

University of Michigan-Dearborn College of Education, Health, and Human Services Guidelines for Promotion and Tenure

Article I. Purpose

This document provides guidelines for promotion and tenure procedures within the College of Education, Health, and Human Services (CEHHS). These Guidelines set forth standards and procedures relating to tenure-track faculty appointments, promotions, and the awarding of tenure. They have been developed to inform and guide the CEHHS faculty, their elected or appointed faculty representatives, and the CEHHS administration.

Article II. Appointments, Policies, and Procedures

Individual departments have the authority to develop their own search, screening, interviewing, and selection policies in so far as they are consistent with University, campus, and CEHHS policies. When the appropriate departmental body, consisting of members of the CEHHS governing faculty, decides to recommend a candidate for an appointment to a tenure-track position, the departmental chair is responsible for forwarding the candidate's curriculum vitae and supporting documents to the dean.

Normally, initial appointments are made without immediate tenure, and the terms of the probationary period are specified in the letter of appointment, which is prepared and sent by the dean, after consultation with the departmental chair. In those rare cases of appointments with immediate tenure, approval of the Regents must be obtained before the offer of appointment can be made.

Decisions related to credit for previous post-doctoral college-level teaching experience are made by the dean, in light of the negotiations between the appointee, the departmental chair and the dean. A maximum of three years of service may be credited toward the probationary period of appointees at the level of assistant professor. Final approval for any time credited rests with the provost (See the UM-D Promotion and Tenure Procedures, and SPG 201.13 & 201.92).

Article III. Periodic Faculty Reviews and Reports

The purpose of regular evaluations of faculty is not only to document qualifications for promotion and tenure, but also to aid individual faculty members in assessing their strengths and weaknesses, and to encourage them to realize their full potential. In each type of review detailed below, the three areas being evaluated are teaching, research, and service. Documentation 2 of 10 Approved by CEHHS Governing Faculty 10 November 2017 addressing these respective activities should adhere to guidelines outlined in Article IV (Areas of Evaluation).

Reviews of faculty members must be conducted by an appropriate group of departmental colleagues or individuals appointed in accordance with relevant departmental and university policy. Only professors may review and evaluate tenured associate professors; tenured associate professors shall participate in the evaluation of non-tenured assistant and associate professors; only tenured professors may review non-tenured professors. Subsequently, in this document, the reviewing committee will be referred to as the Promotion and Tenure (P & T) Committee.

In each type of review, a letter is required. The purpose of the letter is primarily to report to the faculty member on the P & T Committee's findings in the three areas (teaching, research, and service). Additionally, it serves as a mentoring opportunity and should offer concrete suggestions to the candidate.

Typically, designates of the P & T Committee will draft the review letter on its behalf. The entire P & T Committee must be given the opportunity to review the letter. The chair of the department will sign the letter on behalf of the P & T Committee. If the chair is not eligible as a member of the relevant committee, then the ad hoc chair of that committee will act in her/his stead (see Article VI).

Annual Reviews and Reports

Once appointed, every full-time CEHHS faculty member is required to report annually on her/his recent professional activities in the three areas using the College's standard reporting process. These reports will be used for two purposes: (1) evaluation of progress towards tenure and/or promotion for tenure-track faculty, and (2) the chair's merit salary recommendations to the dean.

At the end of each academic year, the department chair and the dean shall review the annual reports submitted by tenure-track faculty with attention to their performance in all relevant areas and identify issues that pertain to each faculty member's progress toward promotion and tenure. Following this review, the chair shall meet with each tenure-track faculty member to review the faculty member's progress toward promotion and tenure.

Mid-Term Reviews and Reports for Assistant Professors

Mid-term reviews are an opportunity to evaluate more fully the performance of tenure-track assistant professors in all three areas. The department's P & T Committee shall conduct the mid-term reviews. The initial review, which should occur in accordance with schedules outlined by the individual departments, can be conducted as early as the second year of service and no later than the third year of service. Additional reviews can be conducted in subsequent years as dictated by departmental policy.

The letter to the faculty member will report on the conclusions of the review. Because the midterm review is a critical time in the development of faculty members, it offers a unique mentoring opportunity. The department chair should discuss with a candidate whether her/his performance is developing properly towards promotion and tenure. Candidates are encouraged to discuss their progress evaluations not only with the chair, but also with their senior colleagues.

