

# *Candidate's Packet*

## **Promotion-Only Cases**

### **2011-2012**

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**The corresponding version of Statement 11 for academic year 2011-12 is Version 14 – December 14, 2010.**

**APPLICATION FOR CONSIDERATION TO THE COMMITTEE  
ON TENURE AND PROMOTION**

The individual proposing the candidate for consideration and the candidate should complete this form. In preparing this application, all questions should be retyped in the order listed, whether or not the questions are applicable to the particular candidate. The original and all copies of the completed form are to be included in the original and copies of the case delivered to the Committee on Tenure and Promotion. One copy is for the candidate; and one is for the Chair/Preparator of the Candidate's department. The candidate and Preparator should review the entire application to be sure that they understand the procedure, so that the necessary information can be transmitted in a timely fashion.

**I. GENERAL INFORMATION**

- A. Name of Candidate
- B. Rank
- C. Department
- D. Consideration for
- E. Full-time teaching experience at college or university level at rank of instructor or higher. (Begin with the most recent.)  
  

<u>Institution</u>	<u>Rank</u>	<u>Dates</u>
- F. The nature of the candidate's original appointment at Tufts, exclusive of salary (e.g., rank, length of contract, credit for previous teaching experience).
- G. Joint, adjunct, or associate appointments, within or outside the university, held by the candidate.
- H. The nature of the candidate's present contract, exclusive of salary.

**II. SCHOLARSHIP**

- A. Education  
  

<u>Institution</u>	<u>Date of Degree</u>	<u>Degree</u>
- B. Title of doctoral dissertation
- C. Describe briefly the scholarship and research in which the candidate is currently engaged and future plans for such. (See statement of criteria of Committee on Tenure and Promotion.)
- D. Publications and scholarship accomplishments and creative work (including published or other professional evaluations of the candidate's work, peer review comments on grant applications, etc.).
- E. Invited participation in professional conferences and other similar activities.

- F. Titles of grant applications, indicating dates of submission and agencies to which the applications were submitted.
- G. Fellowships, awards, grants, or other prizes.
- H. Consulting in his/her field.

III. **TEACHING** (indicate normal teaching load and department norm)

- A. Titles of courses taught in past five years:

Academic Year Course Title # Students Enrolled

- B. Number and type of independent studies, theses, or dissertations directed in past three years.
- C. Curriculum, course or instructional innovations candidate developed.

IV. **DEPARTMENT, PROFESSIONAL, AND COMMUNITY ACTIVITIES**

(Please indicate which activities have been particularly time-consuming or of special significance to the department, profession, community, or university.)

- A. Departmental committees and special activities.
- B. College and university committee appointments and special activities.
- C. Inter-university appointments.
- D. Memberships, offices in professional or scholarly societies and other relevant professional activities.
- E. Civic activities, other appointments or offices.

V. **OTHER INFORMATION** which should be brought to the attention of the Committee to support this request.

VI. **NAME OF PREPARATOR**

**DEPARTMENT AND RANK**

**SIGNATURE AND DATE**

VII. **SIGNATURE OF CANDIDATE**

**DATE**

**TENURE AND PROMOTION COMMITTEE BYLAWS (effective 9/1/08)**

(c) A **Committee on Tenure and Promotion**, consisting of six tenured members of this Faculty elected by the entire voting Faculty, and the Provost, without vote. At all times, the Committee membership shall include at least two members from the faculty of the School of Arts and Sciences and one member of the faculty from the School of Engineering. No more than one member of a single department may be a member of this Committee at any one time.

The Committee shall elect its own chairman, vice-chairman, and secretary. In the event that an individual being considered is a member of the same department as the chairman of the Committee, the vice-chairman shall serve as chairman.

This Committee shall review the qualifications of all individuals who are proposed for consideration for a tenured position or who are proposed for promotion above the rank of assistant professor, or who request such consideration. It shall requisition and consider all evidence that has a bearing on the individual under consideration. This shall include a departmental statement, and a privately submitted evaluation and recommendation to the chairman of the Committee on Tenure and Promotion from each tenured member of the candidate's department(s); non-tenured members are invited to submit evaluations and recommendations but are not required to do so. After review of the confidential letters by the Committee on Tenure and Promotion, the Committee will forward these letters along with the rest of the candidate's dossier to the Administration, unless the case is tabled. Confidential letters will be kept secure by the Secretary of the Faculty for three years from the date of official action by the Board of Trustees on the candidate's application, at which time the letters will be destroyed, unless the Administration has been legally enjoined from doing so.

The departmental statement shall reflect the full range of opinion of department members who vote on the application, record the numerical vote, and be signed by all voting members. When department members cannot agree on a single statement, a signed minority statement shall be submitted. The statement(s), including a list of members who voted, shall be made available to the candidate who has the option to submit a timely written response to the department statement. When pertinent, the views of colleagues, both tenured and non-tenured, in other departments, and of individuals from outside the University shall be obtained. The Committee may ask any of the above persons, or the candidate himself/herself, to appear in person. Each department will maintain records of student opinion of faculty members, from which information about a candidate will be made available to the Committee when appropriate.

For each candidate under consideration for Tenure, the Committee on Tenure and Promotion shall create an external subcommittee. Each External Subcommittee shall consist of: (a) two members of the Committee on Tenure and Promotion, one of whom shall serve as chair; (b) two members of the department(s) concerned, elected by the tenured member(s) of the department; and (c) one member, hereafter referred to as the outside expert, selected by the tenured members of the department(s) concerned. This outside expert should be from the same discipline as the candidate, or a related field.

