

Promotion and Tenure Procedures, Humanities Program

Purpose: To articulate the standards and procedures for promotion and/or tenure for the Humanities Program

Applies to: Faculty and Unclassified Academic Staff within the Humanities Program

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 Humanities Program 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 Humanities Program's expectations for meeting University standards in terms of disciplinary practices; (b) providing procedures for the initial evaluation of teaching, scholarship, service, and (in the case of unclassified academic staff) professional performance; (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 Humanities Program's expectations of performance in the areas of teaching, scholarship, service, and (in the case of unclassified academic staff) professional performance 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 Humanities Program, the following teaching expectations to meet University standards apply for the award of tenure and/or promotion to the rank of associate professor:

- Effective teaching of two courses per semester, with exceptions for approved leaves or reduced teaching loads;
- Demonstrated effectiveness in teaching courses at all levels within the Program in accordance with the University standards described above;
- Advising undergraduate and graduate students;
- Service as chair and/or member of undergraduate honor's theses, and master's and Ph.D. committees as available and appropriate; and
- Participation in annual student reviews.

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

- Strong teaching skills in two courses per semester, at undergraduate and graduate levels, with exceptions for approved leaves or reduced teaching loads;
- Demonstrated effectiveness in teaching courses at all levels within the Program in accordance with the University standards described above;
- Demonstrated commitment to advising undergraduate and graduate students both in and outside the classroom;
- Service as chair and member of undergraduate honor's theses, master's and Ph.D. committees as available and appropriate; and
- Participation in annual graduate student reviews.

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. The Humanities Program is a broad interdisciplinary program in which individual faculty members may conduct discipline specific or interdisciplinary research or both. In the Humanities Program of the College of Liberal Arts and Sciences, scholarship is defined as contribution to one or more of the disciplines in the humanities and social sciences as measured by, for example, publications of articles in appropriate academic journals, monographs, chapters in books, participation in academic conferences, substantial book reviews, editorship of journals, citation by other scholars, and academic awards.

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 Humanities Program, the following scholarship expectations to meet University standards apply for the award of tenure and/or promotion to the rank of associate professor: Although rate of publications varies widely among the disciplines of the humanities and social sciences, within a six year period and HWC faculty may normally be expected to have in print, or accepted for publication, either:

- (1) one book-length study with an academic publisher,
- (2) or the equivalent, for example, five or six articles in refereed journals, and peer reviewed or refereed chapters in books;
- (3) or refereed critical editions, compilations, translations, or electronic publications equivalent in scholarly significance to either (1) or (2).
- (4) Categories (2) and (3) may be mixed. Candidates for promotion to associate professor will give evidence of the recognition of their scholarship at least on a national level.

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 Humanities Program, the following scholarship expectations to meet University standards also apply for the promotion to the rank of professor: Subsequent to the promotion to associate professor, candidates for

promotion to full professor are expected to compile a body of scholarship and/or creative work that is at least equivalent to the amount and quality required for their initial promotion. Normally the candidate for full professor will demonstrate the recognition of their scholarship on a national or an international level.

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 Humanities Program 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 Humanities Program, the following service expectations to meet University standards apply for the award of tenure and/or promotion to the rank of associate professor: Normally, early in a faculty member's career, service is focused more at the program level, with service at other levels coming later in one's career:

- (1) Regular service to the program through attendance and participation in Program Committee meetings and on other committees as needed;
- (2) Service to the University through membership on committees in the College or University;
- (3) Service to the profession;
- (4) Service to the community: local, state, national, or international.

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 Humanities Program, the following service expectations to meet University standards apply for the promotion to the rank of professor: Normally, a candidate for full professor will have greater service to the College, University, and Profession.

- (1) Regular service to the program through attendance and participation in Program Committee meetings and on other committees as needed;
- (2) Service to the University through membership on committees in the College or University;
- (3) Service to the profession;
- (4) Service to the community: local, state, national, or international.

Unclassified Academic Staff. In the case of unclassified academic staff, comparable professional responsibilities, as defined by the Humanities Program and the standards of our discipline, will be evaluated. Under the University standards for unclassified academic staff, those standards must be commensurate with the standards for faculty members. These professional performance responsibilities include: research, service, and/or teaching in units that support the academic mission. The Humanities Program accepts service within the University, and public service at the local, state, national, or international level. Promotion emphasizes research and service.

Research: The Humanities is a broad interdisciplinary program in which individual faculty members may conduct discipline specific or interdisciplinary research or both. In the Humanities Program of the College of Liberal Arts and Sciences, scholarship is defined as contribution to one or more of the disciplines in the humanities and social sciences as measured by, for example, publications of articles in appropriate academic journals, monographs, chapters in books, participation in academic conferences, substantial book reviews, editorship of journals, citation by other scholars, and academic awards.

Service: A record demonstrating a pattern of service to the Humanities Program and the University at one or more levels, to the discipline or profession, and/or to the local, state, national, or international communities. There is a particular emphasis on the administrative and service duties associated with the academic staff member's position.

Teaching: In accordance with University Standards, the Humanities Program understands teaching 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.