Progress Reviews and Reports for Associate Professors

The department's reconstituted P & T Committee (full professors) shall conduct reviews of tenured associate professors at three-year intervals. The P & T Committee will evaluate a faculty member's performance in all three areas. This review is another critical point in a faculty member's development and an opportunity for mentoring.

The letter to the faculty member will report on the conclusions of the review. It should clearly indicate whether progress toward promotion to the rank of professor is being made. Additionally, the letter should offer concrete suggestions on actions the candidate should take to strengthen her/his portfolio. Associate professors are encouraged to discuss their three-year evaluations with the chair of the department and also with their senior colleagues.

Periodic Reviews and Reports for Professors

Yearly merit review reports shall be considered periodic reviews and reports for professors and shall not be used in a punitive manner.

Article IV. Areas of Evaluation

In all required faculty reviews and in recommendations related to promotion and tenure, or termination, faculty must be evaluated in three areas, which are defined in accordance with the University of Michigan's Promotion Guidelines. The three areas are: (1) teaching, (2) research, and (3) service.

Teaching

An essential qualification for appointment, reappointment, promotion, and/or tenure in CEHHS is the ability to teach effectively. Some of the elements to be evaluated are knowledge of subject matter, skill in presentation, commitment to student learning and development, creativity, ability to stimulate critical thinking, integrity, and versatility.

Departments must define teaching-related activities and list them on their tenure and promotion guidelines. Departments must also establish policies, procedures, and standards in order to determine teaching effectiveness of faculty members. In deliberations on promotion and tenure, documentation of teaching effectiveness must be provided. Required evidence of teaching effectiveness includes, but is not limited to: statement of teaching, teaching accomplishments, program and curriculum developments, student evaluations, supervision and mentoring, and teaching honors/awards.

Research

An effective teacher-scholar will engage in research that results in peer-reviewed publications or creative activities. The primary forms of evidence to be evaluated in this area are peer-reviewed artifacts, which are required for promotion and tenure. These are open to evaluation by the faculty member's peers, both internal and external to UM-Dearborn. (See Appendix II for policies concerning obtaining evaluations from relevant outside scholars/reviewers).

Both quality and quantity are important factors in the evaluation of publications and creative activities. In deliberations on promotion and tenure, the emphasis in evaluating a faculty member's performance in research/creative activities should be on determining whether or not it shows evidence of original, scholarly activity. The publications' contributions to the scholarly field, their impact on the general intellectual community, and the evidence that they provide of the author's intellectual vitality and knowledge should also be considered.

"Professional research," for the purpose of the Guidelines, includes publications within a particular discipline, publications of a multi- or interdisciplinary nature, and pedagogical publications. The professional interests and expertise of faculty members may not be limited to the area of their official academic appointment(s) and their publications may challenge what are presently accepted as "the boundaries of a discipline." Those with joint appointments or appointments in a collegewide program may, by the very nature of their appointment, engage in research across disciplines.

In addition to the general guidelines described above, departments must define research-related activities and list them on their tenure and promotion guidelines. Departments must also establish policies, procedures, and standards in order to determine research effectiveness. In deliberations on promotion and tenure, documentation of research effectiveness must be provided. Required evidence of research effectiveness includes, but is not limited to: statement

Approved CEHHS Guidelines Promotion and Tenure

of research, research accomplishments including a description of the candidate's most significant research findings or creative activities, recent and significant publications, and research honors/awards.

In certain academic areas in CEHHS, a faculty member's activities in the field of creative arts may also count toward promotion and/or tenure. Departments must establish policies, procedures, and standards in order to determine effectiveness of faculty members in creative activities. Similar to the research area, every effort will be made to evaluate creative activities rigorously and report them in deliberations on promotion and tenure.

Service

An additional qualification for appointment, reappointment, promotion, and/or tenure in CEHHS is service. At an institution in which faculty governance is basic and essential, faculty members should display willingness and ability to perform a variety of service activities within the discipline, department, college, campus, university, and community. Indeed, the scope of the University's purposes and goals often requires faculty members to engage in activities outside the specific areas of teaching and research. These activities are grouped under the heading of "service."

Departments must define service-related activities and list them on their tenure and promotion guidelines. Departments must also establish policies, procedures, and standards in order to determine effectiveness in professional service. In deliberations on promotion and tenure, documentation of effectiveness in the service area must be provided. Required evidence of effectiveness in service includes, but is not limited to: statement of service; service to department, unit, campus, the profession, and community; and service honors/awards.