Members of the External Subcommittee shall review and meet to discuss all the evidence presented in a candidate's case. At the request of any single member of the External Subcommittee, the External Subcommittee shall meet with all of the voting members of the Committee on Tenure and Promotion for further deliberations. Such request may be expressed prior to the External Subcommittee meeting, in which case the larger meeting may take place immediately following the External Subcommittee meeting (for the convenience of the outside expert). Such request may also be expressed at the conclusion of the External Subcommittee meeting, in which case the larger meeting may have to take place on a later date. Following the External Subcommittee meeting, and, if requested, the larger meeting with all voting members of the Committee on Tenure and Promotion also present, the Subcommittee Chair will prepare a written report that reflects the discussions and findings of these meetings; this report shall be signed by all members of the External Subcommittee and shall become a permanent part of the case that goes forward to the Committee on Tenure and Promotion and to the Administration, unless the case is tabled. In no case shall the External Subcommittee vote on the qualifications of the candidate.

For candidates who already hold tenured positions at comparable institutions, and whose appointment at Tufts does not involve a promotion in rank, the Tenure and Promotion Committee may, upon request from the department and the appropriate Dean, review the case without the formation of an external subcommittee. In all other tenure cases or if after initial review of the case the Tenure and Promotion Committee feels that it is necessary, an external subcommittee shall be constituted and meet as described above.

For candidates under consideration for promotion to Full Professor or in any case where an external subcommittee is not convened, the Committee on Tenure and Promotion shall create an internal two-person Tenure and Promotion subcommittee responsible for overseeing and presenting the details of the case to the Committee. If after initial review of the case the Tenure and Promotion Committee feels that it is necessary, the Tenure and Promotion Committee retains the right to gather more information in accordance with the procedures outlined in Statement 11.

The Committee on Tenure and Promotion shall review and deliberate on all the available evidence in the case. The Committee on Tenure and Promotion shall (a) vote on the merits of each case, and it shall submit a written report of its findings for each case, including a record of the vote, to the appropriate Dean; or (b) vote to table the case and report the vote to table to the appropriate Dean.

The deliberations of the Committee shall be considered confidential; however, the Committee's final division on the vote shall be conveyed to the candidate and his/her chair by the chair of the Committee at the time such information is transmitted to the appropriate Dean. The Committee's procedures shall ensure that the candidate is made aware of the names of all proposed referees, subcommittee members, and consultants, and of authors of all unsolicited communications regarding the candidate, in sufficient time to permit written objections and/or alternative suggestions to be considered prior to relevant actions. Confidentiality of communications received by or on behalf of the Tenure and Promotion Committee shall be honored to the fullest extent permitted by law.

The Committee shall also, in consultation with the Provost and the Deans of the Associated Schools, prepare and review periodically the general criteria for tenure and promotion. These shall be made available in writing to this Faculty.

Nomination and election of members of this Committee shall take place in accordance with the provisions of these Bylaws. With the exception of the Grievance Panel, membership on this Committee shall not preclude membership on any other committee of this Faculty. A member shall serve for three years; with the exception of the first election, one-third of the members shall be elected each year.

**Approximate Timetable for T&P and Promotion-Only Cases**

<b>Item</b>	<b>Mandatory</b>	<b>Non-Mandatory</b>	<b>Promotion</b>
Candidate meets with preparator to discuss process	By March 1	By March 1	By March 1
In consultation with the candidate, the Preparator creates a comprehensive list of all mentees with input from the candidate	Spring	Spring	Spring
The list of reviewers must be submitted to the T&P Chair by	May 1	May 1	May 1
Application must be ready to be sent out to external letter writers by	June 1	June 1	June 1
Letters and materials sent to reviewers	June 1	June 1	June 1
Completed mentee spreadsheet is sent to the Secretary of the Faculty	June 15	June 15	June 15
Secretary of the Faculty contacts mentees identified on mentee spreadsheets (omitting any agreed-upon exclusions)	Late June	Late June	Late June
Secretary of the Faculty sends a reminder email or letter to mentees from whom s/he has not heard	August	August	August
Deadline for mentee letters to be received by the Secretary of the Faculty	August 15	August 15	August 15
Subcommittee meeting should be scheduled	September	September	August 15
Letters back from reviewers	September	September	August 15
Non-confidential mentee letters are delivered to preparators (prior to department meeting)	September	September	September
Departmental vote	October	October	late-September
Departmental statement complete; dossier distributed to subcommittee members, confidential letters to T&P chair	mid-November	November	mid-October
Subcommittee meeting	November/December	November/December	November
T&P vote	Winter	Winter	Winter
Trustees' decision	May	May	February

**The schedule for lateral hires is to be negotiated with the Committee on Tenure and Promotion**

## Procedure for Evaluating Mentors

### *Definitions*

- Mentee:** Those who have worked closely with the candidate in out-of-classroom settings
- Those who have worked in the candidate's laboratory (both undergraduate and graduate students)
  - Post-doctoral associates
  - Graduate students
  - Advisees for senior theses and projects (Summer Scholars, etc.)
  - Those who have done plays, projects, performances under the candidate's direction.

**Still at Tufts:** Those mentees who are still a student or employee at Tufts.

**No Longer at Tufts:** Those mentees who are no longer affiliated with Tufts as a student or employee.

### *Procedures*

1. In consultation with the candidate, create a comprehensive list of all mentees. Use the accompanying template to document this information.
  - a. For tenure cases, consider the entire time the candidate has been at Tufts.
  - b. For promotion cases and lateral hires, consider the past five years.
2. Once the list has been created, the candidate has the right to request exclusions. In consultation with the candidate's department, T&P will decide whether an objection should be honored and a letter not be requested.
  - a. All objections should be recorded in writing and accompany the spreadsheet.
  - b. All correspondence about the objection should become a part of the case going forward.
3. Gather contact information by contacting the Alumni Office. See *Requesting Alumni Address Information* for T&P Process instructions.
4. Send completed spreadsheet to the Secretary of the Faculty, which includes the following information:
  - a. Names of students
  - b. Still at Tufts or No Longer at Tufts: please indicate the category
  - c. Level of student: indicate if the student was/is an undergraduate, M.A. candidate, Ph.D. candidate or post doc

