

# **Promotion and Tenure Guidelines**

## **Department of Economics**

October 11, 2010

### **Preamble**

The Department of Economics must adhere to the highest feasible standards in recruiting, promoting, and the awarding of tenure to faculty members. The purpose of these guidelines is to describe the broad criteria and procedures for

1. maintaining the highest possible standards,
2. ensuring that documentation of individual cases will be as clear and convincing as possible, and
3. providing fair procedure and proper respect for the rights of individual faculty members.

The Columbia Campus (most notably, the Provost's "call" document) and UM System Promotion and Tenure policies promulgated in the Collected Rules are controlling documents; nothing herein may be construed to override those Campus and System policies.

### **General Guidelines**

In accordance with university policy, contributions of individual faculty members are judged in three areas:

1. research,
2. instruction and student advising, and
3. service.

The first two are paramount; the third is an important complement.

The tenure decision is the most important action taken in the career of a faculty member, both for the individual and for the university. The recommendation to award tenure shall be based on notable or sustained contributions that can be clearly substantiated.

The ranks of associate professor and professor principally represent degrees of scholarly maturity and recognition. Promotion to associate professor (and the awarding of tenure) reflects a demonstrated potential for developing a national reputation in the discipline. One promoted to professor shall have established such a reputation. These achievements are to be certified via the procedures described below.

### *Research*

Awarding of tenure, or promotion to Associate Professor, requires a record of published research that is professionally visible. Publication in high quality specialty or general interest journals, and reasonable expectation of future publication in such journals, is required.

A significant impact upon the candidate's field of specialization is required for promotion to Full Professor.

### *Teaching*

Awarding of tenure, or promotion to Associate or Full Professor, requires demonstrated ability to contribute to the Department's teaching responsibilities.

### *Service*

Awarding of tenure or promotion to Associate Professor requires active participation in Department-level committees as assigned or requested by the Department Chair. The Department Chair shall keep such assignments or requests for untenured faculty to the minimal level consistent with sound Department management. Tenured faculty members bear greater service responsibilities. Promotion to Full Professor requires active participation in College or University committees, and other administrative contributions, as reasonably assigned or requested by the Department Chair or other College or University appointment procedures.

### *Sponsored Research*

External funding is not required for awarding of tenure or promotion to Associate Professor or Full Professor. However, the professional, Departmental, and University benefits of external funding shall be considered in forming a recommendation for or against promotion or tenure.

### *Temporary Service Appointments*

Proportionally greater weight shall be given to service in forming a recommendation for or against promotion or tenure when a job assignment has an unusually large service component. Excellence in teaching and research are still required for awarding of tenure or promotion to Associate Professor or Full Professor.

# Procedures

## *Annual Review of Untenured Faculty*

The tenured faculty of the Department shall conduct an Annual Review of the activities and performance of each regular untenured faculty member. The conclusions of the Annual Review will consist of:

1. a written Annual Evaluation of this individual's progress toward tenure, and
2. a recommendation by the Department to the Dean for reappointment, non-reappointment, promotion, tenure, or a terminal appointment for the non-tenured faculty member for the following academic year, consistent with university requirements for notification.

The information base for the annual review shall be an on-going file kept by the Department in the faculty member's name; the faculty member under review shall have primary responsibility for maintaining appropriate information in this file. The file must include a *Faculty Accomplishment System Annual Summary* for each calendar year up to the time of the Annual Review. The information in the file and a copy of the Annual Evaluation shall be transmitted in writing by the Department Chair to the untenured faculty member. The untenured faculty member shall have the right to request, within 7 days of receipt of the Evaluation, a meeting with the tenured faculty or their designated representatives to address perceived inaccuracies and points of disagreement. A copy of the Evaluation shall be placed in the faculty member's file, together with any written reaction to the Review submitted by the untenured faculty member.

