Procedures for Reviewing Candidates for Tenure and/or Promotion: Tenure-Track and Tenured Faculty

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Procedures (2012)

- Changes in the tenure regulations in June, 2011 required that the university procedures change as well.
- The Procedures were expanded as well to include new topics such as post-tenure review and the hire of tenured faculty from outside the university.
What Is New

- New numbering system – not sequential
- Expanded definitions
- New sections
  - Procedures for tenured hires
  - Procedures for post-tenure review
  - Expanded procedures for extension of the probationary period
- New procedures within existing procedures
- New expansions of some procedures
What Is New

- **Section I.F Candidate’s withdrawal from consideration for tenure**
  - Candidates have always been able to withdraw but this describes the process
  - Withdrawal can happen at any point.
  - Need a letter of resignation.
- Candidates must not be coerced or strongly advised in making this decision.
What Is New

• Choice of 7.12 statement following changes to the statement
  – **Section II.A** provides more details about the memorandum of understanding required
What Is New

- **Section II.B – Dual Appointments**
  - Now required to have a memorandum of understanding (MOU) by the end of the first year for anyone with a dual or joint appointment describing how the faculty member is evaluated each year.
  - For those who do interdisciplinary work, an MOU must be developed no later than the fourth probationary year.
What Is New

• **Section II.C.1 Voting eligibility**
  - Only tenured faculty can participate in P & T meetings. They can do so electronically.
  - Probationary faculty may not attend meetings or receive information about other probationary faculty.
• **Section II.C.1 Voting eligibility**
  – Can add additional tenured faculty who can vote on a candidate in a small unit, in cases of interdisciplinary faculty.
  
  • Requested by the chair/head and/or dean/chancellor, approved by the senior vice president for academic affairs and provost (SVPP)
  
  • Can also be requested by the candidate.
What Is New

• **Section II.C.3 Voting Procedures**
  - If tenured faculty are absent from a meeting in which tenure and promotion votes are held, they can vote on a password-protected, secure web site instead of presenting a written, sealed ballot ahead of time.
  - E-mail and phone votes are still not permitted because they are not secret ballots.
What Is New

- **Section II.C.4 Questions to be voted upon.**
  - Reflects major change in tenure policy
  - **One question** for a vote on an untenured assistant professor for tenure and promotion to associate professor.
  - Can vote for tenure only for a probationary faculty member at associate or professor ranks
Important Reminder

• **Section II.D Explaining the process to the candidate**
  – Each unit head must meet with new faculty in their first probationary year
    • Provide them with the tenure regulations, Procedures, and the unit 7.12 statement.
    • Explain unit procedures to the faculty member.
    • Make a dated, written record of the meeting and send to SVPP.
New Clarification

• Probationary faculty members must have an annual review every year, even during the year that they have extended the probationary period.
  - The extension is not a leave in most cases.
  - Section II.E.3
Extension of the Probationary Period

• Continuation year refers to the next contract year of a faculty member (i.e., an academic year or twelve months) following the grant to that faculty member of an extension of the probationary period under subsection 5.5 of Faculty Tenure
  • In the definitions section
  • Explained further in Section II.E.3
Extension of the Probationary Period

- Three reasons in Subsection 5.5 of the tenure regulations (Section II.E.3)
  - Childbirth/adoption/foster placement requires notification (New form 1626) and the extension is automatic.
  - Caregiver responsibilities and personal illness/injury requires approval by SVPP who notifies the unit head and dean/chancellor (New form 1626a)
  - Also see Section IV. Extension of the Probationary Period of the Procedures
Extension of the Probationary Period

- One can extend the probationary period if one’s effort is reduced below 67% (subdivision 5.3 of the tenure regulations).
  - Use Form 1626b
  - Fill out the form but there is no annual review.
  - Also in Section II.E.3
What Is Expanded

- Throughout the *Procedures*, it is repeated that candidates have the right to add to their dossier and to respond to reviews at each level throughout the process.
Expansion of Procedures

- **Section II.F.1 Tenure decision may be made at any time**
  - Can make a tenure decision during a continuation year
  - Discusses early decision and termination of a probationary faculty member (more details in **Section II.F.6**)
What Is New

- Section II.F.6 Recommendation for early termination of the probationary period
  - Same reasons as in old procedures
  - Must have a vote of the tenured faculty according to its rules
  - Must have a report of the faculty plus a second report from the unit head
  - If there is a vote for termination, the file goes to the second level (e.g. dean’s office and collegiate P & T committee or the campus level and the campus P & T committee).
What Is New

- **Section II.F.6 Recommendation for early termination of the probationary period**
  - Need a collegiate or campus recommendation
  - SVPP makes the final decision on all cases in which the faculty vote at the unit is negative.