- d. Relationship to candidate, e.g., Ph.D. advisor, Senior Thesis advisor, lab director, etc.
  - e. Any objections? Describe briefly in an accompanying document attached to the spreadsheet. These individuals should remain on the spreadsheet whether they will be asked or not.
  - f. Mailing information (paper and electronic) as supplied by the Alumni Office.
  - g. A copy of this spreadsheet and any accompanying objections should be included as a part of the original dossier.
5. All mentees, minus any agreed upon exclusions, will be sent a request letter from the Secretary of the Faculty on behalf of the Chair of T&P.
  6. All responses go directly to the Secretary of the Faculty. A secure designated mailbox has been established for this purpose.
  7. Letters are sorted according to the annotated spreadsheet based on whether the mentee is still at Tufts or no longer at Tufts.
    - a. The Secretary of the Faculty sends a file of letters from mentees no longer at Tufts back to the preparator. The preparator should make these letters available to the tenured members of the department prior to the department meeting so they can be taken into account during department discussions. The candidate does not receive a copy of these letters.
    - b. The Secretary of the Faculty sends a file of letters from mentees no longer at Tufts and a confidential file of letters from mentees still at Tufts to T&P and relevant administrators. (Departments and candidates will not see these letters.)
  8. Once the departmental statement has been submitted, departments should destroy all hard copies and electronic versions of the letters from mentees.
    - a. T&P and relevant administrators will have access to these letters, so there is no need for departments to maintain a copy.



**Evaluation of mentoring (Template with examples)**

Candidate's Name, Department

First Name	Last Name	Still at Tufts, no longer at Tufts or never at Tufts?	Level of Student during time of relationship	Relationship to candidate?	Any objections from candidate?	Title	Address 1	Address 2	City	State	Zip	Email Address	Asked?	Notes
John	Olin	still at Tufts	PhD candidate	Dissertation reader	no		5 Main St.	Apt. 102	Medford	MA	02155	<a href="mailto:john.olin@tufts.edu">john.olin@tufts.edu</a>	SoF will	
Marianne	Tufts	no longer at Tufts	Undergraduate	2nd reader on senior thesis	yes		700 N. Park St.		St. Louis	MO	63119-1931	not available	fill in	
Phillip	Bendetson	never at Tufts	MA candidate	Master's thesis advisor	yes		address unavailable					<a href="mailto:phillip.bendetson@tufts.edu">phillip.bendetson@tufts.edu</a>	this	
Suzanne	Dowling	no, graduated 2005	Undergraduate	Summer Scholar Advisor	no	Program Director	1 Professional Lane	Anonymous Technologies	Ithaca	NY	14850-6310	<a href="mailto:sdowling@gmail.com">sdowling@gmail.com</a>	column	
Nicole	Ballou	yes	Post Doc	Research Assistant	no		address unavailable					<a href="mailto:nicole.ballou@tufts.edu">nicole.ballou@tufts.edu</a>		

*Click on the link below to open this template in an Excel worksheet.*



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Process\TeachingEva

**STATEMENT #1**

(Issued 1970, revised May 8, 1989)

The criteria for awards of tenure and/or promotion are in general terms familiar to all: quality of mind, creativity, scholarship, teaching effectiveness, and contributions to the university and the profession. The Committee looks for evidence of excellence in all of these areas in every candidate, but does not apply a rigid formula.

We expect evidence of excellence in scholarship in all tenure and in all promotion cases. In tenure cases, clear promise of continued productive scholarship is particularly important. Cases involving promotion of previously tenured faculty should confirm that initial promise is being realized and that the candidate has achieved substantial professional recognition. The quality of the scholarship is traditionally judged by one's peers through published works. Papers read at meetings of learned societies, lectures to knowledgeable public groups, and participation in colloquia or panel discussions at one's own or other universities may also be given consideration. Creative works—literary, artistic, engineering, and other professional—are further kinds of evidence for the judgement of quality of mind.

We look for excellent teaching and advising. Innovative teaching in all areas is valued. We hold that research is directly and indirectly related to quality and substance of teaching and believe that creative engagement in new developments within the field is essential. Among the criteria used are student evaluations, peer assessments, and other appropriate measures. Unless a teacher is renewed intellectually, a high quality of teaching cannot be maintained.

Participation in the academic community is also part of the normal expected responsibilities of a Tufts professor. The quality of this kind of activity constitutes part of an individual's credentials, as does the role an individual plays in the wider community. In the area of service, the Committee does distinguish between tenure and promotion-only cases. In promotion-only cases, we expect a solid record and commitment to university and professional life. Our expectations are less in tenure cases, but we always look for demonstrated capacity to serve and quality of service.

**STATEMENT #8**

(Issued January 19, 1981)

During the first six years of its existence, this Committee issued seven Statements to inform the Faculty of its standards and procedures. For the last five years, no such statement has seemed necessary, largely because the changes in its emphasis have been imperceptible, despite membership turnover. In this interval, other committees have discussed our standards and procedures. For example, the Executive Committee of the Tufts Chapter of the A.A.U.P. periodically distributes to new faculty its memorandum of 20 December 1976 "Policies and Practices Regarding Tenure of Arts and Sciences." Last year, Dean Harleston named an Ad Hoc Committee on Promotion and Tenure Policies whose report has been discussed by the Faculty at several of its meetings and some of the recommendations therein have been voted. With so much opportunity for change, and with the suspicion at large that change has occurred, it is important for us to specify all of the differences we detect.

