

# Promotion and Tenure Procedures, Applied Behavioral Science Department

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**Purpose:** To articulate the standards and procedures for promotion and/or tenure for the Department of Applied Behavioral Science

**Applies to:** Faculty within the Department of Applied Behavioral Science

## **General Provisions**

**Scope and Purpose.** The award of tenure and/or promotion in rank are among the most important and far-reaching decisions made by the department because an excellent faculty is an essential component of any outstanding institution of higher learning. Promotion and tenure decisions also have a profound effect on the lives and careers of faculty. Recommendations concerning promotion and tenure must be made carefully, based upon a thorough examination of the candidate's record and the impartial application of these criteria and procedures, established in compliance with the [Faculty Senate Rules and Regulations \(FSRR\) Article VI](#).

It is the purpose of this document to promote the rigorous and fair evaluation of faculty performance during the promotion and tenure process by (a) establishing criteria that express the department's expectations for meeting University standards in terms of disciplinary practices; (b) providing procedures for the initial evaluation of teaching, scholarship, and service; (c) preserving and enhancing the participatory rights of candidates, including the basic right to be informed about critical stages of the process and to have an opportunity to respond to negative evaluations; and (d) clarifying the responsibilities, roles, and relationships of the participants in the promotion and tenure review process.

Each level of review, including the initial review, the intermediate review, and the University level review, conducts an independent evaluation of a candidate's record of performance and makes independent recommendations to the next review level. Later stages of review neither affirm nor reverse earlier recommendations, which remain part of the record for consideration by the Chancellor. It is the responsibility of each person involved in the review process to exercise his/her own judgment to evaluate a faculty member's teaching, scholarship, and service based upon the entirety of the data and information in the record. No single source of information, such as peer review letters, shall be considered a conclusive indicator of quality.

**Academic Freedom.** All faculty members, regardless of rank, are entitled to academic freedom in relation to teaching and scholarship, and the right as citizens to speak on matters of public concern. Likewise, all faculty members, regardless of rank, bear the obligation to exercise their academic freedom responsibly and in accordance with the accepted standards of their academic disciplines.

**Confidentiality and Conflicts of Interest.** Consideration and evaluation of a faculty member's record is a confidential personnel matter. Only those persons eligible to vote on promotion and tenure may participate in or observe deliberations or have access to the personnel file (except that clerical staff may assist in the preparation of documents under conditions that assure confidentiality).

No person shall participate in any aspect of the promotion and tenure process concerning a candidate when participation would create a clear conflict of interest or compromise the impartiality of an evaluation or recommendation.

If a candidate believes that there is a conflict of interest, the candidate may petition to have that person recuse him/herself. If a committee member does not recuse him/herself, a decision about whether that person has a conflict of interest shall be made by a majority of the other committee members.

## **Promotion and Tenure Standards**

**General Principles.** The University strives for a consistent standard of quality against which the performance of all faculty members is measured. Nonetheless, the nature of faculty activities varies across the University and a faculty member's record must be evaluated in light of his/her particular responsibilities and the expectations of the discipline. These criteria state the department's expectations of performance in the areas of teaching, scholarship, and service necessary to satisfy the University standards for promotion for the award of tenure and/or promotion to associate professor and for promotion to full professor, or equivalent ranks.

Teaching and scholarship should normally be given primary consideration, but the particular weight to be accorded to each component of a faculty member's activities depends upon the responsibilities of the faculty member. The College has traditionally recognized the 40-40-20 formula for weighting research, teaching, and service, except when weight is differentiated for unclassified academic staff members pursuant to their job description.

**Teaching.** Teaching is a primary function of the University, which strives to provide an outstanding education for its students. The evaluation of teaching includes consideration of syllabi, course materials, and other information related to a faculty member's courses; peer and student evaluations; a candidate's own statement of teaching philosophy and goals; public representations of teaching; and other accepted methods of evaluation, which may include external evaluations. In addition to these considerations, the department's evaluation of teaching includes:

1. peer and student evaluations of classroom and practicum teaching;
2. peer evaluation of the supervision of instruction by graduate teaching assistants;
3. undergraduate and graduate student credit hour production;
4. participation in undergraduate and graduate student advising;
5. participation in graduate training, including chairing and serving on graduate student committees, both inside and outside the department; prompt grading of writing requirements (e.g., comps in the old comp system, article critiques); and the number of writing requirements graded;
6. receipt of teaching awards and honors; and
7. achievements of former students insofar as these can be fairly evaluated.

