

Policies and Procedures Regarding Tenure and Promotion

College of Arts and Sciences Syracuse University

Table of Contents

Promotion Policies	1
I. University Policy	1
II. College Policy.....	5
Tenure Policies.....	7
I. University Policy	7
II. College Policy.....	15
Promotion and Tenure Procedures	18
I. University Procedures.....	18
II. College Procedures	18
A. Initiation of Promotion or Tenure	18
B. Materials to be Provided by Candidates.....	19
C. Departmental Actions and Responsibilities	20
D. The College Promotions and Tenure Committee	24
E. College Committee Procedures	25
III. Review of Emeritus Nominations	27
IV. Tenure and Promotion Procedures, Joint (Dual) Appointments.....	27
A. Prior Consultation	28
B. Department Level Review and Recommendation.....	28
C. College Level Review (with Decision or Recommendation).....	28
D. Final Decision (Tenure)	28
V. Review and Appeal Procedures	28
VI. Review and Revision of Documents.....	29
VII. Attachments (Forms A and B)	
VII. Appendix I	

Promotion Policies

College of Arts and Sciences

- I. University Policy (*The Faculty Manual*; Edition 18; January 1995 - Revisions made between 2006 and 2014)

2.2 Promotions

Recommendation for promotion in faculty ranks is recognition of accomplishment for which the merit of the individual is the sole criterion. Initial recommendations are a faculty responsibility and are based upon considerations of academic merit and recognized achievement. Questions of finance, numbers in superior ranks, overall faculty distribution, or departmental balance are not involved in faculty recommendations.

Successful faculty members bring to their tasks a variety of abilities with different degrees of competence in each one, depending upon their own personal characteristics and the nature of the assigned duties. Such a variety of abilities is inherent and necessary in the composition of a university faculty.

2.21 bases for recommendations: considerations

To be recommended, candidates are expected to have met prerequisites as listed below. In addition, they must have achieved meritorious accomplishments commensurate with the rank to which they hope to be elevated. The categories considered for evaluation are teaching, creative professional accomplishment, and service. Where appropriate, documentation should be submitted. Each category is important, but it is not assumed that recommendations for promotion will require equal merit in all.

2.22 educational background

All promotions above the rank of instructor ordinarily presume the doctorate or, in fields where the doctorate is not a normal requirement, the appropriate degree for accomplishment as determined by the school or college involved.

2.23 Timing of Promotions

Candidates for promotion will normally not be considered until they have completed the following minimum time in rank at Syracuse University:

for promotion from instructor to assistant professor, one completed year;

for promotion from associate professor to professor, four completed years.

Except in those cases where a faculty member is already at the rank of associate professor or higher (due to initial hiring at that rank or promotion before the effective date of this section), the granting of tenure should coincide with promotion to associate professor regardless of time in rank. Other variations from these minimum time requirements will be considered under appropriate circumstances.

Each school and college will have a process memorialized (consistent with all other provisions of 2.2ff.) in order to provide expedited promotion to professor in response to time sensitive requests for review, using similar standards of evidence of merit to regular submissions.

No one is entitled to advancement solely because of length of service. It should be emphasized that accomplishment and not time in rank is the essential criterion for promotion.

2.24 Evaluation Categories

As a research university, Syracuse University expects that faculty members will be actively engaged in an intellectual and creative life that enhances the knowledge base or otherwise extends the boundaries in their chosen areas of concentration. The University also has a tradition of permitting various allocations of effort across research and teaching. Schools and Colleges are expected to provide guidance to all faculty regarding allocations of effort. In particular, Schools and Colleges must provide guidelines for those individuals whose teaching, research, and service do not sharply divide into distinct categories so that they can present integrated dossiers and accounts of activities.

Teaching

Syracuse University recognizes success in teaching among its tenured faculty to be of vital importance and values innovation and intellectual pursuit embedded within teaching. Teaching involves the art and skill required for the diffusion of knowledge and guidance toward its effective and independent use. The successful teacher, among other things, instructs in consonance with the School/College mission, has knowledge of subject matter, skillfully communicates and contributes to student learning and development, acts professionally and ethically, and strives continuously to improve. Quality teaching includes providing substantive feedback to students, revising curriculum to reflect developments in the field, and mastering appropriate pedagogical approaches. In addition to the instruction of individual courses, activities under the heading of teaching may include supervising independent study projects; advising; arranging and supervising internships, clinical placements or student research; serving on graduate examination committees and thesis, dissertation, dossier, and portfolio review committees; providing professional development for teaching assistants; involving students in community engagement projects; and instructing non-SU students or community members in a variety of venues.

Research/scholarship/creative accomplishment

Faculty members belong to scholarly and professional communities and are expected to advance these communities by contributing to knowledge through research or other forms of creative work. The Syracuse University faculty is strong in part because it engages in scholarship that comprises a spectrum of excellence from disciplinary to cross-disciplinary, from theoretical to applied, and from critical to interpretive.

Scholarship means in-depth study, learning, inquiry or experimentation designed to make contributions to knowledge as appropriate in specific fields or relevant disciplines. Scholarship, as measured by peer recognition of its originality, impact on, and importance to

the development of the field(s) or relevant disciplines, is demonstrated most typically by refereed publications—in journals, books of high quality, or other influential venues. It can also be demonstrated by high quality publications in other non-refereed but influential journals. Scholarship and research accomplishments are also demonstrated by the design and execution of basic or applied research in the laboratory or in the field; through the presentation of papers at organized scholarly meetings, usually at the national or international level; through the attraction of external support or competitive fellowships and awards appropriate to the faculty member’s field(s) of study or relevant disciplines; through such activities as editing, translation, the acquisition of significant patents, the compilation of information, and the development of materials that make information more accessible to researchers, other scholars, practitioners, and the public; and lecturing in professional and other public forums. (See Section 2.34)

For promotion to the rank of professor, accomplishments in research, scholarship, and creative work should have impact that is broad and deep, whether in a single discipline or across disciplines, among the significant audiences inside and outside of the academy.

Service

Syracuse University asserts the importance of faculty service for the vitality of its academic community, for the professions it represents, and for society at large. Service includes membership or leadership on committees at program, department, School/College, or University levels as appropriate to the faculty member’s rank, as well as administrative functions or other leadership roles. In addition to formal assignments of duties, faculty individually can prove valuable in efforts such as recruiting and mentoring students, faculty, and staff. Service also includes contributions to professional societies, governmental and academic institutions, and the community at large when these contributions reflect faculty members’ professional expertise or standing. Service activities should be of high quality.

2.25 General Principles

Promotion to Associate Professor: Unless a candidate is already appointed at the rank of associate professor or above, consideration of promotion to associate professor will occur coincidentally with consideration of indefinite appointment with tenure. The process should follow that outlined in 2.3 ff.