## *Annual Review in the Third Year from Tenure*

When the number of years between the initial appointment and the mandatory year is greater than four, an especially extensive Annual Review must be made three years before the occurrence of the mandatory year. Although the Department makes no commitment for or against a tenure recommendation now or later via this process at this stage, its review shall include, whenever possible, an explicit statement of how well the candidate is meeting the Department's expectations for progress toward tenure. In addition to providing the faculty member under review with a copy of this third-year Annual Evaluation, the Department Chair shall also forward a copy to the Dean, together with any written statement by the untenured faculty member pertaining to it. The Department shall forward copies of all subsequent Annual Evaluations to the Dean, along with any written statements by the individual under review.

This Annual Review shall include a written summary of the tenured faculty's deliberations and the untenured faculty member's status and prospects toward tenure.

## *Departmental Procedures for Tenure Recommendation*

The Department Chair, upon recommendation of the tenured faculty, shall appoint two members of the tenured faculty to form a subcommittee to begin an intensive review of the candidate's qualifications. These appointments shall be made no later than May 15 preceding the fall semester in which the Department plans to forward a recommendation on tenure to the college.

As part of its review, the subcommittee must solicit, in consultation with the Department Chair, letters of evaluation from qualified, impartial reviewers, holding positions outside this institution. These reviewers must be recognized authorities in the discipline and must be asked to evaluate the candidate's scholarly accomplishment, extent of national reputation or visibility, comparative standing with peers in the discipline and potential for future growth. The reviewers must be told that, insofar as possible, access to their evaluation will be limited to those persons who will vote on tenure. The candidate shall be given the opportunity to recommend reviewers. Unsigned letters of evaluation or opinion, however formal or casual, must play no role whatsoever in the decision or evaluation process. Unsolicited, but signed letters, may be used with caution and only after consultation with the Dean and/or the Promotion, Tenure and Membership Committee of the College of Arts and Science.

As a separate part of the evaluation process, the subcommittee is to develop an informed assessment of the candidate's effectiveness as a teacher, according to procedures established by the Department. In addition, the subcommittee is to prepare a detailed report of the candidate's record of service to the university.

The following evidence must be submitted and considered in forming a recommendation for or against tenure:

1. A complete listing of courses taught, by semester, including enrollments.
2. A syllabus for each course.
3. Numerical results from course evaluation questionnaires for each course.
4. Written peer evaluations.

Other pertinent evidence should be submitted, including written materials used in courses and students' written comments.

The subcommittee shall submit a written review of the candidate's total qualifications, without a recommendation on tenure, to the tenured faculty of the Department no later than September 15. All those who will vote on tenure must be afforded reasonable access to this review and all documentation used by the subcommittee. The tenured faculty shall then meet no later than October 1 to discuss the candidate's tenure case, and shall vote as described below on a Departmental recommendation with regard to tenure no later than October 15. Members of the tenured faculty shall have the opportunity to participate in preparing, and if necessary defending on appeal, the Departmental recommendation. The tenured faculty's recommendation, including the number of votes for and against tenure,

along with the number of abstentions and absences, shall be forwarded to the Dean by the Department Chair. Should the Chair's recommendation differ from that of the Departmental recommendation, then the Chair shall make a separate "Chair's Recommendation" with regard to tenure.

Any faculty who cast a vote in the tenure decision process have the right, individually or jointly, to submit a signed, separate evaluation and opinion to the Chair and/or Dean with regard to the Departmental recommendation.

A candidate may withdraw from further review at any time by submitting a written request to the Department Chair.

### *Departmental Procedures for Recommendation of Promotion to Associate Professor*

The same, and full, Departmental procedure used to develop a tenure recommendation must be used to develop a recommendation for promotion from assistant to associate professor rank, with the sole exception that only those members of the Department who already hold tenure and the rank of associate or full professor be allowed to vote on a recommendation for or against promotion.

A tenured faculty member who holds the rank of assistant professor has the right of full application of the Departmental decision process for or against promotion to associate rank in every third year, following the award of tenure, but may request that the Department not initiate or carry through this process at this or any such scheduled time.

