

NEW ARTICLE

FACULTY REAPPOINTMENT, PROMOTION, AND TENURE

Promotion, tenure, and reappointment (PTR) is governed by the University By-Laws and all comprehensive University procedures for PTR are summarized on the Provost's website.

Awarding tenure and promotion of faculty are critically important decisions – both for the faculty member and for the long-term academic success of UConn. The Provost's office is responsible for a careful review of all school and college recommendations from a University-wide (rather than school-specific) perspective. The University has full discretion and authority to make evaluative judgments concerning performance and to decide whether a faculty member should be promoted or tenured based on that assessment.

In considering which faculty should be reappointed, promoted and tenured, the University will evaluate each case carefully, as outlined below.

Each promotion and tenure case is evaluated on its own merits. Further, when making a recommendation for tenure, each department and school/college must be able to make a strong case that the candidates being considered constitute an excellent permanent appointment in his or her field or area of expertise. The University will only tenure those individuals who are outstanding in their fields and in whom it has great confidence for the highest levels of future accomplishments.

In evaluating scholarly or creative work, the quantity and above all, the quality, importance, and creativity of a body of work are considered, as key indicators of a candidate's potential for future achievement. A positive recommendation to confer tenure must include strong evidence of the high quality of a candidate's work, the distinctiveness of his or her contributions, and the degree of influence on his or her field.

The quality of a candidate's teaching and future potential as a teacher are also major factors affecting the decision to grant tenure and/or promotion to any faculty member. Information regarding the quality of a candidate's teaching must be included in a candidate's file. As with scholarly or creative work, the nature of the teaching accomplishments may differ among the schools and colleges. Nonetheless, UConn has a commitment to excellence in teaching, as well as research, scholarship, service and engagement. The importance of high quality of teaching will be fully considered in all PTR decisions.

In considering promotion to the rank of professor, departments and schools/colleges must consider the full-range of a candidate's accomplishments over the course of his or her academic career, particularly contributions made after the candidate was tenured. Promotion to this rank is appropriate only when the faculty member has achieved a high level of distinction in his or her field and has demonstrated excellence as

a teacher. Time served in the rank of associate professor is not sufficient cause for promotion; instead, the standard is a national reputation based on a body of work in the candidate's field and quality contributions in teaching.

Tenure and Promotion Procedures and Materials for Continuing Faculty

All tenure-track candidate dossiers are reviewed annually by departmental and as applicable, school/college committees. In particular, Department Heads, or Deans in schools and colleges without departments, are expected to meet with candidates each year, including during their first year, to provide written departmental and school/college guidelines about the PTR process, and to discuss appropriate goals, responsibilities, and expectations. At the conclusion of the second year, the candidate's dossier should be assembled and submitted for a comprehensive review in the fall of their third year. The next comprehensive review, usually for tenure and promotion, is generally begun and concluded in their sixth year. In some cases when a candidate's record is exceptionally strong, early review for tenure may occur. Early application for tenure may also occur for candidates with previous academic experiences at other institutions, with the support of the Dean and Department Head. Each year, the Provost's Office distributes timelines for the submission of dossiers and related materials. In cases where concerns have been raised in the Provost's review of the third year dossier, Deans may be asked to forward dossiers for additional Provost review in their fourth and/or fifth year.

Dossiers that are sent to the Provost's office for review generally include:

- A reflective statement by the candidate summarizing his or her previous accomplishments (at UConn and previous institutions) and future plans in the areas of a) teaching, b) research, scholarly, or artistic accomplishments, and c) University and professional service.
- In Schools or Colleges with departments, a review of the dossier summarized in an evaluative letter to the Department Head by a departmental PTR Advisory Committee that is selected according to a method approved by a majority of the faculty members in the Department. In the letter, the PTR committee advises the Department Head on their independent appraisal of the candidate's performance and potential for teaching, scholarship and/or creative accomplishments, and service. The departmental PTR committee advises the Department Head by making a formal recommendation by vote and summarizing its evaluation and vote in the letter.
- A detailed letter from the Department Head or Program Director addressed to the Dean, and/or School or College PTR Advisory Committee as appropriate. All letters from Department Heads and Directors should include an independent review, with a thorough evaluative assessment of each candidate's performance. This letter should include a thoughtful and comprehensive discussion of the candidate's performance as a teacher and as a scholar or artist/performer, and a discussion of the candidate's UConn service and engagement activities. The letter may include points that either agree or disagree with other assessments of the candidate raised by external reviewers

or the department PTR committee. This letter should discuss both the candidate's strengths and weaknesses and make comparisons between the candidate and other highly productive scholars of service and rank in either the department or on a national level. Information on teaching should compare the candidate to the overall teaching performance of the department and the University.