Promotion to Professor: Promotion to Professor should follow the criteria and standards set by schools and colleges for satisfactory levels and recognition of achievement in the appropriate field(s), consistent with university-wide principles and in accordance with disciplinary, professional, and other academic norms.

Procedures for review and recommendation may vary in the several schools and colleges but should conform to the general principles set forth in this document.

2.26 College/School Procedures

Each college and school is responsible for maintaining in writing a clear and unambiguous set of promotions procedures approved by a faculty majority. These procedures must be approved

by the Senate Committee on Appointment and Promotions initially and after each substantial modification. In the event of disapproval, the Senate Committee on Appointment and Promotions decision may be appealed to the full Senate.

School and College promotions committee membership will be determined in the following manner.

- Members should be selected according to procedures approved by the faculties of the respective schools and colleges. It is recommended that about one-third of the membership of any committee be carried over to the next year for continuity.
- Chairpersons of college and school promotion committees are elected by the committees themselves.

Individuals seeking promotion during the term in question will not be eligible for election to the committee.

Criteria for promotion to the various ranks should be prepared in writing and made a part of the promotions procedures. Qualitative, if not quantitative, written statements should clearly express the requirements for promotion to the various ranks, including discussion of the various activities that faculty members engage in and their relative importance in each particular college. The normal minimum years in rank for promotion to the next higher rank are stated in Section 2.23.

The operation of college promotions committees includes the following:

- Provision must be made for peer contribution to members of the committees; student and faculty members will consult with other students, faculty members, and administrative personnel.
- Ample notice of meetings, in writing, must be given committee members.

Each promotions committee maintains a record of the following activities in case of future appeal:

- The times and locations of all meetings.
- The list of attendees at each meeting.
- The duration of each meeting.
- Significant actions taken at each meeting.
- Copy of letter to candidate indicating approval or denial of application for promotion.
- Initiations of recommendations.

Promotion to professor will proceed with the same sequence of evaluations and actions as the University tenure process: Recommendations flow from department (if appropriate) to the school/college committee to the dean for his/her independent evaluation. The accumulated dossier and all recommendations will be forwarded to the Vice Chancellor for a decision, which will be transmitted to the Chancellor and the Board of Trustees for their concurrence. The Vice Chancellor will communicate in writing to the deans and the school/college committees, the rationale for promotion decisions that differ from the committee's recommendation.

Candidates for promotion to professor have the right to withdraw their candidacy for promotion at any time during the process and may resubmit on the timetable set out in the school/college rules.

Action unfavorable to the candidate by the college promotions committee or the University may be appealed to the Senate Committee on Appointment and Promotion by either the candidate or the department, provided the grievance pertains to procedural matters; or to the Senate Committee on Academic Freedom, Tenure, and Professional Ethics (AFTPE) if the grievance pertains to denial of academic freedom or violation of professional ethics. The Committee's recommendations after review will be communicated to the Vice Chancellor and Provost, as well as the academic unit in which the action is being appealed. Candidates for promotion to professor whose applications are withdrawn or denied also may reapply for promotion, without pursuing any appeal process, on the timetable set in the school or college.

II. College Policy

- A. A necessary condition of promotion is evidence of continuing mastery of one's field. Such evidence includes the candidate's activities directed toward studying and organizing the materials of his or her discipline(s) as prerequisite to continuing success in teaching, research, and collegial stimulation.
- B. Beyond this, performance should be evaluated on the basis of the three broad criteria of "teaching, research/scholarship/creative accomplishment, and service" as described in the *Faculty Manual*. These are interpreted for College purposes in terms of the following categories of performance and accomplishment:
 1. Contributions to the education of students. (This category includes instruction of undergraduates, graduate teaching and supervision, course and curriculum development, and advising of undergraduates).
 2. Contributions to scholarship beyond the University. (This category includes publication of articles, monographs, and books; creative works related to one's field and university role; and papers presented to one's regional, national, and international colleagues.)
 3. Other service. (This category includes effective participation in committees and governance at the department, College, and University levels, as well as activities involving the application of one's professional knowledge in the wider community.)
- C. While outstanding performance on the basis of all three criteria is likely to be rare, a candidate would normally evidence a high quality of performance in both teaching and research. The general guidelines are:
 1. High quality teaching, as interpreted in II.B.1. above, is expected in promotion to all ranks.

2. High quality accomplishments in scholarship are expected for promotion to Professor. In those rare cases of a tenured faculty member seeking promotion to Associate Professor, evidence of scholarly promise may be taken into account, in addition to realized accomplishments.
 3. In the consideration of service, quality and accomplishments should be evaluated. Applicants of higher rank and seniority might be expected to participate more extensively in service.
- D. The "appropriate circumstances" specified in the *Faculty Manual* (2.23) as required for consideration of an application for promotion before expiration of the minimum period of service in rank should be construed as circumstances that are truly extraordinary and infrequently claimed.
- E. Expedited cases for purpose of retention in response to an external offer. In consultation with the Dean(s) the College Promotion and Tenure Committee will consider the case so long as the Chair of the Committee receives the following materials: (1) the candidate's CV; (2) a modified Form B from the department, which includes the Department's vote, the Chair's letter, reports on research/scholarship, teaching, and service, and at least three external review letters (either those used in the external job process or solicited specifically to help in retention); and (3) four semesters of course evaluations (the most recent four semesters available). There will be no subcommittee evaluation of the case. The Chair of the Committee will schedule the case to be heard at the earliest possible regular meeting of the Committee, at which the candidate's department/unit Chair will make a presentation of the case to the members of the Committee and the Dean(s). Following the Chair's presentation, members may ask the Chair questions. After the committee is done asking the Chair questions, the Chair will leave and the Committee members will discuss the case. When ready, the members of the Committee will take a straw ballot. They may conduct additional conversations and take additional straw ballots, but a final vote must be taken before moving onto the next case or adjourning. There will be no advocacy session as part of this process. The final vote taken at this meeting will be the Committee's final recommendation.

Tenure Policies

College of Arts and Sciences

- I. University Policy (*The Faculty Manual*; Edition 18; January 1995 - Revisions made between 2006 and 2014)

2.3 Tenure

The following statement is the policy of Syracuse University with regard to tenure for instructional, research, and administrative personnel. This statement of tenure policy is also intended to include any persons who have served as full-time faculty members regardless of their specific titles.

2.31 An Expression of University Values

The granting of tenure to faculty members at Syracuse University supports several values at the core of our academic enterprise. First, the values of faculty excellence should be demonstrable in the activities and strengths of the tenured faculty. Second, tenure is an integral part of sustaining the University's commitment to the concepts underlying academic freedom. Third, tenured status establishes the mutual expectations of the continued pursuit of excellence on the part of both the faculty member and the institution.