When the Faculty and Trustees adopted the Bylaw creating this Committee, at the end of its first year, they believed (c.f. Statement #1): "...to be eligible for promotion no minimum length of service is required in any academic rank."\* While that policy has not always held over the years, it is once again our policy. We will consider promotion to Associate Professor with tenure for a faculty member who is not yet in the sixth probationary year. We will consider initial appointments at the rank of Associate Professor or Professor with tenure. We do not encourage premature review, but, in some cases, a department must act to protect a valued colleague from the blandishments of other schools or private industry. When an individual consents to an early review, he or she can be assured that the length of the probationary period, while known to the Committee, will be neither an asset nor a liability in its eyes. The Department should be reminded that if it presents a weak case for early review, it risks a rejection by the Committee (and subsequent reviewers) which would not "protect" the individual in question and might prejudice a future review.

The same can be said, but with much less force, for promotions from Associate Professor to Professor. We have, on occasions in the past, tabled consideration of a case we felt was premature. While this has some of the negative aspects of a rejection, it should encourage the candidate to complete any work in progress so that a stronger case can be made. If the case can be reopened within a year, no new application is required.

In the very next statement of this Committee, there was a hint that tenure quotas, by department, would guide the application of criteria. Today we have no quotas. We do make our decisions on tenure late in the fall semester (almost never) or early in the spring semester (not so very early). By voting on the candidacies at one sitting, we reduce the risk of rejecting a candidate whose case is stronger than one we recommend. However, we do not consciously adjust our standards to fit the current candidates. Rather, we attempt to apply relatively constant standards from year-to-year.

Another rumor which we would like to put to rest is that teaching and service do not, in fact, count. One may argue in some cases that they do not count for much, but the fact is that they do, in some cases, count for a great deal. Service is, perhaps, seldom decisive and scholarship is, clearly, often decisive, but we feel you do your younger colleagues a disservice if you oversimplify our criteria, which is the same as outlined in Statement #1 of the Committee which was distributed to the faculty in 1970 and is included here for your reference.

Members of the Committee:  
 T.J. Anderson (Music)  
 M. Loutfi (Romance Languages)  
 Z. Luria (Psychology)  
 J. Schlesinger (Mathematics)  
 L. Shaffer (History)  
 P. Hill (Engineering Design)  
 Chairman

\*This reference is to an earlier version of Statement #1

**STATEMENT 12****March 30, 2005**

The general criteria for the award of tenure and promotion are well known and have not changed since the publication of Statement #1 (1970, revised 1989; see excerpts below). Nevertheless the Tenure and Promotion Committee has found it useful to issue occasional clarifications. This is such a statement. It does not represent any change in policy.

The Committee reiterates that recommendations for tenure and promotion are based on an overall evaluation of the candidate's scholarship, teaching and service, with the long-term goal of steadily improving the quality of the faculty. We emphasize that there is no objective minimum standard of scholarly productivity that entitles a candidate to a positive recommendation, and that teaching and service are given serious consideration, as reaffirmed in Statement #8 (1981; see excerpt below).

In evaluating teaching, the Committee welcomes evidence beyond the results of student evaluations, including examples of creative pedagogy, supervision of students in individual research, evidence of dedication to and enthusiasm for teaching, and comments from fellow faculty who are familiar with the candidate's teaching.

In evaluating scholarship, the Committee looks for evidence of a history and promise of consistent, independent and significant scholarly accomplishment. It is helpful if the candidate's application and the Department's subsequent statement provide explicit evidence of such accomplishment, with attention to such issues as:

- *Scholarly works in relation to time.* While the totality of the candidate's scholarly works will be considered, the period of primary interest will usually be the time since appointment to Tufts University or last promotion at Tufts University. For lateral hires or promotion cases soon after tenure, consideration of works over a longer period may be more appropriate. Periods during which the tenure clock is stopped will not be included.
- *Forms of scholarship.* Disciplines vary in their expectations regarding forms of scholarly output (e.g. books, journal articles, translations, artistic works). In all cases the Department's statement should clarify those expectations.
- *Evidence of scholarly contributions distinct from those of mentors and collaborators.* In many fields collaboration is highly valued and frequently indispensable, and the ability to establish fruitful collaborations with excellent colleagues is viewed positively. In such cases, however, it is important that the individual contributions of the candidate be clearly explained and demonstrated.
- *Significant contributions to the candidate's field of study.* The letters solicited from outside referees provide an indispensable measure of the candidate's scholarly impact. It is therefore of the greatest importance that letters be obtained from a cross section of distinguished colleagues in the candidate's field. It is equally important that the letters provide as informed and independent an evaluation of the candidate as possible.

George Norman, Economics *Chair*  
 Madeline H. Caviness, Art and Art History  
 Klaus A. Miczek, Psychology

Susan A. Ostrander, Sociology  
 Roger G. Tobin, Physics  
 Richard Vogel, Civil and Environmental Engineering

**STATEMENT #11 Tenure and Promotion Process, 2011-2012****GUIDELINES FOR THE APPLICATION AND REVIEW PROCEDURES  
FOR TENURE AND PROMOTION**

The following sequence of steps summarizes the application and review procedures for tenure and promotion. Article IV, Section 2 of “The Bylaws of the Faculty of Arts, Sciences and Engineering,” states the rules for the Faculty concerning the operation of the Committee on Tenure and Promotion (T&P). Additional practices, which are consistent with the Bylaws, have been recommended by vote of the Faculty or have been established by the Committee in order to carry out its functions. These procedures have evolved from past experience of the Committee as governed by the Bylaws, and represent general guidelines to be followed in each case. Exceptions to these guidelines, made to meet unusual circumstances, must be made in consultation with the Committee.

**Calendar**

In mandatory tenure cases for present Tufts faculty, the process begins on March 1, when the candidate meets with the Department Chair to review the application requirements. All candidates and preparators should refer to the approximate timetable for the various steps to be completed.

In promotion-only and non-mandatory tenure cases, the candidate should declare his/her intention to apply in writing to the Chair of T&P (with a copy to the appropriate Dean) by March 1. At the request of the appropriate Dean, the calendar for such cases may be negotiated with T&P.

