

# Promotion and Tenure Procedures, History Department

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

**Applies to:** Faculty within the Department of History

## **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 of History 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 of History'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.

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

1. Candidates should document effective teaching of two courses per semester, with exceptions for approved leaves or reduced teaching loads, on all levels on which they teach. The record must demonstrate that a candidate's teaching reflects knowledge of his/her field, and that the candidate is effective in encouraging students' interests, helping them to think critically and to apply their knowledge, pointing them toward broader implications of their study.
2. Candidates should provide written student evaluations according to the latest University regulations.
3. Candidates should make their teaching available for peer evaluation. This evaluation may be based on a combination of types of evidence: study of syllabi, examinations, and assignments; classroom observation; reports of guest lecturing and/or team teaching; consultation with the candidates; assessments of advising, new courses developed, teaching awards, and other evidence supplied by the candidates; and public representations of teaching. External evaluations may be included.
4. Candidates are expected to advise undergraduate and graduate students.

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

1. Candidates should demonstrate continued teaching of two courses per semester, with exceptions for approved leaves or reduced teaching loads, effectiveness on all levels on which they teach. The record must demonstrate that a candidate's teaching reflects knowledge of his/her field, and that the candidate is effective in encouraging students' interests, helping them to think critically and to apply their knowledge, pointing them toward broader implications of their study.
2. Candidates must provide written student evaluations since promotion to associate professor, according to the latest University regulations.
3. Candidates should make their teaching available for peer evaluation since promotion to associate professor. This evaluation may be based upon a combination of evidence: review of new courses taught and/or developed; study of syllabi, examinations, assignments; classroom observations; reports of guest lecturing and/or team teaching; assessments of advising, teaching awards, consultations with the candidates, and other information provided by the candidates; and public representations of teaching. External evaluations may be included.
4. Candidates are expected to advise undergraduate and graduate students.
5. Candidates have demonstrated growth as a teacher since their promotion to associate.

**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 of History scholarship is defined as the publication of books, articles in refereed journals, peer-reviewed or refereed chapters in books. Refereed critical editions, compilations, translations, electronic publications, and public exhibits that are of equivalent scholarly significance to the above are also considered 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 of History, the following scholarship expectations to meet University standards apply for the award of tenure and/or promotion to the rank of associate professor:

1. Candidates should have in print or accepted for publication either (1) a book-length peer reviewed study with a respected press, or (2) at least five articles in refereed and respected journals, and/or peer-reviewed or refereed chapters in books, or (3) refereed critical editions, compilations, translations, electronic publications, and public exhibits equivalent in scholarly significance to (1) or (2). Categories (2) and (3) may be mixed.
2. Candidates should provide information concerning the refereeing process for their scholarship.
3. Candidates should demonstrate a sustainable program of scholarly activity and successful development in their careers as scholars. Candidates' records must demonstrate clear evidence of a scholarly program that goes beyond research completed for the terminal degree, that has already

- resulted in products of high quality, and that exhibits promise of continuing productivity. Articles should appear in well regarded journals or collections; books should be published by presses well respected in his/her field or subfield.
4. Recommendation for promotion and tenure requires a positive assessment by the Promotion and Tenure Committee of the overall quality and quantity of a faculty member's scholarship. The Committee will use its judgment in assessing the qualitative aspects of scholarship utilizing the solicited external reviews and published reviews of published scholarship, if available.

Under the University standards for promotion to the rank of professor, scholarship that merits promotion to full professor is defined as continued scholarly production that represents sustained and significant contribution to the field well beyond that record prior to tenure.