Article V. Qualifications Necessary for Promotion and Tenure

The three areas of a faculty member's activity discussed in preceding articles must be central to all evaluations affecting promotion and tenure. When recommendations for promotion and/or tenure are considered, the levels of performance must be met in all areas. Four terms of evaluation are considered standard and are to be used in official documents regarding promotion and/or tenure: (1) excellent, (2) significantly capable, (3) competent, and (4) unacceptable.

No promotion is automatic, nor does it depend simply on length of service. All promotion recommendations are subject to approval by the Regents. Evaluations of probationary faculty that are unsatisfactory should lead to non-renewal of appointments.

Promotions in CEHHS require certain levels of performance in each category, as follows:

To Associate Professor

Promotions from assistant professor to associate professor normally include tenure, and they must therefore be regarded as critical for both the institution and the individual.

Recommendations for promotion must be based on demonstrated appropriate levels of performance. The minimum requirements at this level are that the faculty member: (1) be judged excellent in at least one of the teaching and research categories, (2) be judged at least significantly capable in the other category, and (3) be judged at least competent in service. Supporting evidence must be provided in every category; in the absence of such evidence, competence will not be assumed.

The maximum period of probation in full-time service before a decision is made on the promotion of an assistant professor to associate professor (with tenure) is normally six years. This period may be somewhat shorter for those with previous full-time service at other institutions or for those whose performance is exceptional.

If the promotion to associate professor and tenure is awarded, the promotion will be effective when the decision is approved by the Regents.

Processes for non-reappointment of tenure-track faculty without tenure, clinical instructional faculty and lecturers (non-bargained for) shall follow the practices as defined in SPG 201.88.

In cases of a negative tenure decision, it is the University's expectation that, except in unusual circumstances, the faculty member will be given a terminal year following the year in which the negative decision is reached (SPG 201.13).

To Professor

Promotion to the rank of professor should be made on the basis of demonstrated development since promotion to associate professor and on the basis of a scholarly reputation on a national level. Because service is essential and necessary for the functioning of the university, the promotion to full professor also requires evidence of expanded service contributions since promotion. Consequently, associate professors are expected to be more involved in service than assistant professors.

Recommendations for promotions must be based on demonstrated appropriate levels of performance. The minimum requirements at this level are that the faculty member: (1) be judged excellent in at least one of the teaching and research categories, (2) be judged at least significantly capable in the other category, and (3) be judged at least significantly capable in service. Supporting evidence must be provided in every category; in the absence of such evidence, competence will not be assumed.

Approved CEHHS Guidelines Promotion and Tenure

An associate professor may request consideration for promotion to full professor at any time. The length of time required for promotion to professor cannot be pinpointed; historically, however, promotions to professor after five to ten years in rank as associate professor have been considered in the normal range. There is no time period after which promotion to professor would be either automatic or prohibited if the appropriate criteria listed above are not met. Continued academic contribution, rather than length of service, is the key to promotion to professor.

Article VI. CEHHS Directives to Departments and Programs

Promotion and tenure recommendations are expected to originate in one of the departments of the College. All departments and programs shall follow the casebook instructions provided by the Office of Academic Human Resources at the University of Michigan - Ann Arbor. At the beginning of each fall term, the dean's office will provide the departments with an updated copy of the casebook instructions.

Timeline for Reviews

The P & T Committee meeting times will be set and announced at the beginning of each academic term. Reviews of assistant professors and three-year reviews of associate professors shall normally take place during the winter term. Chairs must also notify affected candidates at the beginning of the academic term with instructions and appropriate deadlines for the gathering and submitting of materials for review. Materials to be submitted are detailed in Article IV and must be made available electronically to appropriate committee members at least two weeks in advance of the scheduled meetings in order to give them sufficient time to examine the materials.

For assistant professors, the P & T Committee must review the submitted materials fully and vote by secret ballot whether or not to send publications out for external review at the end of the year preceding the candidate's critical tenure year as articulated in her/his appointment letter. A decision not to send out materials is taken as a negative review, and the candidate shall be informed in writing of the decision along with the rationale and shall be given an opportunity to include in his/her casebook a rebuttal to the decision. A rebuttal from the candidate may constitute an appeal to the P & T Committee's recommendation that will be considered by the dean and the CEHHS Executive Committee.