In the Humanities Program, the following expectations to meet University standards apply for promotion to the associate rank:

Teaching: As indicated by multiple sources of evaluation (outlined above), the record must demonstrate that a candidate's teaching, to an adequate or greater extent, reflects knowledge of his/her field and the recent developments therein, and that the candidate is effective in encouraging students' interest, helping them to think critically and to apply their knowledge, pointing them toward the broader implications of their study. The record must also give indication of responsible fulfillment of all duties associated with teaching, including prompt and regular holding of class sessions and office hours, timely and sufficient grading and comments on assignments, acceptable and fair expectations and criteria for student work (as judged by disciplinary standards), adequate class preparation and effective use of class time, and reflection about pedagogy.

Research: The candidate has a clear record of research in the academic staff member's specialty. Expectations include dissemination of research activity with the University and academic communities via publication and/or presentations, as appropriate to the proportion of the position that constitutes research.

Service: The record should indicate effectiveness in those administrative aspects of the position that constitute "service" as well as regular and meaningful participation in activities necessary to the successful functioning of the program, College, and/or University, including regular participation on the Humanities Program Committee and other committees as needed. A record of substantial contributions to the larger university community, the profession, or the discipline at the local, regional, national, or international level (e.g., memberships on committees or task forces, memberships on editorial or advisory boards, student recruitment, administration, reviewing grant applications, judging academic awards competitions, offices in professional organizations, conducting *ad hoc* workshops, fund raising, organizing conferences, lectures, or readings, etc.) indicates meritorious service beyond minimum expectations. Normally, early in a candidate's career, service is focused more at the program level, with service at other levels coming later in one's career.

In the Humanities Program, the following expectations to meet University standards apply for promotion to the senior rank:

Teaching: Academic staff at the associate rank should continue to develop and improve their teaching and advising skills. The teaching record should reflect continued success in the classroom, effective efforts to address potential weaknesses, reflection about pedagogy, and engagement with current developments in the field, new teaching areas, or new pedagogical methods. Academic staff at the associate rank should also demonstrate a record of committed and responsible advising of graduate and undergraduate students, as relevant.

Research: The scholarly record at the associate rank must demonstrate continued and significant engagement with research appropriate to the needs of the program and to the candidate's field, as reflected in such factors

an ongoing pattern of publication or creative activity since the last promotion, external reviews of the candidate's work, and other evidence of an active and productive scholarly career, as appropriate to the proportion of the position that constitutes research.

Service: The record should indicate continued, clear effectiveness in those administrative aspects of the position that constitute "service" as well as significant participation in activities necessary to the successful functioning of the Program, College, and/or University, including service on the Program Committee and other committees as needed. In addition, a record of substantial contributions to the larger university community, the profession, or the discipline at the local, regional, national, or international level (e.g., memberships on committees or task forces, memberships on editorial or advisory boards, student recruitment, administration, reviewing grant applications, judging academic awards competitions, offices in professional organizations, conducting *ad hoc* workshops, fund raising, organizing conferences, lectures, or readings, etc.) is expected for the award of promotion to the senior rank. A record demonstrating leadership at the program, College, University, or professional level indicates meritorious service beyond minimum expectations. Normally, a candidate for senior rank will have greater service to the College, University, and profession.

Rating 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. To be promoted to the rank of professor, the candidate must receive a rating of very good or higher in one or more areas.

Promotion and Tenure Procedures

The Promotion and Tenure Committee 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 Promotion and Tenure review committee shall evaluate the candidate's teaching, research, and service. In the Humanities Program the Promotion and Tenure Review Committee is composed of all tenured faculty and unclassified academic staff with rank equal to or higher than the rank for which the candidate is being considered. The Director of the Humanities Program serves *ex officio* on the committee.

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 Review 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 Humanities Program

The Promotion and Tenure Review Committee shall receive the form and accompanying materials from the candidate and finish compiling the record of the candidate's teaching, scholarship, service, and (in the case of unclassified academic staff) professional performance in accordance with the Provost's guidelines.

The Promotion and Tenure Review 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 Promotion and Tenure Review 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 the Humanities Program voting procedures are as follows: The Promotion and Tenure Review Committee votes by secret ballot on a rating for teaching, research and service and to recommend or not recommend for promotion and/or tenure. A simple majority is required for each rating and to forward a favorable recommendation.

The committee shall prepare the evaluation and summary evaluation sections of the promotion and/or tenure forms. The forms and recommendations shall be forwarded to the Director of the Humanities Program, who shall indicate separately, in writing, whether he or she concurs or disagrees with the recommendations of the

review committee. The Director of the Humanities Program 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 Humanities Program, 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 Director of the Humanities Program who shall immediately provide a copy to the candidate and inform the Promotion and Tenure Review Committee. The Promotion and Tenure Review Committee shall prepare the Humanities Program's response in accordance with the initial review procedures.

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

Approved by:

Humanities and Western Civilization Program / Faculty Senate Committee on Standards and Procedures for Promotion and Tenure

Approved on:

Thursday, April 26, 2012

Effective on:

Thursday, April 26, 2012

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 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.

04/26/2012: Approved by The Faculty Senate Committee on Standards and Procedures for Promotion and Tenure

03/06/2012: Approved by the Humanities and Western Civilization Program