- This is the process that has been followed for early terminations but now it is written out more clearly.
What Is New

- **Second-level review (Section II.G)**
  - Discuss TC colleges
    - Subdivided into departments (e.g. CSE)
    - Not subdivided into departments (e.g. Nursing)
  - Campuses
  - Describes the All-University P & T Committee for TC colleges not subdivided into departments
Promotion in Rank

• Instructor to assistant professor (Section III.A)
  – According to the tenure regulations, instructors on probationary appointments have two years to achieve the terminal degree.
  – When an instructor achieves the terminal degree, s/he is promoted to assistant professor without additional review.
What Is New re Promotion

• Required review of associate professors every four years to give feedback about his/her progress toward promotion to professor
  – Could be done during the annual review of tenured faculty or in the context of a merit review
  – Must be in writing (form to be developed shortly)
What Is New re Promotion

- External reviewers must be at the rank of professor or equivalent if academics
  - Exception can be made for a tenured associate professor
  - Can be a leader in the field outside the academy
Appointment of New Faculty Members with Tenure

- **Section V.** of the *Procedures*
  - Dossier must be assembled including a minimum of 3 letters from external reviewers for those already tenured and 4 external letters for those who are not yet tenured at their current institution
    - CV, letter about teaching and research
    - Scholarly work samples
    - Teaching data if available
Appointment of New Faculty Members with Tenure

- Votes at the unit level
  - Hiring vote for all tenured and tenure-track faculty
  - Vote for tenure (all tenured faculty vote)
  - Vote for appointment in rank (only tenured professors may vote)
- Unit report
- Report from the unit head
Appointment of New Faculty Members with Tenure

- Dossier sent to the dean or chancellor
  - May request review from a collegiate committee but not required due to time constraints of these hires
  - Dean or chancellor makes a written recommendation.
- All tenured hires must go to the SVPP for decision.
- SVPP makes final recommendation to the Board of Regents.
Appointment of New Faculty Members with Tenure

- Language is required regarding requirement to received a letter of resignation from the prior institution.
- “Pursuant to the policy Conflict of Commitment, faculty members at UM may not hold two tenured positions at the same time.”
- If a tenured faculty member on leave from UM accepts a tenured position at another university, s/he may not retain the tenured position at the UM.
Annual Review of Tenured Faculty

- **Section VI.A.** of the *Procedures*
  - Goals and expectations (G & E) are defined specifically as unit G & E
  - Minimum standards to retain a tenured position for teaching, research, and service
  - Define time frame for meeting G & E in each unit
Annual Review of Tenured Faculty

• **Section VI.A** of the *Procedures*
  - Describes the flexibility in adjusting G & E over the course of a career to put more emphasis on one area than another.
  - If G & E change for a faculty member in agreement with the unit head, an MOU is drawn up to reflect these changes.
  - Protects the faculty member and informs the unit during the annual evaluation.
Annual Review of Tenured Faculty - Procedures

• Subsection 7a of *Faculty Tenure* mandates the annual review of tenured faculty
  – Notes that this takes place as part of merit
  – Merit can be decided by a unit head alone or by a merit committee with the unit head. This is about faculty compensation.
  – Unit head must compare the faculty member’s annual performance with the G & E of the unit.
  – Decides if faculty member meets these or falls below these G & E substantially.
  – Unit head informs the faculty member of his/her judgment.
Annual Review of Tenured Faculty - Procedures

- Unit has an elected merit committee.
  - Only the tenured members can determine if the tenured faculty member falls below the G & E.
- Unit head determines merit alone.
  - Unit must have a standing or ad hoc committee for post-tenure review of tenured faculty who are elected.
- In either case, faculty committee determines if tenured faculty members falls substantially below the G & E of the unit.
Annual Review of Tenured Faculty - Procedures

• Both the unit head and the elected, tenured faculty committee must agree that the faculty member under review falls substantially below the G & E.

• They must write a letter together to the faculty member.
  – Include suggestions for improvement to meet the G & E
  – Include a time period to meet G & E
  – Committee and unit head must make reasonable efforts to meet with the faculty member under review to discuss the plan.
  – Faculty member may request plan modification but may not file a complaint with the SJC.
Annual Review of Tenured Faculty - Procedures

- At the end of the time period for improving performance, the faculty member under review must write a progress report.
- Unit head and the committee review the report.
  - May decide that the faculty member now meets G & E – faculty member returns to annual process.
  - May disagree about meeting G & E - faculty member returns to annual process.
  - May agree that the faculty member is still substantially below the G & E
    - Faculty member is referred for special peer review.
Special Peer Review

- Follows Subsection 7a.3 of tenure regulations
  - For colleges not subdivided into departments, special peer review is conducted by the SVPP instead of the dean.
  - Dean or chancellor (or SVPP) reviews the case independently.
  - If s/he agrees with the unit head and faculty committee, then special peer review begins.
- Panel of five tenured faculty equal to or higher in rank than the faculty member under review.
- Faculty member under review has 15 working days to appoint one member of the panel.
Special Peer Review

- Tenured faculty of the unit elect four members (and a fifth member if faculty member under review fails to appoint a panel member).
  - Elected members need not come from home unit.
- Panel elects a chair.
- Faculty member assembles material in 15 working days.
- Dean or chancellor (or SVPP) submits material to the panel.
- Faculty member gets 15 working days to review all materials and to make a statement to the review panel.
- Special review panel should reach a conclusion in 3-4 months after the panel is selected.
Special Peer Review

- Faculty member under review may have a faculty adviser or advocate through the process.
- If faculty member chooses not to participate, the review process continues.
- Panel report is written and signed by the special review panel.
  - Sent to the faculty member under review, dean or chancellor (or SVPP).
Special Peer Review

- Outcome judgments:
  - Meets G & E
  - Balance of G & E should be shifted
  - Additional performance review period either subject to regular annual reviews or to an additional special peer review.
  - Performance so inadequate as to justify salary reduction
  - Performance so inadequate that the dean or chancellor (or SVPP) should commence formal proceedings for termination
Appendix

- Describes timelines for changes in the tenure regulations
- Provides a summary table summarizing changes in the tenure regulations over time