member of the appeal panel as the panel's recording secretary. When the appellant is from the same department as the chairperson of the Appeals Subcommittee or the chairperson of the Appeals Subcommittee has a conflict of interest, the chairperson of the College Promotion and Tenure Committee will organize the appeal panel in accordance with the policies and procedures established by the College.
 - 8.6 Appeals will be conducted only when all members of an appeal panel are present.
 - 8.7 Preparation for and conduct of the appeal hearing:
 - 8.71 At least five (5) working days prior to the date of the hearing, the appellant must submit a written statement

- clearly detailing the basis (bases) of the appeal along with copies of all pertinent related documents to the chairperson of the appeal panel;
- 8.72 At least five (5) working days prior to the date of the hearing, the appellant's department (department chairperson and/or chairperson of the Promotion and Tenure Committee) must submit a written statement clearly detailing responses by previous committees that have heard the appeal along with copies of all pertinent related documents to the chairperson of the appeal panel;
- 8.73 At least (5) working days prior to the date of the hearing, both the appellant and the departmental representatives must submit a list of witnesses (if applicable) to the chairperson of the appeal panel;
- 8.74 The materials listed above in Sections 8.71, 8.72 and 8.73 will be distributed for review to all parties participating in the hearing, excluding witnesses, at least three working days prior to the hearing;
- 8.75 The chairperson of the appeal panel will open the hearing by outlining the procedure to all participants;
- 8.76 The procedure will include the following steps:
- 8.761 The appeal panel and the College Dean or a designee will have reviewed all materials previously submitted;
- 8.762 The appellant and faculty colleague will make a presentation not to exceed thirty (30) minutes (the time used by witnesses will be included within the thirty (30) minutes);
- 8.763 At the close of the appellant's time period, members of the appeal panel may question the appellant and witnesses;
- 8.764 After the panel's questions have been answered, the departmental representatives may give a rebuttal not to exceed five (5) minutes;
- 8.765 Following the rebuttal, members of the appeal panel may ask questions;
- 8.766 The departmental representatives will make a presentation not to exceed thirty (30) minutes (the time used by witnesses will be included within the thirty (30) minutes);
- 8.767 At the close of the department's time period, members of the appeal panel may question the departmental representatives and witnesses;
- 8.768 After the panel's questions have been answered, the appellant may give a rebuttal not to exceed five (5) minutes;
- 8.769 Following the rebuttal, members of the appeal panel may ask questions;
- 8.7610 The chairperson of the appeal panel will ask both parties if they believe the hearing was conducted fairly (responses will be recorded in the minutes of the hearing);
- 8.7611 The chairperson of the appeal panel may extend the time limitations with the approval of the majority of the panel.
- 8.8 The chairperson of the appeal panel shall call a separate meeting of the appeal panel only to deliberate the appeal. Before the final decision, both the appeal panel and the Dean, or the Dean's designee, may request a meeting with each other. Decisions will be made by anonymous written ballot and will require a simple majority. The chairperson of the appeal panel will orally notify the appellant, the department, and the Dean's Office of the decision and will provide written confirmation to the parties with copies provided to the proper College and University officials for appropriate action. When the appeal panel upholds an appeal, it must specify a remedy for the situation or specify a recommended course of action to the appropriate parties.

9. Promotion and Tenure Policies and Procedures

- 9.1 University (See Faculty and Professional Personnel Handbook).
- 9.2 College (A complete set of documents pertaining to the policies and procedures of the College Committee and subcommittees is available upon request in the Office of the Dean).

Approved by 2010-2011 College P&T Committee April 9, 2010