The importance of tenure for the academic quality of the University means that the granting of the status is neither automatic nor a function of years of service. The earned privileges of tenure simultaneously convey a vested interest in the University, the expectation of continuous service as a faculty member, and the obligation to render continuing service to the University in pursuit of knowledge and impact. The presentation by the Vice Chancellor and Provost to the Board of Trustees of recommendations for tenure should be a culmination of a multi-level review process that embodies these core academic values.

2.32 Processes and Limitations

Tenure may be granted only by the Vice Chancellor and Provost, with the concurrence of the Chancellor and the Board of Trustees. Such an appointment may be extended only to members of Syracuse University with faculty rank. Tenure is not attached to appointments to administrative positions nor to appointments as department chairpersons in the University. Appointment to or relinquishment of such positions, however, will not deprive faculty members of tenure in the highest instructional rank they have attained at the University.

Tenure is granted in one of two ways: First, faculty appointed to a full-time tenure-track position without tenure are reviewed for tenure following a probationary period. This review is conducted by the department(s) or appropriate unit(s), and school/college, in accordance with each unit's governance procedures. Each case is forwarded to the Vice-Chancellor and Provost for a decision, and to the Chancellor and Board of Trustees for concurrence. Candidates must be considered for tenure before the end of the sixth credited year, but may be considered any time before that date.

Candidates are considered for tenure only once, and tenure cannot be granted through any process other than those described here. Second, faculty may be appointed to the University with tenure through a recommendation for such action from the department(s) or appropriate unit(s), and school/college(s), in accordance with each unit's governance procedures. Each case is forwarded to the Vice Chancellor and Provost for a decision and to the Chancellor and Board of Trustees for concurrence.

The formal review process for faculty in the probationary period will begin with the signed and dated irrevocable request on the standard form from the individual to initiate the tenure review. A request must be submitted to the office designated by the respective school and college prior to the solicitation of external evaluations of the candidate's qualifications for tenure. After the formal review process has begun, candidates for tenure may not withdraw from consideration and subsequently reapply for tenure. If an eligible faculty member fails to submit a formal request for a tenure review prior to the college or school deadline for completing the tenure review before the end of the sixth year of the probationary period, the University will consider the faculty member to have waived all claims for consideration for tenure.

Even if a tenure candidate's school or college accepts a request for tenure review, such acceptance does not constitute a waiver of the deadline set forth above and the consequences specified for failing to meet the deadline.

Whereas the tenure process ends with the recommendation of the Vice Chancellor and Provost to the Board of Trustees, the departments and schools/colleges play a significant role in this process, from initial recruitment and appointment, annual evaluation, reappointments, development of candidate dossiers, conduct of tenure review and associated voting processes. Each school/college that holds tenured appointments has the responsibility to develop and to communicate widely the processes, procedures and criteria for appointments, pre-tenure reviews, promotion, and tenure. The departmental and school/college processes, procedures and guidelines regarding tenure and promotion to associate professor and for promotion to full professor should be clear and transparent, as well as congruent with the University processes, procedures and guidelines set forth herein.

Unless the candidate already holds the rank of associate professor or above, the processes and procedures enumerated below should be undertaken in a single process and set of recommendations for promotion to associate and indefinite appointment with tenure. When the text in the sections below refers to tenure, both tenure and promotion to associate professor are referenced jointly.

2.33 Considerations for Tenure

While the activities and accomplishments to be evaluated for tenure will vary between programmatic and disciplinary areas of the University, as well as among individual faculty, the base criteria for tenure are themselves reflective of the academic and intellectual values of the University, as commonly held:

- a. The candidate would contribute significantly to the overall quality of the unit's tenured faculty, as measured by the record of accomplishment at the time of consideration.

- b. The candidate has made, and is likely to continue to make, high-quality and valuable contributions in teaching, scholarship, and service to the extent that tenure is in the best interest of Syracuse University.

2.34 Areas of Expected Faculty Achievement: Teaching, Research, and Service

As a research university, Syracuse University expects that faculty members will be actively engaged in an intellectual and creative life that enhances the knowledge base and/or otherwise extends the boundaries in their chosen areas of concentration. The University also has a tradition of permitting various allocations of effort across research and teaching. Schools and Colleges are expected to provide guidance to all faculty regarding allocations of effort. In particular, Schools and Colleges must provide guidelines for those individuals whose teaching, research, and service do not sharply divide into distinct categories so that they can present integrated dossiers and accounts of activities.

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Faculty members belong to scholarly and professional communities and are expected to advance these communities by contributing to knowledge through research or other forms of creative work. The Syracuse University faculty is strong in part because it engages in scholarship that comprises a spectrum of excellence from disciplinary to cross-disciplinary, from theoretical to applied, and from critical to interpretive.

Scholarship means in-depth study, learning, inquiry and experimentation designed to make contributions to knowledge in specific fields or relevant disciplines. Scholarship, as measured by peer recognition of its originality, impact on, and importance to the development of the field(s) or relevant disciplines, is demonstrated most typically by refereed publications—in journals, books of high quality, or other influential venues. It can also be demonstrated by high quality publications in other non- refereed but influential journals. Scholarship and research accomplishments are also demonstrated by the design and execution of basic or

applied research in the laboratory or in the field; through the presentation of papers at organized scholarly meetings, usually at the national or international level; through the attraction of external support or competitive fellowships and awards appropriate to the faculty member's field(s) of study or relevant disciplines; through such activities as editing, translation, the acquisition of significant patents, the compilation of information, and the development of materials that make information more accessible to researchers, other scholars, practitioners, and the public; and lecturing in professional and other public forums.

The appointment of a faculty member in the creative or performing arts may permit the primary assessment of efforts to be on scholarship, on artistic accomplishment, or on a balance between the two that is appropriate to the artist/scholar's appointment. For faculty members with such appointments, artistic accomplishment is most often demonstrated by dissemination of the artist's work through performance, publication or exhibition in professionally recognized settings. The artist's work will have an intrinsic value equal to scholarship and will be subject to equally rigorous evaluation.

Syracuse University is committed to longstanding traditions of scholarship as well as evolving perspectives on scholarship. Syracuse University recognizes that the role of academia is not static and that methodologies, topics of interest, and boundaries within and between disciplines change over time. The University will continue to support scholars in all of these traditions, including faculty who choose to participate in publicly engaged scholarship. Publicly engaged scholarship may involve partnerships of University knowledge and resources with those of the public and private sectors to enrich scholarship, research, creative activity, and public knowledge; enhance curriculum, teaching and learning; prepare educated, engaged citizens; strengthen democratic values and civic responsibility; address and help solve critical social problems; and contribute to the public good.