High quality teaching is serious intellectual work grounded in a deep knowledge and understanding of the field and includes the ability to convey that understanding in clear and engaging ways.

The conduct of classes is the central feature of teaching responsibilities at KU, but teaching also includes supervising student research and clinical activities, mentoring and advising students, and other teaching-related activities outside of the classroom.

Under the University standards for the award of tenure and/or promotion to associate professor, the record must demonstrate effective teaching, as reflected in such factors as command of the subject matter, the ability to communicate effectively in the classroom, a demonstrated commitment to student learning, and involvement in providing advice and support for students outside the classroom.

In the department, the following teaching expectations to meet University standards apply for the award of tenure and/or promotion to the rank of associate professor:

1. cogent statement of the candidate's teaching philosophy and goals;
2. clear course syllabi and materials;
3. knowledge, understanding, and command of the field;
4. commitment to student learning;

5. effective undergraduate and graduate teaching of two courses a semester (e.g., lecture courses, seminars, practica), which includes effective and engaging classroom communication, as judged by quantitative and qualitative student and peer evaluations;
6. advising undergraduate students and mentoring graduate students outside of classroom and research venues;
7. supervising student research, practica, and clinical activities;
8. grading written requirements and grading them promptly;
9. directing honors theses, master's theses, and doctoral dissertations; and
10. participating in annual reviews of graduate student performance.

Under the University standards for promotion to the rank of professor, the record must demonstrate continued effectiveness and growth as a teacher, as reflected in such factors as mastery of the subject matter, strong classroom teaching skills, an ongoing commitment to student learning, and active involvement in providing advice and support for students outside the classroom.

In the department, the following teaching expectations to meet University standards apply for the promotion to the rank of professor:

1. an exemplary statement of teaching philosophy and goals;
2. excellent course syllabi and materials;
3. a deep knowledge, understanding, and mastery of the field;
4. continued commitment to student learning;
5. strong undergraduate and graduate teaching (e.g., courses, practica), which includes effective and engaging classroom communication, as judged by quantitative and qualitative student and peer evaluations;
6. advising undergraduate students and mentoring graduate students;
7. supervising student research, practica, and clinical activities;
8. grading written requirements and grading them promptly;
9. chairing honors theses, master's theses, and doctoral dissertations;
10. advising master's and doctoral students through to their degree completion; and
11. participating in annual reviews of graduate student performance.

**Scholarship.** The concept of "scholarship" encompasses not only traditional academic research and publication, but also the creation of artistic works or performances and any other products or activities accepted by the academic discipline as reflecting scholarly effort and achievement for purposes of promotion and tenure. While the nature of scholarship varies among disciplines, the University adheres to a consistently high standard of quality in its scholarly activities to which all faculty members, regardless of discipline, are held. In the department, research/scholarship are defined in terms of:

1. publications in peer-refereed journals in the faculty member's specialty area or discipline;
2. competitive federal, state, and private foundation grants, funded or unfunded;
3. authored books and book chapters;
4. edited books; and
5. other publications in hard copy or electronic media (e.g., manuals, DVDs, CDs). Also included are invited and submitted presentations and posters at regional, national, and international conferences; and awards and honors for research and scholarship.

Under the University standards for the award of tenure and/or promotion to the rank of associate professor, the record must demonstrate a successfully developing scholarly career, as reflected in such factors as the quality and quantity of publications or creative activities, external reviews of the candidate's work by respected scholars or practitioners in the field, the candidate's regional, national, or international reputation, and other evidence of an active and productive scholarly agenda.

In the department, the following scholarship expectations to meet University standards apply for the award of tenure and/or promotion to the rank of associate professor: The demonstration of a developing and sustainable research and scholarly career. This is reflected in:

1. the quality and quantity of publications in peer-refereed journals; authored and edited books; book chapters; presentations and posters at state, regional, and national conferences; and the pursuit of federal, state, and private funding for research;
2. external reviews of the quantity, quality, significance and impact of the candidate's research and scholarship and regional and national reputation by respected researchers and scholars in the field; and
3. local, state, regional, and national awards and honors for research and scholarship.

Under the University standards for promotion to the rank of professor, the record must demonstrate an established scholarly career, as reflected in such factors as a substantial and ongoing pattern of publication or creative activity, external reviews of the candidate's work by eminent scholars or practitioners in the field, the candidate's national or international reputation, and other evidence of an active and productive scholarly career.