In the Department of History, the following scholarship expectations to meet University standards also apply for the promotion to the rank of professor:

1. In addition to work published or accepted for publication at the time of their promotion to associate professor, candidates should have in print or accepted for publication either (1) a book-length study with a peer-reviewed and respected press, or (2) at least five articles in refereed and respected journals, and/or peer reviewed or refereed chapters in books, or (3) refereed critical editions, compilations, translations, electronic publications, and public exhibits equivalent in scholarly significance to (1) or (2). Categories (2) and (3) may be mixed.
2. Candidates should provide copies of evaluations (reviews, citations, reports by other scholars, etc.) of scholarship published, accepted for publication, or exhibited at the time of promotion to associate professor.
3. Candidates should demonstrate national and/or international recognition as scholars.
4. Recommendation for promotion requires a positive assessment by the Promotion and Tenure Committee of the overall quality and quantity of a faculty member's scholarship. The Committee will use its judgment in assessing the qualitative aspects of scholarship utilizing the solicited external reviews and published reviews of published scholarship, if available.

**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 of History 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 of History, the following service expectations to meet University standards apply for the award of tenure and/or promotion to the rank of associate professor: Candidates are expected to engage in service chiefly at the departmental level, though service to other units, the College of Liberal Arts and Sciences, the University, faculty governance, the historical profession, and the large community will be recognized.

Service will be evaluated with respect to quality as well as to quantity. For promotion to associate professor, this means fulfilling assigned service roles in at least one of the department's regular committees each year in which the candidate is not on leave, regular attendance and participation in department and committee meetings; and fulfilling two professional service roles including but not limited to reviewing books or manuscripts, organizing conference panels, giving public talks to non-academic audiences, serving as an officer in a professional organization, and serving as a member of an editorial board.

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 of History, the following service expectations to meet University standards apply for the promotion to the rank of professor: Candidates are expected to engage in service at the following levels: the department, the College or University, public or professional.

Service will be evaluated with respect to quality as well as to quantity. For promotion to full professor, this means meeting all expectations of service for those seeking promotion to associate plus the following: regular and engaged participation in service roles beyond the department but within KU; and an ongoing pattern of professional service roles including but not limited to reviewing books or manuscripts, organizing conference panels, giving public talks to non-academic audiences, serving as an officer in a professional organization, and serving as a member of an editorial board.

***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, and strong candidates are likely to exceed expectations in one or more categories.

### **Promotion and Tenure Procedures**

The Department of History 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 of History.

***Promotion and Tenure Committee.*** The Department of History review committee shall evaluate the candidate's teaching, research, and service. In the Department of History the initial review committee is the Promotion and Tenure Committee. The Promotion and Tenure Committee will be composed of all tenured faculty in the department holding the appropriate rank. The full committee will sit in all cases involving recommendation for the awarding of tenure. In matters of promotion, assistant professors will be reviewed by associate and full professors; and associate professors by full professors.

No students or untenured faculty members, except unclassified academic staff with the rank equivalent to or higher than associate professor, shall serve on the Promotion and Tenure 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 Department of History's Faculty Executive Board in consultation with the Department Chairperson s 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 Department of History's Faculty Executive Board or Department Chairperson determines that those qualifications may warrant promotion in rank, or if the faculty member requests it, the Department of History's Faculty Executive Board or Department Chairperson shall initiate procedures for reviewing the faculty member for promotion to full professor.

***Certification Committees.*** By the end of each spring semester the Chair of the department, who also serves as chairperson of the Promotion and Tenure Committee, will appoint a Certification Committee for each individual who will begin their mandatory year the following academic year, and for each individual who has been identified by the Faculty Executive Board or who initiates the process him/herself as outlined above. Each Certification Committee that considers an individual being considered for promotion to associate will consist of four tenured members of the Department plus the Department Chair and each Certification Committee that considers an individual being considered for promotion to full will consist of four tenured full professors of the Department plus the Department Chair. The Department Chairperson will chair each of these committees and will endeavor to ensure as broad a representation on each committee as feasible.

The responsibilities of each Certification Committee are as follows:

1.) Preliminary Review: For each assistant professor seeking to be considered for promotion and/or tenure during a year other than their mandatory year and each associate professor seeking to be considered for promotion prior to their seventh year at the associate rank, a Certification Committee will undertake a preliminary review of the candidate's record of research, teaching, and service and determine if she or he meets the requirements for certification and will notify the departmental chairperson in writing of their determinations.