One can contribute to these goals in many ways—individually through each of teaching, service and scholarship or in an integrated form—all highly valued by Syracuse University. Such activity counts as scholarship, however, only when it makes a contribution to knowledge in specific field(s) or relevant disciplines. Such scholarship is to be evaluated with the same rigor and standards as all scholarship.

All scholarship will meet common expectations in terms of (1) ways of conducting the work (e.g., formulating problems, choosing topics of inquiry, framing questions, using systematic processes or methods, setting goals, making and carrying out plans, sustaining a scholarly agenda, observing ethical standards); (2) means of legitimating the work (e.g., providing theoretical foundations, making reasoned arguments, documenting the work, representing the work in various media, disseminating it to appropriate audiences and users, assessing outcomes or projects through review by appropriate evaluators); (3) connections to prior/current scholarship and to an intellectual community or communities (e.g., drawing on other scholars' work, contributing to current work, building on a scholar's previous work, placing work in an intellectual tradition); (4) qualities of the work (e.g., rigor, objectivity, caution, currency, originality, generativity, independence of thought, critical stance, commitment); and (5) significance (e.g., audiences addressed, importance of goals, relevance beyond immediate project, effect on field, contribution to the public good).

Service

Syracuse University asserts the importance of faculty service for the vitality of its academic community, for the professions it represents, and for society at large. Significant accomplishment in the area of service alone is not sufficient for the attainment of tenure. However, significant accomplishment in service, when in conjunction with or integrated with high quality teaching or research, strengthens the candidate's dossier. Service includes membership or leadership on committees at program, department, School/College, or University levels as appropriate to the faculty member's rank, as well as administrative functions or other leadership roles. In addition to formal assignments of duties, faculty individually can prove valuable in efforts such as recruiting and mentoring students, faculty, and staff. Service also includes contributions to professional societies, governmental and academic institutions, and the community at large when these contributions reflect faculty members' professional expertise or standing. The expectation regarding the quantity of service activities for faculty in the probationary period may vary by unit, according to its size and norms. Service activities should be of high quality.

Approved by the University Senate March 2009

2.35 setting expectations and assessing progress

In addition to the annual review required for all probationary faculty, each unit will devise for each tenure-track faculty member a mechanism of intensive review to take place in the third year of credited service. This review is meant to assess progress toward tenure and ensure substantial feedback to tenure-track faculty about that progress. If the faculty member has submitted the Request for Tenure Review form and this review would be conducted simultaneously with tenure review, this review should be waived.

The third-year review must include substantial formative and evaluative input from the unit's faculty and its administrative leader. It should also include proactive and supportive advice on future activities that will enable the faculty member to progress toward tenure. Faculty members being reviewed will be asked to provide their own reflections on their teaching, scholarly, and service accomplishments and the directions they are pursuing.

The results of the review must be delivered in writing to the untenured faculty member. An opportunity must then be provided for in-person discussion with the unit leader and/or an appropriate designee. The candidate has the opportunity to provide a written response to the evaluation, which will also be placed in the faculty member's file.

Copies of the signed and countersigned evaluation and the supporting materials will be placed in the faculty files of the school/college and the Office of Academic Affairs upon completion.

While the format of the review should be based on the unit's own policies, it should be evidence-based given the importance of the feedback to the untenured faculty member. This review must be substantive and of a critical nature, and the expectation is that even candidates making good or excellent progress will receive serious advice from senior colleagues.

If the timing of the review allows, the review may be used as the basis for appointment renewal or non-renewal of probationary faculty, in accordance with the Faculty Manual, sections 2.37 and 2.38 and the bylaws of the unit and the school/college. Regardless of timing, a comparable process of evaluation and the substantial involvement of the unit's faculty must accompany contract renewals for probationary faculty.

Approved by the Senate, October 2009

2.36 Principles and General Guidelines for Tenure Decisions (Vice Chancellor and Provost's Guidelines)

The importance of tenure decisions to the quality of the University, and the impact of such decisions on the lives of tenure candidates, demand that the preparation of a tenure dossier be a matter of the highest priority for the individual and the appropriate academic unit (most often the department). The dossier makes the case for the candidate's accomplishments—and ultimately for his or her continuing appointment—and thus the academic unit has an ethical responsibility to conduct as thorough and as balanced a review as possible.

Because the dossier should contain extensive evaluative documentation as well as the presentation of materials, the candidate is not responsible for the assembly of the dossier in its final form or its transmission to the Office of the Vice Chancellor and Provost, although it is expected that the candidate will work closely with the academic unit to provide high-quality materials.

The process for selecting the membership of department and School/College tenure and promotion committees should be set out clearly in the department/School/College bylaws. Those bylaws should respect three principles:

- a. The deliberative bodies should be independent across levels (i.e., no individual should actively participate or vote in two levels of the process, such as at both the department and School/College level, for any single individual).
- b. Committees for tenure and promotion should exclude individuals with potential conflicts of interest. In these committees, potential conflicts of interest occur when individuals who may directly or indirectly derive a personal benefit are in a position to influence a decision (e.g., tenure of a spouse or partner). Individuals may also recuse themselves from service in cases in which participation or voting might pose a substantial conflict with the performance of their primary duties in the University.
- c. The process of evaluation, deliberation, and voting leading to academic unit recommendations regarding tenure is the responsibility of tenured members of the faculty. At the departmental level, the voting body should be comprised only of tenured members. In no voting body should untenured members constitute a substantial portion of those eligible to cast ballots. All Schools and Colleges should provide a description and justification of unit practices regarding voting to the Vice Chancellor and Provost before May 15 prior to any academic year in which a candidate for tenure is expected to be presented.

It is the responsibility of the appropriate unit head to fulfill all established professional responsibilities appropriate to the position for all tenure candidates, including helping the candidate to make the strongest possible case for tenure, given accomplishments to-date, talent, and promise. It is the candidate, however, who bears responsibility for providing information about his/her academic accomplishments using the Form A document which includes two parts: (1) Outline of Professional Experience and (2) Candidate's Professional Statement.

The appropriate unit head (department/School/College) is responsible for providing a detailed executive summary of the evaluative processes and statements made by individuals and committees. The unit head should then include his or her own evaluative comments, addressing and clarifying any conflicts in materials presented; adding information that would be helpful in subsequent evaluative processes; and addressing any negative aspects of the candidate's record or the external reviews— explaining any mitigating factors that should be considered.