In the case of tenure and promotion considerations for associate professor to professor, the reconstituted P & T Committee (full-professor rank) must review the submitted materials and vote by secret ballot whether to send publications out for external review. A decision not to send out materials is taken as a negative review, and the candidate shall be informed in writing of the decision along with the rationale and shall be given an opportunity to include in his/her casebook a rebuttal to the decision. A rebuttal from the candidate may constitute an appeal to

Approved CEHHS Guidelines Promotion and Tenure

the P & T Committee's recommendation that will be considered by the dean and the CEHHS Executive Committee.

In cases where copies of published materials and materials in press are sent out for external review, the letter soliciting reviews must adhere to the prescribed CEHHS format, and the guidelines for selecting reviewers contained in Appendix II must be followed. Upon receipt of the review letters, the relevant P & T Committee will reconvene in early fall to discuss a candidate's entire P & T dossier. The P & T Committee must be informed at the beginning of each academic term of the committee's meeting dates.

Once the external review letters are received, the P & T Committee reconvenes in early fall to discuss a candidate's full dossier. At this time, a candidate is ranked as excellent, significantly capable, competent, or unacceptable in each of the three areas of teaching, research, and service. In addition, a vote is taken whether or not to recommend promotion and/or tenure. If the vote is not in favor of promotion and/or tenure, the candidate shall be informed in writing of the decision along with the rationale and shall be given an opportunity to include in his/her casebook a rebuttal to the decision. A rebuttal from the candidate may constitute an appeal to the P & T Committee's recommendation that will be considered by the dean and the CEHHS Executive Committee (reconstituted as needed).

Voting Procedures

All voting shall be by secret, written ballot, and except in the obvious case of unanimous votes, no one shall discuss how s/he voted or the final vote.

Following the discussion of evidence regarding teaching, research, and service, a ballot shall be distributed with ranking choices (excellent, significantly capable, competent or unacceptable) for each category along with the final recommendation (yes, no, or abstain). The results shall be collected and tallied by the chair. The chair is required to inform the dean and CEHHS Executive Committee in writing of the vote counts on each of these four results.

Due to the important nature of promotion and tenure, all committee members should read the materials carefully and be present for the entire discussion.

Absentee voting shall be permitted only under the following unusual circumstances:

1. Professional conflict (e.g., attending a conference, a teaching conflict)
2. Family emergency
3. Personal health issue

Absentee ballots must be received prior to the meeting in order to be included in the tally.

The Role of an Advocate

In the case of a positive vote on the part of the P & T Committee, the department chair, in consultation with the committee and candidate, will appoint an advocate who is acceptable to both. The advocate must prepare to represent the candidate. The advocate must not reveal to the candidate confidential information, such as the external review letters or the deliberations within the review committees. The advocate shall represent the candidate to the CEHHS Executive Committee.

P & T Committee Membership

At all levels, only professors may review and evaluate tenured associate professors; tenured associate professors along with full professors shall participate in the evaluation of non-tenured assistant and associate professors; only tenured professors may review non-tenured professors.

A department P & T Committee shall consist of all tenured faculty members in that department, or of all the tenured professors in that department, depending upon the rank of the candidate under review. Normally, the chair of the department serves as the chair of the P & T Committee, and will ordinarily not vote on such recommendations except in cases of ties. If s/he should decide not to vote to break a tie, the recommendation would fail for want of a majority.

In the case of a faculty member's holding a joint appointment in two or more departments or programs, the ranks of reviewing faculty shall be respected as above. Due to the unique nature of joint appointments, the review committee will consist of a sub-set of eligible faculty members from each department or program. The P & T Committee shall consist of three to seven members, including the chair(s) of the department(s) and/or director(s) of the program(s) involved. The apportionment of members from the department(s) and program(s) shall reflect the apportionment of the appointment. In consultation with the dean(s), the remaining members shall be determined independently by the P & T Committees of the department(s) and the review committee(s) of the programs in which the appointments are held. Continuity is an important aspect of committee membership. An ad hoc chair, with vote, shall be chosen by the committee members. The Memo of Understanding describing the particular joint appointment shall be made available to the reviewers to ensure that they are aware of the expectations. The recommendation for promotion and tenure from this joint committee will go directly to the dean of the college and CEHHS Executive Committee.

In cases where the department chair is an associate professor and considerations of promotion to professor or awarding tenure to probationary professors are involved, the chair shall not serve on the committee. A chair, with vote, shall be chosen from among the full professors on the committee by the members themselves, and this ad hoc chairperson shall perform all of the duties of the chair s/he replaces.