The Department should meet to discuss tenure and promotion cases early in the fall semester. Since the Committee normally discusses promotion cases first, all case materials for promotion cases should be delivered to the appropriate individuals listed in Step 12 by the second week of October.

For promotion-only cases within an interdisciplinary program, see Part 2.

For lateral hires, the calendar may be negotiated with T&P. If due to late notification, the elected Committee cannot review the case within the usual time frame, the Chair of T&P, in consultation with the Chair of the Committee on Committees, will form a 6-member Ad-Hoc Committee, consisting of available present members of T&P supplemented, if necessary, by former T&P members (from the past five years) to review the case, following all requirements in the Bylaws and this statement. For additional information regarding lateral hires, see Part 3.

**Part 1: Standard Tenure and Promotion Procedures****Steps 1 – 23**

1. A preparator is designated by the Department from the ranks of the tenured faculty. The preparator will manage the application process on the Department’s behalf.

The candidate and the preparator together review the materials forwarded to the candidate by the Secretary of the Faculty, including the Bylaws on the Committee on Tenure and Promotion (Article IV, Section 2 c) and this Statement.

2. The candidate and the preparator prepare an application for tenure and/or promotion. If a candidate facing a mandatory tenure review decides not to apply for tenure, he or she must notify the appropriate Dean in writing by June 1. If a candidate for tenure or for promotion-only wishes to withdraw the application after it has been submitted, the candidate must notify T&P and the appropriate Dean in writing before the Board of Trustees makes its final decision on the case.
3. The Secretary of the Faculty provides the Chair of the Tufts Community Union (TCU) Senate Education Committee with a list of all candidates to be reviewed during the coming academic year. This Chair arranges for a TCU Senator to review and summarize the written commentary and

statistical data on the candidate's teaching but not to render a recommendation for or against tenure or promotion. The data, but not the mentee letters, are made available to the Senator by the candidate's Department. After the Senator's review, and if possible before the Department meeting, the Senator provides the Department with a written report signed by the Chair of the Education Committee of the TCU Senate, which becomes part of the record. The candidate receives a copy of this report with its author's name redacted. In the case of candidates who teach only graduate courses, the teaching record shall be reviewed by a representative of the Graduate Student Council (GSC).

4. With the help of the Department, the candidate prepares an annotated table of all closely mentored individuals with whom he/she has worked either in one-on-one or small-group settings, e.g., Ph.D. advisees, Master's thesis advisees, senior honors thesis advisees, Summer Scholars, lab and research collaborators, participants in directed performances and creative projects, and so on. The candidate should annotate this list by indicating whether the mentee is currently at Tufts, was previously at Tufts, or never was at Tufts. The candidate can also lodge any objections to soliciting a letter from a particular mentee. These comments should be included with this list, which becomes a part of the case going forward. In consultation with the candidate's Department, T&P will decide whether an objection should be honored and a letter not be solicited.

The Department Administrator will find address information for each mentee. Once the table is complete, it should be submitted to the Secretary of the Faculty, who will send out letters requesting evaluations of the candidate and organize the letters as they are received. Letters from mentees no longer at Tufts or who were never at Tufts will be sent to the Departments for their consideration prior to the Departmental Meeting. Only T&P and relevant administrators will see letters from mentees who are still at Tufts.

5. External evaluation of a candidate's scholarly contributions is an important component of the tenure and promotion process. To this end, the department will ultimately be responsible for compiling a list of suitable external evaluators for a given case to the Committee for consideration, keeping in mind the process outlined below. The list should include names of reviewers who can articulate the quality of the candidate's research while outlining the candidate's individual contributions to the discipline. A substantial portion of the names on the list must be individuals with whom the candidate has had no more than an arm's length relationship and who can provide an objective assessment of the candidate's scholarly contributions.

The process for designing the list and, in tenure cases, choosing an outside expert for the external subcommittee, is as follows.

- a.) The candidate and the department shall independently produce lists of external evaluators who could provide an objective evaluation of the candidate's scholarship, creative works and other professional activities. These lists should consist primarily of senior scholars in the candidate's field from prominent research universities. In some cases, scholars at colleges and experts from other institutions are appropriate. Departments are encouraged to secure the participation of all tenured members, including those on leave, in this and all subsequent deliberations.

From these lists, the department shall prepare and forward to the Tenure and Promotion Committee a single list of potential external evaluators from whom to solicit letters (see 5d below). This list should include enough names to achieve a yield of, ideally, at least ten letters in a tenure case and at least six letters in a promotion case.

The list should:

- i) label each name as having been selected by the candidate, the Department or both. The list should be constructed such that at least half of the names were suggested either by the Department alone or independently by both the Department and the candidate;
- ii) provide the institution, rank, specialization and qualifications of each external evaluator;
- iii) provide a description of the candidate's personal and professional relationship to each external evaluator, if any;

A record of all communications between the preparator and the candidate pertaining to the preparation of the list of external reviewers must be included as part of the tenure application.

If the candidate holds a joint or adjunct appointment in another Department or Program within the University, the candidate and the preparator will consult with the appropriate Dean and the Chair of T&P to determine if a mechanism is necessary to assure an appropriate review of the candidate's contributions to the University. T&P must be consulted regarding any such mechanism.