The use of external evaluators and critics is an essential feature of a thorough tenure review process. Reviewers should be chosen from the relevant publics and audiences for the candidate's achievements. Reviewers should be of sufficient rank, status, and accomplishment to make the judgments asked of them. Those qualities should be assessed by such factors as institutional affiliation, academic rank, prestige in a non-academic enterprise, or membership and knowledgeable participation in a relevant community of experts. Outside reviewers will be selected as appropriate to, and in accordance with, the conventions of the candidate's discipline(s) and School/College(s). For example, in the professional schools it is not unusual for some of the outside evaluators to be non-academic professionals and some to be senior-rank academics in comparable professional schools. In the liberal arts and sciences it is more typical that all or most of the outside reviewers be senior-rank academics. Generally, reviewers' programs or departments should be of at least comparable quality to the candidate's program/department. The reasons for selecting all reviewers should be explained in the dossier, and any divergence from the conventions of the academic discipline should be explained. The candidate should be given the opportunity to nominate external reviewers, and that list should include sufficient names to allow choice for the committee and anonymity for the final roster of reviewers. The committee should nominate its own separate list of potential reviewers, and the final roster of outside evaluators should feature a majority of reviewers from the committee's list. In order to minimize conflicts of interest, letters from close colleagues/collaborators, former professors or graduate advisors, or other similar individuals are discouraged. If such individuals are included in the roster of reviewers, their presence and impartiality must be explained in the dossier. At each level in the tenure process, all information generated by the appropriate evaluative bodies, including any formal votes, should be transmitted to subsequent evaluators.

2.37 tenure clock flexibility

The term "credited year" shall mean a year of service at Syracuse University identified in the faculty member's appointment letter as a full-time tenure-track appointment. Under certain circumstances, the tenure clock can be stopped when the request is made by the faculty member through the department and/or school/college and approved by the Office of the

Provost. Events for which the clock may normally be stopped, after the submission of documentation, include life events that would, in most circumstances, have generated a request for parental, family medical, military or disability leave, disrupting one or more semesters of work during the probationary period. Other situations that may warrant consideration of stopping the tenure clock include fulfillment of extraordinary institutional service, such as teaching in SUAbroad or serving in an administrative position during the probationary period, where these circumstances interrupt or substantially slow progress toward tenure. The year(s) approved by the Provost's Office through this process will not count as credited years toward tenure when reported to the school/college promotion and tenure committee.

Approved by the Senate, April 2008

2.38 Notice of Tenure Decision

Written notice of the tenure decision, whether positive or negative, will be given to faculty members at the time of the decision. If the decision is negative, the written notice will indicate that the appointment for the remainder of the probationary period becomes terminal. A negative tenure decision will be accompanied by a terminal one-year appointment. If the decision is affirmative, tenure formally begins on the date the Board of Trustees confers tenure.

It is the right of every faculty member when informed by the University of a denial of tenure, to appeal this decision on the basis of a procedural violation before the Senate Committee on Appointments and Promotions or on the basis of denial of academic freedom or violation of professional ethics before the Senate Committee on Academic Freedom, Tenure, and Professional Ethics (AFTPE). Also, Syracuse University is an Affirmative Action/Equal Opportunity employer and maintains a grievance procedure for any employee believing himself or herself to have been subject to discrimination on any protected basis.

2.39 Nonrenewal of Appointments

Tenure-track faculty

Regardless of the stated term or other provisions of any appointments, written notice that probationary appointments are not to be renewed will be given to untenured, tenure-track faculty members in advance of the expiration of their appointment, as follows:

not later than March 1 of the first academic year of service, if the appointment expires at the end of that year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination;

not later than December 15 of the second academic year of service, if the appointment expires at the end of that year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination;

at least 12 months before the expiration of an appointment after two or more years of service at the institution.

Full-time non-tenure track faculty

For full-time non-tenure track faculty, notice of conditions of employment will be communicated in in appointment and reappointment letters.

2.40 annual report on non-tenured faculty members

Deans shall submit to the Vice Chancellor for Academic Affairs an annual report and recommendation on all regular faculty members not holding tenure.

2.41 No Other Means of Acquiring Tenure

No person has tenure except as provided herein; that is, by direct grant in writing from the Vice Chancellor and Provost with the concurrence of the Board of Trustees. No person is appointed with tenure unless it is expressly stated in the letter of appointment or other official writing to that effect.

2.42 limitations of tenure

Tenure is not synonymous with a life appointment. Serious disregard of duties, incompetence, or moral turpitude on the part of the individual, or bona fide financial exigency on the part of the institution constitutes grounds for separation. No removal shall take place without adequate warning and without compliance in full faith with the procedures described herein, which are based upon the principles and practices set forth in the 1940 Statement of Principles on Academic Freedom and Tenure, formulated by the Association of American Colleges and the American Association of University Professors.

Approved by the Senate, November 2005

II. College Policy

A. Preface

The College and its constituent units are subject to general University policies relating to tenure. Additionally, as is the case in the faculty manual (see 2.32), unless the candidate already holds the rank of associate professor or above, all references to tenure below will be understood to refer to both tenure and promotion to associate professor.

The recommendation of the College Promotion and Tenure Committee plays an important and influential role in the administration's decision regarding tenure. The central criterion for a positive recommendation by the Committee is whether the candidate has the potential to contribute in significant ways to the missions of the university and college. The following discussion of tenure policies and procedures expands upon this criterion.

B. Relevant College By-Law Provisions (V.B.2)

1. The Promotions and Tenure Committee shall examine the cases of all currently non-tenured faculty members who are eligible to be considered for tenure and shall

recommend for or against tenure to the Dean of the College and the Dean of the Maxwell School. The candidates will be considered by the department and the Promotions and Tenure Committee for tenure no later than the candidates' sixth year of credited service. The Committee will consider both affirmative and negative recommendations from a department, unless the individual chooses to resign from the Faculty effective as of the end of his or her seventh year of credited service. In its recommendations to the Deans, the Promotions and Tenure Committee shall abide by all College and University policy statements on tenure.

2. The Promotions and Tenure Committee shall determine that each department's stated policies and procedures for tenure and promotion conform to the provisions of the Syracuse University *Faculty Manual* and to College policies and guidelines. The Committee may periodically review such statements. The Committee shall inform all departments of any alterations required by University Senate actions.

C. Other Policy Statements

1. Because the College understands the awarding of tenure to be a future-oriented decision, the following criteria must be satisfactorily met within established procedures of tenure review:

Because of the importance of teaching and advising of undergraduate and graduate students as well as scholarship to the mission of the university and college, the evidence must demonstrate the likelihood that the candidate will make important contributions in both teaching and scholarship. The potential for service contributions also may be considered.

Because past performance is the most important basis of predicting future performance, an important consideration is whether the candidate has demonstrated high quality in his or her work prior to the time of tenure review.

It is the right and obligation of the College to examine the criteria above. In doing so, the College will attempt to be thorough and objective in seeking and weighing evidence and will provide ample opportunity for the candidate to present arguments and evidence in relation to the criteria.