In the department, the following scholarship expectations to meet University standards also apply for the promotion to the rank of professor: The demonstration of an established scholarly career. This is reflected in:

1. a substantial and ongoing pattern of publications in peer-refereed journals; authored and edited books; book chapters; presentations and posters at national and international conferences; and the pursuit of competitive federal, state, and private funding for research;
2. external reviews of the quantity, quality, significance and impact of the candidate's research and scholarship, and national and international reputation by respected researchers and scholars in the field; and
3. national and international awards and honors for research and scholarship.

**Service.** Service is an important responsibility of all faculty members that contributes to the University's performance of its larger mission. Although the nature of service activities will depend on a candidate's particular interests and abilities, service contributions are an essential part of being a good citizen of the University. The department accepts and values scholarly service to the discipline or profession, service within the University, and public service at the local, state, national, or international level.

Under the University standards for the award of tenure and/or promotion to associate professor, the record must demonstrate a pattern of service to the University at one or more levels, to the discipline or profession, and/or to the local, state, national, or international communities.

In the department, the following service expectations to meet University standards apply for the award of tenure and/or promotion to the rank of associate professor: service to the University at one or more levels, to the discipline or profession, and/or to the local, state, regional, and national communities. This includes:

1. administrative service on University, College, and/or department committees and boards;
2. professional and scientific service in elected and/or appointed offices and committee membership in local, state, regional, and national organizations;
3. peer review in service as editors of newsletters and scientific or scholarly journals or on the editorial boards of these newsletters or journals; editorial consulting for these journals or professional organizations or conferences; and/or, membership in research grant review committees or councils for a government agency or private foundation, or reviewing research grants for such organizations
4. consulting service in advising governmental, professional, academic, community, and private entities; and

5. public service in advising or assisting community and non-profit organizations in areas related to the candidate's professional competencies.

Under the University standards for promotion to the rank of professor, the record must demonstrate an ongoing pattern of service reflecting substantial contributions to the University at one or more levels, to the discipline or profession, and/or to the local, state, national, or international communities.

In the department, the following service expectations to meet University standards apply for the promotion to the rank of professor: an ongoing pattern of service reflecting substantial contributions to the University at one or more levels, to the discipline or profession, and/or to national or international communities. This includes:

1. ongoing and substantial administrative service on University, College, and department committees and boards;
2. ongoing professional and scientific service in elected or appointed offices and committee membership in national and international organizations;
3. ongoing and substantial peer review in service as editors of scientific or scholarly journals or on the editorial boards of these journals; editorial consulting for these journals or professional organizations or conferences; and/or, membership in research grant review committees or councils for a government agency or private foundation, or reviewing research grants for such organizations;
4. consulting service in advising governmental, professional, academic, community, and private entities; and
5. public service in advising or assisting community and non-profit organizations in areas related to the candidate's professional competencies.

***Ratings for Performance.*** Using the criteria described above, the candidate's performance in the areas of teaching, scholarship, and service will be rated using the terms "excellent," "very good," "good," "marginal," or "poor," defined as follows:

- (a) "Excellent" means that the candidate substantially exceeds expectations for tenure and/or promotion to this rank.
- (b) "Very Good" means the candidate exceeds expectations for tenure and/or promotion to this rank.
- (c) "Good" means the candidate meets expectations for tenure and/or promotion to this rank.
- (d) "Marginal" means the candidate falls below expectations for tenure and/or promotion to this rank.
- (e) "Poor" means the candidate falls significantly below expectations for tenure and/or promotion to this rank.

Absent exceptional circumstances, no candidate may be recommended for promotion or tenure without meeting standards in all applicable areas of performance. Strong candidates are likely to exceed normal expectations in one or more categories.

## **Promotion and Tenure Procedures**

The department conducts the initial review of the candidate pursuant to the procedures and requirements of [section 5 of Article VI of the FSRR](#) in connection with the candidate's responsibility in the department.

***Promotion and Tenure Committee.*** The department review committee shall evaluate the candidate's teaching, research, and service. In the Department of Applied Behavioral Science, the initial review committee is the Faculty Development Committee (a.k.a. the Promotion and Tenure Committee). It shall be comprised of five associate or full professors, who volunteer or are selected by the department chairperson for their expertise in evaluating teaching, research, and/or service for promotion and/or tenure. Its recommendations regarding promotion and/or tenure shall be forwarded for consideration to a committee of the whole consisting of faculty members at the rank of associate or full professor.

No students or untenured faculty members, except unclassified academic staff with the rank equivalent to or higher than associate professor, shall serve on the Faculty Development Committee or vote on any recommendation concerning promotion and/or tenure.