- b) For tenure cases, the Department chooses from this list an outside expert to serve on the External Subcommittee. The choice should be made in consultation with the candidate. Keep in mind that T&P expects this person to be a knowledgeable, objective scholar who can comment on the outside letters. Unlike the other external evaluators, this outside expert should not be asked to write a letter of evaluation, but will serve instead as an impartial interpreter of the case. The outside expert should not have a close personal or professional relationship with the candidate.
- c) If deemed useful, the Department can solicit additional letters, over and above the letters from external evaluators, some of whom may be from close collaborators. These will be treated as additional letters. Prior to solicitation, the *Department must notify candidates of the identity of these letter writers*. Candidates can lodge a written objection to the Chair of T&P, which will become a part of the case going forward.
- d) The preparator must consult with the Chair of T&P to finalize the list of external evaluators and the choice of the outside expert. The candidate's CV must accompany the proposed list (see 5a) that is forwarded to T&P. T&P will work with the Departments to produce a mutually agreeable list. The approved list and, in tenure cases, the name of the outside expert, will be given to the candidate. If the candidate objects to any of the Department's choices, the candidate may submit written objections to T&P, which are included in the internal administrative record. The Department is not required to make changes in response to the candidate's objections to the list. If any changes are made, the list must be resubmitted to T&P for consultation.
- e) If the candidate's Department is in receipt of an unsolicited letter, the Department must notify the candidate of the author of the letter within a week of its receipt, keeping the content confidential. The candidate wishes to submit an objection, this must be done within a week of notification. Both the letter and any objection will be included in the internal administrative record.
6. The preparator solicits a confidential written evaluation of the candidate's scholarly work from the external evaluators on this list using a standard letter. E-mail is acceptable for initial contact but must be followed by hard copy; as per 12(f), all communication becomes part of the permanent record. Those who agree to serve as external evaluators should be sent the candidate's application and be provided with enough material to allow assessment of the candidate's scholarship. The objective is to obtain an accurate assessment of how the candidate and the candidate's research are perceived by leaders in the field. If, in the opinion of a majority of the tenured members of the Department, a candidate for tenure who holds the position of Assistant Professor has an exceptional record of scholarship, teaching, and service, the external evaluators can be asked to assess the candidate's potential for direct promotion to Professor.
7. After examining the opinions of the external evaluators and assessing the candidate's scholarship, teaching, and service, the tenured members of the Department meet to discuss and vote on a recommendation of tenure and/or promotion for the candidate. In those exceptional cases where the Department has sought an assessment of the potential for direct promotion of a candidate for Associate Professor to Professor there shall be two votes: the first on tenure and promotion to Associate Professor and the second on promotion to Professor. All votes shall be taken by secret ballot. The numerical vote(s) must be reported in the Department statement. In cases where the Provost or a Dean who participates formally in the tenure process at the administrative level is a tenured member of the same department as the candidate, he or she will participate in neither the department discussion nor the department vote.

It is the Department's responsibility to provide T&P with a summary of the candidate's teaching, including the following materials:

- (a) A tabular summary of the average rating for questions 8 (overall rating of the professor) and 15 (overall rating of the course) for each course the candidate has taught at Tufts, or for the past five years in promotion-only cases. The table should include course title and number; semester and year; enrollment; number of students who filled out the evaluation; averages for questions 8 and 15. The Committee may, at a later time, request further contextual information from the department, such as averages from other faculty teaching those same courses.
  - (b) A brief narrative description of the candidate's teaching. One copy of the full set of teaching evaluations for the candidate should be included in the original case sent to the Secretary of the Faculty (see step 12(h) below).
  - (c) A table with information on mentees (refer to item 4) should also be included together with particulars regarding relationship with candidate and comments by the candidate (if appropriate).
  - (d) In the case of lateral appointments, every effort should be made to get teaching evaluations from the past five years.
8. The Department prepares a statement reflecting the full range of its tenured members' opinions, to be signed by all voting members. This statement must preserve the confidentiality of all letter writers and all participants in the discussion. The content of this statement plays a major role in subsequent deliberations. Therefore, under the circumstance that the Department cannot agree on one statement that adequately reflects its discussions, it should submit two statements signed by all voting members. For tenure cases, the statement(s) must be submitted to T&P along with the complete case at least two weeks before a scheduled Subcommittee meeting. For promotion-only cases, the statement(s) must be submitted to T&P along with the complete case within two weeks after the department statement(s) has been signed.
9. The Department makes its statement(s) and an alphabetized list of all signers available to the candidate as soon as these are ready. The candidate must acknowledge receipt of the statement in a written response addressed to the Chair of T&P and sent in care of the Secretary of the Faculty, within two weeks of receipt. This response becomes part of the case going forward.
10. In addition to preparing the statement(s), for tenure cases the tenured members of the Department select two of its members to serve on the External Subcommittee. The Department informs the candidate of this choice in writing. The candidate has a right to object to the choice of the Department members on the Subcommittee, but the Department is not obligated to make a substitution. The candidate's objection may be filed in writing with the Department, or confidentially with T&P, and becomes part of the case going forward. If the Department has fewer than two tenured members, T&P will direct the Dean to work with the Department Chair to find a suitable substitute(s) to serve on the External Subcommittee.
- If the Department vote is not unanimous, T&P will expect an accounting of the reasons. Departmental subcommittee members should be prepared to represent the full range of opinions addressed in the departmental statement(s).
11. The Chair of T&P informs the candidate and the candidate's Department Chair in writing which two members of T&P will serve on the External Subcommittee for his or her tenure case or as an internal subcommittee for promotion-only cases. The External Subcommittee consists of the outside expert, two representatives from the Department, and two T&P members. The internal subcommittee for promotion-only and for expedited lateral hire cases consists of two members of T&P. The subcommittee shall be chaired by one of the two members from T&P.
12. The dossier assembled by the Department for each case should contain the following materials:

- (a) The candidate's application for consideration to the Committee on Tenure and Promotion, signed by the candidate;
- (b) A current C.V. which includes publications categorized according to 1) refereed or non-refereed status, and 2) type, e.g., book, book chapter, articles, reviews, and so forth;
- (c) Reprints and other evidence of the candidate's scholarly and creative work;
- (d) Letters solicited from external evaluators;
- (e) A complete table of all considered external evaluators, indicating which names were supplied by the candidate and which by the Department, which potential external evaluators were contacted and which were not, and the responses;
- (f) All correspondence, including e-mail, with potential external evaluators, and all correspondence pertaining to the case, including email between the Department Chair and the candidate and between the preparator and the candidate;
- (g) The Department statement(s) pertaining to the candidate's scholarship and other work, teaching, and service;
- (h) The Department Summary of Teaching, including items (a), (b) and (c) listed in step 7 above.
- (i) The report of the TCU Senate Education Committee or GSC (for graduate only departments), if available;
- (j) Any unsolicited or other letters (as defined in step 5) received by the Department;
- (k) A C.V. of the outside expert in tenure cases (not to be included in the outside expert's packet).