Certification does not imply a positive recommendation for promotion and/or tenure, only that a faculty member has established the minimum record of teaching, scholarship, and service necessary to be reviewed formally by the department's Promotion and Tenure Committee. Recommendation for promotion and/or tenure requires a positive assessment of the overall quality and quantity of a faculty member's professional activities that goes beyond the minimum requirements for certification.

A Certification Committee does not undertake the preliminary review of the records of candidates in the two following cases: First, an assistant professor who goes up for promotion during the mandatory year. All assistant professors, who have not gone up early, must go up for promotion and tenure during their mandatory year. Second, an associate professor who after their seventh year at that rank has initiated the promotion process themselves. Such an associate professor has the right to be formally reviewed, if they choose to be. In both cases however, a Certification Committee must fulfill duties 2 and 3 below.

2.) Compiling the Department's list of outside reviewers to assist evaluation of such candidates as outlined below. The Department Chairperson, however, will be responsible for soliciting letters from outside reviewers and conducting all communication back and forth with outside reviewers.

3.) Present a Written Summary to the Promotion and Tenure Committee: After a candidate's evaluations from outside reviewers and the candidate's statements and materials have been received by the Department, the Certification Committee writes a report summarizing the candidate's record of teaching, research, and service. This report must be provided to the Promotion and Tenure Committee at least two weeks prior to its meeting.

***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 of History.

The Certification 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.

Each Certification Committee shall 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 Chair 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."*

At least two weeks in advance of the promotion and tenure meetings in the fall, statements on procedures and criteria, letters of outside reviewers, the candidate's completed statements and files, and the certification committees' reports, will be available to members of the relevant Promotion and Tenure Committees.

***Recommendations.*** The chairperson of the department will arrange a convenient time for each meeting of the Promotion and Tenure Committee well in advance of the deadlines for submission of nominations to the College Committee on Appointments, Promotion, and Tenure. The first order of business will be to accept the written report of the candidate's Certification Committee. Amendments may be offered by motion and approved by majority vote. Once accepted, this report serves as the basis for Promotion and Tenure Committee's summary evaluation. Secret ballots will be taken after the deliberations to determine ratings for each area of performance and to recommend for promotion and/or tenure. A majority of votes will be required to determine each rating and recommendation. Votes will be cast by members who have attended the discussions of the Promotion and Tenure Committee relative to each candidate and who have studied the dossiers of the candidates. Those members otherwise unable to attend will be encouraged to write letters that may be read or distributed to members of the Promotion and Tenure Committee in regard to individual candidacies.

Following the Promotion and Tenure Committee meeting, the Certification Committee shall prepare the Promotion and Tenure Committee's recommendation, evaluation, and summary evaluation sections of the promotion and/or tenure forms and forward the forms to the Department Chairperson. The Chairperson, who

shall indicate separately, in writing, whether he or she concurs or disagrees with the recommendations of the Promotion and Tenure Committee. The Chair shall communicate the recommendations of the initial review, 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 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 of History 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 of History Chair who shall immediately provide a copy to the candidate and inform the Promotion and Tenure Committee. 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:**

The Department of History / Faculty Senate Committee on Standards and Procedures for Promotion and Tenure

### **Approved on:**

Monday, April 22, 2013

### **Effective on:**

Monday, April 22, 2013

### **Review Cycle:**

Annual (As Needed)

### **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 Department of History’s Faculty Executive Board in consultation with the Department Chairperson s 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 Department of History’s Faculty Executive Board or Department Chairperson determines that those qualifications may warrant promotion in rank, or if the faculty member requests it, the Department of History’s Faculty Executive Board or Department Chairperson 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.

04/22/2013: Approved by the Department of History

04/02/2013: Approved by The Faculty Senate Committee on Standards and Procedures for Promotion and Tenure