- Supporting documentation used in the departmental and school/college level review process.
- In the review for promotion and tenure, generally during the sixth year, a minimum of five, but generally seven or more, substantive letters from outside the University that assess the candidate are solicited. These letters should come from knowledgeable full professors or at least tenured faculty members from peer and preferably aspirant institutions whose program in the discipline ranks among those considered national leaders. The outside referees should include individuals from among those identified by the candidate and by the Department/Program Head, the school/college PTR Committee, and/or the Dean. The referees may not have a close personal or professional relationship to the candidate that would undermine a candid, independent evaluation. Guidelines should be given to these external referees to assure that their evaluations make useful comparisons between the candidate and those who represent a national cohort of scholars/artists/performers of similar service and rank at peer or aspirant institutions. The referees should also address the candidate's specific strengths and weaknesses with respect to scholarship. Explicit reference should be made to standards for tenure to be applied at UConn, as summarized above.
- A detailed letter from the Dean explaining the Dean's independent evaluation, recommendation and rationale for each case being submitted to the Provost's office for review. Reference should be made to each candidate's accomplishments including a comprehensive and thoughtful assessment of strengths, weaknesses, and future promise measured against UConn's standards.

All school/college recommendations for tenure and/or promotion of continuing faculty should be presented to the Provost's Office no later than December of the academic year in which the tenure and promotion are being sought. The Provost will submit his or her recommendations to the Board of Trustees in March for approval at its April meeting.

Procedures

All Department and School PTR Guidelines and procedures will be available from Department Heads and Deans' offices. These guidelines may be updated from time to time, and are usually reviewed and revised every five to seven years. University/Provost level PTR guidelines and procedures are posted on the provost's website. The guidelines should be considered in their entirety, as some Departments and Schools vary slightly in the way that individual steps occur.

The Provost's office will inform the AAUP each year of any change to the procedures/materials that should be included in the promotion and reappointment packets, at least three months prior to the deadline for submission. All candidates will be provided, upon request, with a copy of the current PTR criteria by their Department Head or Dean.

Each faculty member who is applying for reappointment, tenure, and/or promotion shall discuss with his or her Department Head or Dean the decision to apply for promotion, tenure, or reappointment with sufficient time for the Department/School/College to obtain external review letters, when appropriate, and to meet the stated deadline to submit dossiers.

A candidate who has an approved calendar stoppage during their probationary period may, upon written request, decide to submit a dossier during the same time period as his or her normal probationary period.

Any document or documents may be added to the PTR dossier at any time by the candidate. If documents other than confidential outside letters of evaluation, reports of departmental committees and materials submitted by the candidate, are added to the promotion packet by an evaluative body, a copy of the document(s) shall be transmitted to the candidate within three days; the candidate shall have the right to submit a response or rebuttal within ten days.

Outside letters of evaluation shall be held in confidence and their use restricted to evaluation of the faculty member.

A candidate will be asked to suggest potential outside evaluators and may discuss with his/her Department Chair qualified persons from whom letters may be solicited. The Department Head selects approximately half of the evaluators from the candidate's list and the remainder of the evaluators are selected by the Department Head.

The candidate shall be notified of the school/college PTR recommendation soon after the decision is made. The candidate will be notified in writing by the Dean or the Dean's designee of the final school/college recommendation. For unsuccessful candidacies at this stage, such notification shall include an invitation to meet with the Dean. The files are then forwarded to the provost's office for review at that level.

A faculty member who is evaluated for and who fails to receive reappointment, tenure and/or promotion shall be notified of the decision after the Provost level review.

The University shall transmit to the AAUP written notice of each negative final decision of the University concerning promotion, tenure, or reappointment of faculty members in the bargaining unit.

Per the Laws and By-Laws of the University of Connecticut, Article XIV, at the

end of the sequence of peer reviews (including the Faculty Review Board), a faculty member may appeal a negative promotion, tenure or reappointment decision by the Provost to the Committee of Three. In appropriate circumstances a decision by the Provost to deny tenure may be appealed through the Tenure Appeal procedures provided in MOA No. 3. Decisions to deny promotion, tenure or reappointment are not subject to the contractual grievance procedure.

Tentative Approval

AAUP

_____/_____/_____
Date

University of Connecticut

_____/_____/_____
Date