The Department delivers copies of the dossier containing the above materials directly to each of the members of the appropriate Subcommittee. In tenure cases this includes the two T&P members, the two Department representatives, and the outside expert; in promotion-only cases this includes the two members of T&P. One copy must also be delivered to the Secretary of the Faculty. In addition, the original of the dossier, including all signed letters and one copy of the full set of course evaluations as per step 7(b) above, must be delivered to the Secretary of the Faculty.

In cases in which an External Subcommittee meeting is to take place, this dossier must be delivered at least two weeks before the scheduled meeting. In all other cases, it should be delivered within two weeks after the Department statement(s) is signed.

In addition, 2 CD-Rom versions of the following documents (in PDF or Word in PC form) must be delivered to the Secretary of the Faculty:

- (a) The candidate's application;
- (b) The candidate's C.V.;
- (c) The Department statement(s);
- (d) The completed table of external evaluators;
- (e) Letters solicited from external evaluators (which may be scanned to PDF);
- (f) The Department Summary of Teaching;
- (g) The report of the TCU Senate Education Committee or GSC (for graduate only departments), if available. Course evaluations should not be scanned.

Updates to the dossier can be submitted to T&P up until the Committee votes on the case.

13. The Bylaws require that each tenured member of the candidate's Department write a confidential letter addressed to the Chair of T&P, care of the Secretary of the Faculty. The Bylaws permit such a letter as well from non-tenured members. All such letters must be signed, preferably on letterhead. Email is not acceptable. These letters, and any other letters not already in the file, should be sent to T&P within two weeks after the Department statement is signed. The candidate will be notified of the existence of all such letters and this shall be done in sufficient time to permit written objections from the candidate to be considered prior to relevant actions by the Committee. All letters become a part of the case going forward. Letters, including those from students and other mentees, will be kept secure and confidential

by the Secretary of the Faculty and will be destroyed after three years, unless otherwise required by law. In cases that did not lead to tenure or promotion, all of the case materials, including letters, are kept for 12 years and then destroyed.

Any letters received after the final vote of the T&P Committee will not be considered by T&P as a part of the case.

14. For tenure cases, the preparator consults with the T&P Subcommittee members and the outside expert as early in the process as possible to schedule a time and place for the Subcommittee meeting. At this meeting, the External Subcommittee reviews and discusses all of the evidence presented in a candidate's case. The Subcommittee does not vote on the qualifications of the candidate. Before the end of this meeting, any single member of the Subcommittee can request that the Subcommittee meet with the full T&P Committee for further deliberations. Following the External Subcommittee meeting, or the larger meeting if one is requested, the Subcommittee Chair will prepare a written report that details the discussions and findings of the meeting(s). The deliberations and the written report of the Subcommittee are confidential. When the Subcommittee report is approved as accurate and signed by all members of the Subcommittee, it is sent to the Secretary of the Faculty and becomes a permanent part of the case going forward.

For promotion cases, which have no external subcommittee meeting, internal subcommittee members will review and discuss all the evidence presented in a candidate's case with the full T&P Committee, whose members will also be familiar with the case. No written report is produced.

15. If T&P requires the advice of additional external evaluators (including, if deemed useful, research collaborators of the candidate), Tufts faculty, and mentees, the T&P committee will inform the candidate and the Department Chair of the names of all additional such individuals. This shall be done in sufficient time to permit written objections from the candidate to be considered prior to relevant actions by the Committee. Letters thus received by the Committee along with any objections filed by the candidate, will be forwarded to the Administration as part of the case.

In addition, T&P will notify the candidate of any unsolicited written communications that come directly to the Committee.

Any letters received after the final vote of the T&P Committee will not be considered by T&P as a part of the case.

16. T&P discusses the case, and its members vote on a recommendation for or against tenure and/or promotion. In those exceptional cases where the Department has voted on direct promotion to Professor there shall be two votes: the first on tenure and promotion to Associate Professor and the second on promotion to Professor. In cases where a T&P member is from the same Department as a candidate, that member will not participate in the tenure and promotion proceedings in any way other than as a member of the Department. Prior to taking a formal vote, T&P meets with members of the Administration to discuss the merits of the case.
17. Prior to making its recommendation to the Administration, if T&P fails to support or divides equally on a recommendation on a candidate who was supported by two-thirds or more of the members of the Department who voted, then T&P shall meet with the preparator, the Department Chair (if different from the preparator) and, in the case of tenure cases, with Department Subcommittee members. The purpose of this meeting is to explain the position of the committee while respecting the confidentiality of all participants, and to hear any comments from the Department.
18. T&P transmits its vote and its findings in writing to the appropriate Dean. At the same time, the Chair of T&P reports the Committee's vote in writing to the candidate and the candidate's Department Chair.
19. If the Administration fails to support the recommendation of T&P, then the President of the University or his/her designee meets with T&P prior to any further action.