2. Section 2.32 of the *Faculty Manual* explains the process by which a faculty member is determined to be considered eligible for tenure review.

This policy is justified by the need to accumulate as much evidence as possible in relation to the criteria in II.C.1. above. However, while reserving a maximum non-tenure period, the College will seek to avoid capricious last-minute decisions and to apprise the non-tenured faculty member of its preliminary evaluation of his or her performance and of applicable planning considerations before the time of final tenure review. Individuals will be apprised of the maximum non-tenure period applicable in

their case at the time of their original offer of a full-time renewable appointment to the Faculty of the College.

- a. At Syracuse University, tenure decisions are made by designated academic administrative officers and arrived at in close consultation with the expert peers of the candidate and with faculty committees charged with recommending on such matters.
- b. In the College of Arts and Sciences, the Dean considers the arguments, evidence, and recommendations submitted by the candidate's department (or other equivalent body in the case of a non-departmental program) and by the College Promotions and Tenure Committee, and seeks such additional information or clarification as deemed necessary. The Dean then submits the full file and his or her recommendation to the Vice Chancellor for Academic Affairs.

Promotion and Tenure Procedures

College of Arts and Sciences

I. University Procedures

The following College procedures on tenure and promotion are designed to be consistent with and supplement general University policies and procedures as outlined in Sections 2.2 - 2.42 of the *Faculty Manual* (edition 18, Revised 2006-2014) and as reflected in the "Guidelines" of the Senate Committee on Appointment and Promotions.

II. College Procedures

Unless otherwise indicated, statements are assumed to apply equally to tenure and promotion procedures. The College Committee referred to below is the Committee on Promotions and Tenure. Generally, statements are taken from or based on the 1986 College-approved "Policies and Procedures Regarding Promotion," the 1988 College "Promotions Policies and Procedures" statement, subsequent revisions made by the faculty to these policies and procedures, and cover memoranda from the Dean to candidates and chairpersons.

A. Initiation of Promotion or Tenure

1. The Dean will notify all College faculty members eligible for promotion and/or tenure of their eligibility by the end of the academic year preceding the onset of eligibility, as called for in Senate policies.
2. The Dean will communicate the Committee's deadlines for receipt of materials to eligible faculty members and their department (unit) chairs by the end of the semester before the onset of eligibility.
3. Promotion reviews are normally initiated by decisions of departments of the College in accordance with their own various procedures. A faculty member may initiate a departmental review of his/her qualifications by requesting it of his/her department.
4. It is understood that faculty members may recommend themselves for promotion and/or tenure to the College Committee in the event their department declines to recommend them. Such self-recommendations, or appeals, must be made to the College Dean's Office no later than two weeks after the regular deadline for making departmental recommendations.
5. Reviews should be initiated before the end of the Spring semester of the academic year preceding the one in which the College Committee would consider the case.

This is to allow the department adequate time to solicit outside letters of evaluation and to collect other information it deems necessary to allow both a thorough review at the departmental level and the completion of the materials required by the College. To allow completion of materials, outside letters should usually be solicited by early summer preceding the academic year of the review.

B. Materials to be Provided by Candidates (for Department and College Review)

1. Form A (See Attachments.) This form must be filled out by the candidate in an orderly and exhaustive way.
 - a. Publications should be grouped chronologically, with full bibliographic entries including numbers of pages. When there are multiple authors of a work, the order of names in the entry should be the same as that on the published work. Note that candidates are asked to annotate their publications list (and other lists when appropriate) so as to aid the department and the College Committee in interpreting the nature and significance of listed items. Candidates are asked to identify their most significant works since their appointment or last promotion, the works to which the Committee should pay special attention.

Candidates are encouraged to submit outside evaluations in such forms as published reviews, pre-publication critiques, and other comments by outside scholars on published or unpublished work.

Within timely limits, candidates should update the status of scholarly work. This information should be transmitted to the Committee by the department chair.

- b. The candidate is asked to provide one copy of each publication to the department; these should be sent to the College Committee as part of the file described here. Materials will be returned when no longer needed by the University.
- c. The candidate should describe succinctly the nature and extent of her/his teaching responsibilities at Syracuse University, with particular attention to information that will help the department and the Committee to understand the candidate's contribution in this area and to interpret information they may receive as to enrollments, reactions of students to the candidate's courses, etc. This description should include a candidate's summary of her/his teaching experience, philosophy, and goals as well as work in curriculum development. Supporting material, such as syllabi, exams, graded papers, and teaching awards should be provided to the College Committee.

The candidate should describe succinctly the nature and extent of her/his advising responsibilities at Syracuse University. The diversity of advising responsibilities and relationships sometimes makes it difficult to document

one's effectiveness as an advisor. As a consequence, a wide variety of information can be provided to describe the performance of the candidate's advising responsibilities. At a minimum, this information ought to include the type of advising and the number of students served. For example, if the candidate served as a lower-division advisor, information about the number of students advised and the frequency of meetings should be provided. A description of participation on masters and doctoral committees should also be included in this part; those cases in which the candidate played a particularly important role ought to be emphasized, e.g., major advisor on a Ph.D. dissertation. In addition, a candidate should feel free to include other information such as: special or unusual advising assignments; efforts to interact with student organizations; letters of appreciation from students or colleagues; participation in student mentoring programs and freshmen forums; information about letters of recommendation written on behalf of students, etc. Supporting documents should be provided to the College Committee.

d. The candidate must submit a current *curriculum vitae*.

C. Departmental Actions and Responsibilities

1. Departments are expected to have written statements governing their tenure and promotion review and recommendation procedures. Such statements must be filed with Form B, and are subject to review by the College Committee to ensure that they conform to the provisions of the *Faculty Manual* and to College policies and guidelines. Any significant departures from the stated policies and procedures for a particular case should be clearly identified and explained.
2. “Unless the candidate already holds the rank of associate professor or above, the processes and procedures enumerated below should be undertaken in a single process and set of recommendations for promotion to associate and indefinite appointment with tenure.” For each case reviewed there will be only one review process in the department, regardless of the action(s) sought, and only one vote sent forward to the College.
3. Once a departmental recommendation has been reached, the department chairperson shall inform the candidates (in writing, upon request of the candidate within 30 days) of the vote and his or her interpretation of the principal reasons for the recommendation.
4. Materials to be provided to College Committee: (All materials intended for the Committee should be presented to the Secretary to the Committee.)
 - a. Form A and all candidate materials
 - b. Form B (See attachments)

Please note that the College Committee, in its effort to develop each case as fully and fairly as possible, has a particular interest in understanding the department's vote. Therefore, the reasons for both positive and negative votes should be specified on the secret ballots, and those reasons should be summarized in the department chairperson's cover letter. The department chairperson should present the department's evaluation of the evidence considered in its deliberations, comment as appropriate on special features of the case, and present the department's recommendation.