***Initiation of Review.*** Prior to the beginning of the spring semester, the Provost shall notify all faculty whose mandatory review year will be the following academic year, with copies provided to unit administrators and the dean. Upon receipt of this notice or if a faculty member requests it prior to the mandatory review year, the unit shall initiate procedures for evaluating the candidate for the award of tenure or tenure and promotion in rank.

At or before the beginning of the spring semester, the unit shall consider the qualifications of all faculty members below the rank of full professor, with a view toward possible promotion in rank during the following academic year. After considering a faculty member's qualifications, if the unit determines that those qualifications may warrant promotion in rank, or if the faculty member requests it, the unit shall initiate procedures for reviewing the faculty member for promotion to full professor.

***Preparation of the Promotion and/or Tenure File.*** *NOTE:* Candidates who hold joint appointments prepare only one set of promotion and tenure materials for review by both units in which they hold an appointment. The initial review units (i.e., departments, centers, etc.) shall consult with each other on their evaluations and the evaluation process, but each initial review unit must provide a separate evaluation of the candidate's performance in the unit. Please refer to the [College's Promotion and Tenure Statement](#) for detailed instructions. It is the responsibility of the candidate to complete the appropriate portions of the form and provide necessary documents and information in accordance with the Provost's guidelines, with assistance from the department.

In the course of assisting candidates to complete the appropriate portions of the promotion and/or tenure forms and providing necessary documents and information, the Faculty Development Committee assesses and evaluates the candidate's teaching (e.g., with in-class observations, reviews of syllabi, collations of students' comments on the candidate's teaching), research (e.g., quantity, quality, significance, impact), and service (e.g., amount, type, effort).

For faculty members with appointments to the Clinical Child Psychology Program, the program's director and the candidate prepare the promotion and/or tenure forms and necessary documents and information, (see the program's bylaws). The director compiles the completed materials and presents it to the department's Faculty Development Committee.

The Faculty Development Committee shall receive the form and accompanying materials from the candidate and finish compiling the record of the candidate's teaching, scholarship, and service in accordance with the Provost's guidelines.

The Faculty Development Committee shall also provide for the solicitation of outside reviewers to assist in the evaluation of a faculty member's scholarship and in accordance with College procedures. Emphasis shall be placed on selecting independent reviewers in the same or related discipline who hold academic rank or a professional position equal to or greater than the rank for which the candidate is being considered. The committee shall give the candidate the opportunity to suggest individuals to be included or excluded from the list of reviewers. The committee, however, is responsible for using its judgment in the final selection of reviewers. For College specific requirements and guidelines, please refer to "[Section B. Process for Obtaining Evaluation Letters from External Reviewers](#)" within the College's posted policy for promotion and tenure.

When soliciting external reviews of a candidate's scholarship, the Faculty Development Committee shall inform prospective reviewers of the extent to which the candidate will have access to the review. The College's

confidentiality policy regarding soliciting external reviewers for the promotion and tenure review process is as follows:

*"As a part of the promotion and/or tenure review process, we are soliciting assessments of Professor \_\_\_\_\_'s research contributions from academic colleagues and distinguished professionals. These letters will become part of the candidate's promotion and tenure dossier and are treated as confidential by the University to the extent we are permitted to do so by law."*

**Recommendations.** Upon completion of the record, the committee conducting the initial review shall evaluate the candidate's record of teaching, scholarship, and service in light of the applicable standards and criteria and make recommendations in accordance with the voting procedures detailed below. In making its recommendation, each member of the Faculty Development Committee rates the candidate's teaching, research, and service on the five ("excellent") to one ("poor") scale and makes a recommendation for or against promotion and/or tenure by secret ballot. The committee's recommendation shall be forwarded for consideration to a committee of the whole consisting of faculty members at the rank of associate and full professor.

In the department, the Faculty Development Committee reports its ratings and recommendations to the committee of the whole (i.e., the associate and full professors) and reviews the bases of its ratings and recommendations. The committee of the whole then rates the candidate anew on his/her teaching, research, and service on the same five-point scale and makes a recommendation for or against promotion and/or tenure by secret ballot. A majority vote determines the department's recommendation.

The committee as a whole shall prepare the evaluation and summary evaluation sections of the promotion and/or tenure forms. The forms and recommendations shall be forwarded to the chair, who shall indicate separately, in writing, whether he or she concurs or disagrees with the recommendations of the committee of the whole. The department chair shall communicate the recommendations of the committee, and his or her concurrence or disagreement with the recommendation, to the candidate and provide the candidate with a copy of the summary evaluation section of the promotion and tenure form. Negative recommendations shall be communicated in writing and, if the review will not be forwarded automatically, the chair shall inform the candidate that he or she may request that the record be forwarded for further review.