Approved CEHHS Guidelines Promotion and Tenure

Under no circumstances may one be present when her/his promotion and/or tenure are being considered by a review committee.

The chair shall meet with the review committee to hear the rationale for its decision. S/he shall be required to forward to the CEHHS dean any cases acted on, favorably or otherwise.

No review committee, at any level, shall consist of fewer than three members. If a department should have fewer than three people of the rank(s) required to constitute a committee, the chair shall inform the dean, who in consultation with the chair, shall appoint enough additional faculty members of appropriate rank from other departments.

Independent Review Process for the Chair

Upon receipt of a casebook from a discipline/department, the chair shall review and evaluate its contents. The chair shall accompany the P & T Committee's recommendations with her/his own recommendation, especially explaining how the chair's opinions may differ from those of the committee as a whole. If the vote is not in favor of promotion and/or tenure, the candidate shall be informed in writing of the decision along with the rationale and shall be given an opportunity to include in his/her casebook a rebuttal to the decision. A rebuttal from the candidate may constitute an appeal to the P & T Committee's recommendation that will be considered by the dean and the CEHHS Executive Committee (reconstituted as needed).

Notification of Results

Candidates for promotion and tenure should be given timely notice of departmental recommendations by their chair. Because each decision in this process is a recommendation, the chair and others involved should not make public announcements about the results until the entire process has been completed.

Article VII. CEHHS Procedures

Review Process for CEHHS Executive Committee

Upon receipt of a casebook from a department, the dean shall make its contents available to the CEHHS Executive Committee in its role as the CEHHS P & T Committee Chair. The members should be given a reasonable amount of time to review the casebook(s) fully. The date will be determined in consultation with the members of the P & T Committee and will depend in part on the number of cases to be considered.

The dean shall call and chair all meetings devoted to these matters. If some members of the regular CEHHS Executive Committee hold ranks lower than those required for participation in

Approved CEHHS Guidelines Promotion and Tenure

such considerations, the Committee must be reconstituted. For policies and procedures, please see the CEHHS Bylaws, Article III.4. With the exception of the dean of CEHHS, full-time administrators or those who have been involved in promotion and tenure considerations because of administrative responsibilities shall not be eligible to serve on the reconstituted CEHHS P & T Committee.

The advocate for each candidate will normally be given five minutes in which to summarize the candidate's qualifications, after which the Committee members will normally have five minutes to question the advocate. After the advocate leaves, the Committee will be allowed ample time to discuss the merits of the case before a vote is taken.

After the discussion, a member can make a motion to have the Committee vote on the rankings for each of the three areas. Unless a motion is made to modify one or more of the rankings in the three areas, then the rankings by the department or review committee are endorsed by the Executive Committee. If a motion is made to change one or more rankings, the results of that vote will be sent forward as part of the casebook.

Voting Procedures

All voting shall be by secret, written ballot, and except in the obvious case of unanimous votes, no one shall discuss how s/he voted or what the final vote was. Absentee voting by the members of the Executive Committee shall not be permitted.

The tallies will not be announced until all candidates have been voted on.

If the vote is not in favor of promotion and/or tenure, the candidate shall be informed in writing of the decision along with the rationale and shall be given an opportunity to include in his/her casebook a rebuttal to the decision. A rebuttal from the candidate may constitute an appeal to the Committee's recommendation that will be considered by the dean and the provost.

The dean is required to inform the provost and Vice Chancellor for Academic Affairs, in writing, of the exact vote at the department and college levels.

Independent Review Process for the Dean

Upon receipt of a casebook from a discipline, the dean shall review and evaluate its contents. The dean shall accompany the CEHHS Executive Committee's recommendations with his/her own recommendation. If the dean's opinions differ from those of the committee as a whole, s/he will provide an explanation. If the dean is not in favor of promotion and/or tenure, the candidate shall be informed in writing of the decision along with the rationale and shall be given an opportunity to include in his/her casebook a rebuttal to the decision. A rebuttal from the candidate may constitute an appeal to the dean's recommendation that will be considered by the provost.

Notification of Results

The dean shall promptly inform the department chairs of the decisions reached by the CEHHS Executive Committee on faculty in their respective departments. The dean shall inform candidates in writing about the prospect of their cases. Because each decision in this process is a recommendation, the dean and others involved should not make public announcements about the results until the entire process has been completed.