c. Number of copies required

- 1) Items provided to each member of committee (hard copy or readable electronic version [supplied by the department] per each member's choice)
 - a) Form A
 - b) Form B
- 2) Single items to be housed in Dean's office for perusal by the Committee.
 - a) All supporting materials not included in (1) above – this could include, e.g., original student evaluations, copies of ballots in department vote, CVs of outside reviewers)
 - b) One copy of each submitted publication or creative/scholarly work; in tenure cases one copy of the candidate's dissertation should be included.

d. Description of Procedures

Provide a detailed description of the review procedures of the department, explaining (1) how the candidate was selected; (2) the criteria used to evaluate the candidate (see College policy statements enclosed here) and how they were weighted; (3) how evidence of teaching performance was obtained; (4) the composition of the departmental review committee; and (5) the voting procedures followed.

e. Outside Letters

Provide at least six letters from scholars outside of Syracuse University who can evaluate the candidate's work. It is essential, that departments make every effort to secure letters from the top institutions and scholars in the particular area of the candidate. Some letters must be from scholars who are (were) not mentors or close collaborators of the candidate. More than half of the letters provided must be from scholars who were selected by the department without

input or consultation from the candidate.¹ The outside referees should be made aware that the College is particularly concerned, in cases of promotion, with work done since the last promotion, and the relevant dates should be provided by the department. Referees should be explicitly asked to direct attention to the originality, quality, and rate of scholarly work relative to that of comparable scholars in the field at other comparable institutions, and the impact of the scholarly work in the field. It is understood that the outside referee may not be able to address questions of teaching and service, but these should not be excluded. Ask referees explicitly whether they would support the case for promotion or tenure, as appropriate, if the case were pending in their own department, and why or why not. Seek explicit comparisons with other faculty, by name, who have comparable credentials and are at comparable universities. Outside reviewers should be assured that, to the extent possible, their replies will be held in strictest confidence.

Enclose in each report a copy of the letter you used to solicit outside opinions, and also provide full identification of the outside referees, briefly describing their professional standing, their relationship to the candidate, and how and by whom they were chosen. Please note that candidates have been encouraged to submit outside evaluations in such forms as published reviews, pre-publication critiques, and other comments by outside scholars on published or unpublished work. All external letters written in a language other than English shall be translated into English by the department and submitted to the Committee in both original (untranslated) and translated (English) formats.

Provide a list of the scholarly materials sent to the outside referees.

f. List of Courses

Submit a list of courses taught by the candidate while in rank, semester by semester, with the number of students enrolled. Add any comments which will help the College Committee assess the nature and significance of the information (intrinsic attractiveness of certain courses, relation of teaching load to that of others in the department, etc.

g. Internal Evaluation of Teaching

Appraisal of teaching is important to the review and should include enough data concerning classroom leadership, advising (including mentoring of research students), and curriculum development that the College Committee can make an informed judgment. The candidate's

¹ The Department's list and the candidate's list may have names in common, so long as each list is developed independently. When the Department's list of external referees and the candidate's list of external referees have the same names and the lists are developed independently, the referees common to both lists shall count as coming from the Department's list of referees.

unit must provide a comprehensive evaluation of his or her teaching, assessing its quality and significance to the unit's work. This report also must assess the candidate's contributions to the advising and student service efforts of the unit and College.

In addition, the department or program must make available to the Committee the evidence on which its assessment is based. Some of this evidence must come as a result of the department's ongoing solicitation of student opinion, such as surveys and written comments. Additional evidence beyond student evaluations should come from peer evaluation of teaching.

h. Internal Evaluation of Scholarship and/or Creative Work

Departments and programs must provide at least one internal report evaluating the quality and significance of the candidate's principal scholarly and/or creative publications in the current rank. This report should be independent of the candidate's own assessment. The report(s) should also provide the Committee with a reasonable understanding of the nature of the field(s) in which the candidate works and of her/his professional accomplishments and stature. The unit may also wish to comment on the candidate's efforts and success in seeking and obtaining research grants.

i. The items below are not intended to be presented as a sequenced list, but are only meant to indicate the items required. Please follow the order presented in Form A and Form B.

1) Form A

- CV
- Teaching and Advising
- Creative/Scholarly
- Other service
- Distribution of activities
- Additional information

2) Form B

- Departmental (program) procedures
- Discussion of outside reviewers (how identified, how solicited, BRIEF summary of credentials)
- Copy of solicitation letter
- List of items sent to reviewers
- Letters from outside reviewers
- Annual reviews of candidate
- Departmental report on candidate

- Summary of ballot comments
- Future needs
- Additional information
- Chair's evaluation

j. Department will provide a coversheet itemizing all materials submitted in the packet.

D. The College Promotions and Tenure Committee (Bylaws V.B.)

1. The Promotions and Tenure Committee shall consider recommendations for promotion and make recommendations for or against promotion to the Dean of the College of Arts and Sciences and to the Dean of the Maxwell School.
2. The Promotions and Tenure Committee shall examine the cases of all currently non-tenured faculty members who are eligible to be considered for tenure and shall recommend for or against tenure to the Dean of the College and the Dean of the Maxwell School. The candidates will be considered by the department and the Promotions and Tenure Committee for tenure no later than the candidates' sixth year of credited service. The Committee will consider both affirmative and negative recommendations from a department, unless the individual chooses to resign from the Faculty effective as of the end of his or her seventh year of credited service. In its recommendations to the Deans, the Promotions and Tenure Committee shall abide by all College and University policy statements on tenure.
3. The Promotions and Tenure Committee shall determine that each department's stated policies and procedures for tenure and promotion conform to the provisions of the Syracuse University *Faculty Manual* and to College policies and guidelines. The Committee may periodically review such statements. The Committee also shall inform all departments of any alterations required by University Senate actions.
4. The Promotions and Tenure Committee shall consist of 19 voting members appointed by the Faculty Council plus the Deans of the College of Arts and Sciences and of the Maxwell School. The deans will serve *ex officio* but without vote. The Faculty Council shall strive to include members from the three principal divisions of the College and to provide diversity with respect to gender and ethnicity. Six members will come from each of the three divisions of the College. Each year a different division will supply seven members, rather than six. A minimum of 13 members will hold the rank of Full Professor. No Committee member may serve in the year in which her or his case will be considered by the Committee. Tenured faculty may serve a maximum term of three consecutive years. It is essential that some continuity be provided from year to year and it is desirable that all voting ranks be represented.