### *Annual Review of Associate Professors*

The full professors of the Department shall conduct an annual review of the contributions of each associate professor to the Departmental mission, concluding with a written evaluation that is to be placed in the faculty member's file. The associate professor may request a copy, and discussion with the Chair, of the evaluation. Any written reaction by the faculty member is to be placed in the faculty member's file. This Annual Review shall occur during the spring semester.

### *Departmental Procedures for Recommendation of Promotion to Full Professor*

The same, and full, Departmental procedure for arriving at a tenure recommendation, or recommendation for promotion to associate professor, will be used for arriving at a recommendation for or against promotion to full professor, with the sole exception that only those members of the Department who already hold the rank of tenured full professor be allowed to vote on a recommendation for or against promotion.

A faculty member who holds the rank of associate professor has the right to full application of the Departmental decision process, for or against promotion to full

professor rank, in the sixth year of appointment at associate rank and, should promotion not occur, every third year thereafter, and no more frequently, but may request that the Department not initiate or carry through this process at this or any such scheduled time.

In the absence of an explicit written request from an eligible associate professor for full application of the Departmental decision process, there shall be a vote of the tenured full professors on each eligible Associate Professor regarding whether to proceed with the Department's full procedure for arriving at a recommendation for or against promotion to full professor.

### *Hearings and Appeals*

The candidate for tenure or promotion shall have the right to a hearing for reconsideration by the appropriate administrative officer or committee making a negative decision at the Department level. The candidate shall also have the right to appeal a negative recommendation at the Department level to the College of Arts and Science Promotion, Tenure and Membership Committee and the Dean. Further appeals are governed by relevant campus and university documents.

### *Form of Recommendations Regarding Promotion and Tenure*

The Department shall prepare a complete dossier documenting its recommendation to the Dean. The dossier shall include a complete resume prepared by the candidate (including a record of teaching, scholarship and artistic achievement, and service), together with copies of publications or other appropriate materials supplied by the candidate. The dossier must include ***all*** letters of evaluation solicited by the Department along with an explanation of the process for selecting respondents, a description of each respondent's credentials, and a list of all individuals whose evaluation was sought whether they responded or not, along with any known reason for a non-response. An informed assessment of the candidate's teaching effectiveness must be a part of the dossier along with a record and evaluation of the candidate's activities in advising, administrative responsibilities, and service. The dossier may include any other information the Department decides is relevant to the recommendation.

The untenured faculty member bears primary responsibility for the accuracy and completeness of the tenure dossier, except for information pertaining to letters from outside reviewers.

### *Departmental Voting Procedures*

Only tenured regular faculty members in the Department may vote on promotion and/or tenure of a regular faculty member. Every such faculty member must be provided with a reasonable means to cast a timely, secret vote on promotion and/or tenure.

Faculty who cannot be present at the time called for voting shall be notified of a reasonably concurrent date by which their vote must be received. The votes shall not be counted until this date is passed and/or this and all votes have been received.

All votes concerning personnel decisions about tenure-track faculty are decided by a simple majority of those members of the voting group specified below that are present and voting, with the following exceptions:

1. The decision to extend an offer of assistant professor to a person not then in a tenure-track position within the Department requires 60% in favor, rather than a simple majority. All new hires into tenure-track positions must meet this standard within the voting group comprising all regular faculty members, even if the ultimate intention is to extend an offer at the associate or full professor rank.
2. The final Department recommendation for promotion to associate or full professor, or initial appointment at either of these ranks, or awarding of tenure, requires two-thirds in favor (or that fraction of the voting group nearest to two-thirds). This higher standard applies only to the final recommendation made after the full dossier is assembled and reviewed. The Department expects the Chair to accurately represent at all higher levels within the University the decision reached according to this two-thirds standard, except when a vote by a non-voting Chair would be decisive. Abstentions and blanks, including missing votes from members of the voting group who are not present, shall count as "no" votes in evaluating whether the Department's two-thirds standard is achieved even though they may be counted differently by the Department in other contexts, or by other decision-making entities within the University. However, the voting group may, by simple majority, grant a requesting member the right to abstain, thereby counting that person either as "present but not voting," or, if absent from the meeting, as "not voting," in the standard manner prescribed by Robert's Rules.