STATEMENT #11 Tenure and Promotion Process, 2012-2013

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 T&P 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 T&P 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 T&P 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 T&P 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 of 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 to T&P, the candidate must notify the T&P Committee 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 or 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 is responsible for finding contact 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 candidate’s department for their consideration prior to the department meeting. Only T&P and relevant administrators will see letters from mentees who are still at Tufts. Any mentee who is not currently or who never was at Tufts, upon request, may also be granted confidentiality from the candidate’s department.

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 T&P Committee for consideration, keeping in mind the process outlined below. The list should include names of evaluators who can assess 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 5e below). This list (hereafter called “Solicited Letters”) should include enough names to achieve a yield of, ideally, at least ten Solicited Letters in a tenure case and at least six Solicited Letters in a promotion case.

The list of Solicited Letters 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.

An electronic record of all communications between the preparator and the candidate pertaining to the preparation of the list of external reviewers must be included on the CD or other designated electronic medium (see 12f).

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.

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 the T&P Committee expects this person to be a knowledgeable, objective scholar who can comment on the Solicited 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 request additional letters, over and above the Solicited Letters from other evaluators, some of whom may be close collaborators with the candidate, colleagues, administrators at Tufts, or others. These letters will be treated as a separate category, hereafter called “Additional Letters,” which need not be vetted by T&P. However, prior to requesting Additional Letters, 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. These letters should be directed to the Chair of T&P and sent to the Secretary of the Faculty.

Also in the category of Additional Letters are letters not formally requested by the department. They could be prompted by the candidate or members of the candidate’s department, or arrive without any prompts (strictly unsolicited). When received, the department should send original copies of these Additional Letters to the Secretary of the Faculty for proper recording with the case.

d.) If the candidate’s department is in receipt of unrequested Additional Letters, the department must notify the candidate of the author of the letter within a week of its
receive, keeping the content confidential. If 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 (not sent to external evaluators). If the Secretary of the Faculty is in receipt of such a letter, the same protocol applies.

e.) 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 of Solicited Letters. 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 (not sent to external evaluators). 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.

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. In a case where the candidate has stopped his/her tenure clock, the preparator shall consult with the candidate concerning whether the standard letter will include language, as provided in the Preparator’s Packet, to guide external evaluators consistent with University policy. Such language shall be included only with the approval of the candidate. The objective of the external letters 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 and averages from other faculty teaching those same courses.

b.) Accompanying the tabular summary of the candidate’s teaching, the department should also prepare a narrative statement that provides relevant information on the teaching load of the candidate vis-à-vis the department; reasons for reduced or expanded teaching responsibilities, such as grants, released time, leave of absence, etc.; and types of teaching (required vs. elective courses, labs, recitations, undergraduate vs. graduate courses, co-teaching, teaching in other programs). 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 signed statement(s) must be submitted to T&P along with the complete case before or on the second week of October.

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 (on letterhead
with an original signature) 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 by letter or e-mail. 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. Department subcommittee members should be prepared to represent the full range of opinions addressed in the department statement(s).

11. The Chair of T&P informs the candidate, the candidate’s department chair, and the preparator via e-mail which two members of T&P will serve on the External Subcommittee for his or her tenure case or on 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 CV 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; (Note: the bibliography and professional activities in the CV and Application should be identical)

c.) Reprints and other evidence of the candidate's scholarly and creative work;

d.) Solicited Letters from external evaluators and a sample of the letters sent to them;

e.) A complete table of all considered external evaluators, indicating which names were supplied exclusively by the candidate, exclusively by the department, and by
both candidate and department, which potential external evaluators were contacted and which were not, and the responses;

f.) An electronic record of 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. This correspondence shall not be included in the packet sent to the outside expert.

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 TCU Senate Education Committee or GSC (for graduate only departments) Report, if available;

j.) Any Additional Letters (as defined in step 5) received by the department;

k.) A CV of the outside expert in tenure cases (not to be included in the outside expert’s packet).

The department delivers paper copies of the dossier containing the above materials [excluding an electronic record of (f)] 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 by the 2nd week of October (due date).

In addition, 2 CD-Rom (or another designated electronic medium) versions of the dossier (in PDF or Word, in PC form) must be delivered to the Secretary of the Faculty:

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 but do not require such a letter as well from non-tenured members. All such letters must be signed 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 should be notified of the existence of all letters from non-tenured members by the Secretary of the Faculty on behalf of the Committee, 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 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 and only available to the T&P Committee and the administration (not to be seen by the candidate or the Department). 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, the department chair and preparator of the names of all additional external evaluators. 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, on behalf of the committee, the Secretary of the Faculty will notify the
candidate of any unsolicited written communications that come directly to the
committee.

16. T&P discusses the case, and its members vote on a recommendation for or against
tenure and/or promotion. 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
final 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 by letter 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 and the preparator.

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 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 meant 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 CV 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, two 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 the available course evaluations 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 CV

iii.) Completed Table of External Evaluators

iv.) Solicited Letters 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, but no later than 2 weeks after signing the Department Statement.
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(s) 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.


a.) Similar to the process described in Part 3, section 2 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 12.14.11.