Favorable recommendations, together with the record of the initial review, shall be forwarded to the College Committee on Appointments Promotion, and Tenure (CCAPT) conducting the intermediate review. Negative recommendations resulting from an initial review shall go forward for intermediate review only if it is the candidate's mandatory review year or if the candidate requests it.

### **Intermediate Review**

The candidate may submit a written response to a negative recommendation by the department or to a final rating of teaching, research, or service below the level of "good" included in the evaluation section of the recommendation. The written response is sent separately by the candidate to CCAPT.

A request for information by CCAPT and/or UCPT shall be sent to the department chair, who shall immediately provide a copy to the candidate and inform the committee of the whole. The chair and/or committee shall prepare the department's response in accordance with the initial review procedures.

The candidate shall be afforded an opportunity to participate in the preparation of the department's response and/or to submit his/her own documentation or comment to the CCAPT and/or UCPT as applicable.

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### **Approved by:**

Department of Applied Behavioral Science / The Faculty Senate Committee on Standards and Procedures for Promotion and Tenure

**Approved on:**

Tuesday, April 3, 2012

**Effective on:**

Tuesday, April 3, 2012

**Review Cycle:**

Annual (As Needed)

**Effective on:**

April 3, 2012

**Related Policies:**

[Faculty Senate Rules and Regulations Article VI: Promotion and Tenure](#)

**Related Procedures:**

[Statement On Promotion and Tenure for the College of Liberal Arts & Sciences](#)

**Related Forms:**

[Guidelines and Documents for Promotion and Tenure](#)

**Review, Approval & Change History:**

06/12/2017: Dean of CLAS Approved adding the following language to Unit PT statements:

For College specific requirements and guidelines, please refer to "[Section B. Process for Obtaining Evaluation Letters from External Reviewers](#)" within the College's posted policy for promotion and tenure.

03/01/2017: SPPT Review and approval of CLAS P&T policy changes.

02/14/2017: CAC review and approval on revision to Section B. on the *Process for Obtaining Evaluation Letters from External Reviewers*. to ensure procedural clarity.

06/12/2017: Updated FSRR 6.5.1

04/13/2017: Amendments to the Faculty Senate Rules and Regulations (FSRR) 6.5.1 were approved by the Faculty Senate:

Prior to the beginning of the spring semester, the Provost shall notify all faculty whose mandatory review year will be the following academic year, with copies provided to unit administrators and the dean. Upon receipt of this notice or if a faculty member requests it prior to the mandatory review year, the unit shall initiate procedures for evaluating the candidate for the award of tenure or tenure and promotion in rank.

At or before the beginning of the spring semester, the unit shall consider the qualifications of all faculty members below the rank of full professor, with a view toward possible promotion in rank during the following academic year. After considering a faculty member's qualifications, if the unit determines that those qualifications may warrant promotion in rank, or if the faculty member requests it, the unit shall initiate procedures for reviewing the faculty member for promotion to full professor. ~~After seven years in the rank of associate professor, a faculty member who believes he or she has the qualifications for promotion, despite the failure of his or her unit to initiate the review process for promotion to full professor, may initiate the promotion review process himself or herself. In such cases the unit will treat the candidate in the same way that it treats other candidates for promotion to the rank of full professor.~~

09/02/2015: Made updates to boiler plate text:

1) Under General Provisions, paragraph three, "Chancellor" has been changed to "next review level;"

2) Under Initiation of Review, the following was added, "*NOTE*: Candidates who hold joint appointments prepare only one set of promotion and tenure materials for review by both units in which they hold an appointment. The initial review units (i.e., departments, centers, etc.) shall consult with each other on their evaluations and the evaluation process, but each initial review unit must provide a separate evaluation of

the candidate's performance in the unit. Please refer to the [College's Promotion and Tenure Statement](#) for detailed instructions."

3) The following was added under to paragraph concerning outside reviewers, "The committee shall give the candidate the opportunity to suggest individuals to be included or excluded from the list of reviewers.

The committee, however, is responsible for using its judgment in the final selection of reviewers

04/03/2012: The Department of Applied Behavioral Science

03/21/2012: The Faculty Senate Committee on Standards and Procedures for Promotion and Tenure (SPPT)