20. In a non-mandatory tenure or promotion-only case, T&P may choose to table a case. The Chair of T&P will report such a recommendation in writing to the candidate and Department Chair. If the candidate rejects the recommendation to table, the candidate must inform the Chair of T&P in writing within two weeks of receiving T&P's recommendation. In that event, T&P will vote on the case according to the usual procedures described in this document. Otherwise, the case is tabled, without prejudice, and no vote is taken. The decision to table is reported to the appropriate Dean, and the Secretary of the Faculty retains all case materials for one year.
21. A tabled promotion-only case may be reconsidered only upon the request of the candidate, which must be submitted in writing to the Chair of T&P in accordance with the standard calendar. A tabled non-mandatory tenure case may be reconsidered upon the written request of the candidate if it remains non-mandatory or it must be reconsidered once it becomes mandatory, unless the candidate withdraws the case as per step 2. If the case is reconsidered the following year, the case materials of the tabled case are used, but the candidate and Department may provide updated information. The Chair of T&P should be consulted well in advance if there is a substantial amount of new material, under which circumstances it may be preferable for the candidate to file a new application. If a case has been tabled for more than one year, a new application must be filed to ensure the currency of all submitted materials. T&P may not table the case a second time.
22. When a new application is filed in a previously tabled case, the sequence of steps described in this statement, including the timetable, must be followed in detail, unless otherwise approved by T&P.
23. When steps 1-19 have been completed, the Deans of Arts and Sciences or the Dean of Engineering, the Provost, and the President consider the matter. A recommendation is then sent to the Board of the Trustees. Tenure and promotion become official only through Trustee action. This action is reported by the Office of the Provost, via e-mail to the appropriate Dean. The Dean communicates with the candidate's Department Chair, who then communicates with the candidate. In addition, a letter notifying the candidate of the Trustee decision is sent from the appropriate Dean as soon as possible after the Trustee vote. The Secretary of the Faculty notifies the Chair of T&P.

### **Part 2: Promotion within an Interdisciplinary Program**

Promotion-only within an interdisciplinary program is available for tenured Associate Professors with the following stipulations:

1. The interdisciplinary program for which promotion is being sought must offer a major;
2. Such promotion shall be reviewed by T&P according to the standards of scholarship, teaching, and service used in promotion cases within Departments;
3. Individuals promoted under the above conditions shall receive the title "Professor" of the appropriate program.

### **Part 3: Lateral Hires**

There are two types of lateral hires: expedited and non-expedited. Expedited cases are held to determine only the tenurability of someone coming to Tufts from another institution. Note that all proposed lateral faculty appointments must go through this process regardless of whether or not the person already has tenure at another institution. Non-expedited cases are concerned with tenure and possible promotion associated with an appointment (from assistant to associate, or associate to full professor). In either case, all lateral hires are handled on an ad hoc schedule negotiated by the Chair of T&P and the appropriate deans.

1. Criteria for Expedited Review (calendar to be negotiated with T&P):
  - (a) The candidate must already hold a tenured position at another university with standards comparable to those at Tufts;
  - (b) The proposed Tufts appointment must not be at a higher professorial rank than is already held at the candidate's home institution;

- (c) Both the department and the appropriate Dean must request the expedited process.
2. Process for Expedited Review:
- (a) A dossier including the following materials will be prepared by the Department:
- i. The candidate's C.V. and selected scholarly works.
  - ii. The Department statement which, in this expedited process, bears the burden of explaining the case for the candidate. The candidate is not required to submit a formal tenure application but may provide a statement, which is to be included in the dossier, at the discretion of the department.
  - iii. At least six outside letters of evaluation. With the approval of T&P, some of these can be letters obtained during the hiring process. In this case, the letter writers should be asked explicitly to address the candidate's qualifications for a tenured position: would the candidate be tenured at the writer's institution? If this question was not asked at the time of the search, an addendum should be requested. At least four of the letters must be from reviewers who have no direct connection with the candidate and are selected by the Department. The candidate shall be informed of the names of the reviewers and shall have an opportunity to object in writing.
  - iv. Evidence of teaching effectiveness, including, if possible, a summary report of teaching evaluations obtained from the TCU Senate or GSC, as appropriate and according to step 3 above, and letters from former mentees solicited as much as possible in accordance with the instructions in the accompanying documents. For reasons of confidentiality, letters from current mentees may not be solicited.
- (b) Three copies of the above materials should be delivered to the Secretary of the Faculty. The original of this dossier, including all signed letters and a copy of a set of course evaluations (as available, from the past five years) should also be delivered to the Secretary of the Faculty.
- (c) In addition, 2 CD-Rom versions of the following documents (in PDF or Word in PC readable form) must be delivered to the Secretary of the Faculty:
- i. Department statement (Word document only).
  - ii. Candidate's C.V.
  - iii. Completed table of external evaluators.
  - iv. Letters solicited from external evaluators.
  - v. Report of the TCU Senate Education Committee or GSC (for graduate only departments) on teaching.
- (d) Confidential letters from all tenured members of the hiring Department should be sent to T&P in care of the Secretary of the Faculty as soon as possible after the department statement has been signed.
- (e) T&P meets to discuss the case. If the Committee deems it necessary, additional information may be requested or a Subcommittee may be constituted to consider the case as described in Statement 11, steps 5, 10, and 11.
- (f) T&P meets with the appropriate Dean and the Provost, and then T&P votes on a recommendation in favor or against tenure. It communicates its vote and findings in writing to the appropriate Dean. At the same time, T&P reports its vote to the Chair of the hiring Department.
3. Process for Non-Expedited Lateral Hires.
- (a) Similar to the process described in Part 3, section 1 above.
  - (b) In addition:

- i. External evaluators must be asked if the candidate would receive tenure and if they would be promoted to associate or to full professor, as appropriate, at his/her own institution.
- ii. An internal Subcommittee of T&P members will be formed, if the candidate is already a tenured full professor.
- iii. A full External Subcommittee, as per steps 5, 10, and 11 above, will be formed if the candidate does not already have tenure elsewhere, or if the candidate is being promoted from assistant to associate, or from associate to full professor.

This version of Statement 11 was approved by the T&P Committee on December 14, 2010.