E. College Committee Procedures

1. Subcommittees

- a. To initiate review of applications for promotion or tenure, the Committee will be divided into subcommittees, consisting of three or more Committee members, organized so that no faculty member on the subcommittee is a member of the same department as an applicant whose case is assigned to the subcommittee. The subcommittees will report their findings on each application to the full Committee.
- b. It is part of the work of the mandated subcommittees of the Committee that they seek out "peer contribution" to the work of the Committee, as described in the policies of the University Senate. In addition, of course, students and faculty colleagues are involved at the departmental level. A subcommittee will seek the chairperson's cooperation in amplifying the evidence submitted by the department and the candidate. They may also request assistance in scheduling interviews with students and faculty who can comment on the teaching and research activities of the candidate. Individuals who can provide relevant information should have the opportunity to communicate with the subcommittee. Once a subcommittee has visited a department, however, all further communication between the department and the subcommittee should be channeled through the Chair of the College Committee, who shall have discretion about which materials should properly be forwarded. In no case is it proper for the subcommittee to be solicited directly by the candidate, the department, or other interested parties.

2. Scheduling

Insofar as the scheduling of its work permits, the Committee will strive to schedule cases for maximal attendance.

3. Voting Procedures

- a. The Committee will vote at least twice on each application for promotion or tenure. The initial vote, which is referred to as a straw vote, should be taken after hearing the subcommittee report on the application and deliberation by the full Committee. The final and, normally, the second vote should be taken to recommend promotion and/or tenure. In unusual circumstances, the Committee may decide to conduct a second straw vote prior to the final vote or to reconsider its final vote before submitting its report to the Dean (s).
- b. There is only one final vote for each case.
- c. Any final recommendation taken by the Committee requires that a quorum be present. A quorum shall consist of 10 committee members, exclusive of the

Deans of the College of Arts and Sciences and the Maxwell School, both of whom are members *ex officio* without a vote.

- d. Affirmative votes of a majority of those present will be required on the final vote for a positive recommendation.
- e. A member of the college committee will be allowed to cast a vote only if that member is present for the discussion at the meeting at which the vote is taken. A member who has to leave a meeting prior to a vote may leave a vote to be counted at the discretion of the committee chair, based solely on how much of the discussion the member heard. In the case of votes on one candidate at more than one meeting (e.g., after an initial discussion at one meeting followed by a second meeting with advocates for the department and candidate), a member will not be precluded from voting at the second meeting by virtue of absence from the first meeting.

4. Additional Consultations

- a. In any case in which the College identifies by a straw vote a significant likelihood that the final vote will be negative or that it will not concur with the recommendation of the department or unit, the candidate's chairperson shall be notified at least two weeks in advance of a final vote. The chairperson shall be given the opportunity to represent, in person or through a designated representative, the department or unit at a meeting of the College Committee. It is understood that the chairperson's (or designee's) primary responsibility is to present the unit's position.
- b. Under the conditions listed in II.E.4.a. the candidate shall have the right to designate one or two advocate(s) who will represent the candidate's interests before the College Committee. The advocate(s) may be from within or outside the candidate's unit, and do not necessarily include the candidate's Chair. The candidate's primary objective should be to identify up to two advocates who can ably respond to the questions posed by the Committee following the straw vote.

The request for the identification of an advocate(s) to appear before the College Committee shall normally come only if the College Committee identifies significant concerns by a straw vote. The chairperson of the College Committee shall transmit the request in writing to the candidate and the chairperson of the candidate's unit at least two weeks in advance of a final vote by the College Committee.

The written notification will include a list of concerns that identify specific aspects of the case that will inform the College Committee's consultations with the advocate. These concerns may not exhaust everything discussed at the subsequent hearing but will give the candidate an opportunity

to select an appropriate advocate or advocates and to provide additional information on the Committee's concerns through his or her unit chairperson or advocate(s).

- c. It is generally expected, in the event of additional consultations by the Committee, that both the candidate's advocate and the department chairperson (or designee) will be given the opportunity to appear before the College Committee, except in the event that the chairperson (designee) is invited solely to clarify departmental procedures. So as to allow for full concentration on the presentation, those appearing before the Committee are asked not to distribute any additional materials at the meeting itself, but rather to submit them in advance to the Chair of the Committee for distribution to the Committee.
5. When the College Promotions and Tenure Committee has reached its decision, its chairperson shall orally inform the department chairpersons and the candidates directly of the recommendation in their case -- including the vote(s) and the principal reasons for the vote(s). The notification of the candidate shall be in writing upon request of the candidate within 30 days of the initial oral notification.
6. When the administration overturns the College Committee's recommendation, the Dean of the College shall explain to the Committee the reasons for this reversal. In all such cases the Dean shall also inform the department chairperson and the candidate of the administration's decision and the chief reasons for it.
7. The College Promotions and Tenure Committee will maintain records of meetings and make such records available to the appropriate University bodies.
8. No member of the College Committee, as a member of the Committee, will participate in or attend deliberations on a case from his or her own department. This provision does not preclude appearing before the Committee in another role.

III. Review of Emeritus Nominations

Nominations for emeritus status will be due in the Dean's office by January 15 of the year in which they are to be considered. The Promotion and Tenure Committee will review nominations, collect additional information as necessary, and vote to recommend emeritus status or not. The straw ballot – advocacy (if necessary) – final ballot process used in tenure and promotion cases will be followed in each emeritus case. The results will be forwarded to the Dean before the end of the current academic year.

IV. Tenure and Promotion Procedures, Joint (Dual) Appointments

The following statements are designed as guidelines to enable special, ad hoc procedures in cases of joint or dual appointments. Specific details not addressed here would remain to be worked out with the other college or school.

A. Prior Consultation

1. It is important both for candidates and for the University that the lines of communication remain open between colleges and relevant persons from the beginning of each joint appointment. The smooth functioning of all procedures herein addressed, as well as those not addressed (e.g., annual reviews and salary decisions), are in large part dependent on this. For the College of Arts and Sciences, "relevant persons" means the Dean, the chairperson of the College Promotions and Tenure Committee, and the Candidate's departmental chairperson.
2. Specifically, prior consultation should cover the following kinds of issues: decision time-frames and the timely gathering of candidate materials, use of common or coordinated forms and letters of reference, unique or extraordinary criteria for judgment, and clarification and coordination of all decision-making procedures to follow.

B. Department Level Review and Recommendation

1. It is necessary in the College of Arts and Sciences to carry out a thorough review and recommendation at the departmental level, and to encourage the other college to follow its own appropriate procedures.
2. In the College of Arts and Sciences this review will normally be carried out as dictated in College policy for single appointees. These Guidelines allow, however, the development of alternative procedures extending from minor alterations in a full departmental review to the development of an *ad hoc* joint review committee with the other college. Any alternate procedures will need the approval of the Dean, the Faculty Council, and the relevant departmental committee. In the event that alternate procedures assume the cooperation of the other college, the concurrence of the other college will also have to be obtained.

C. College Level Review (With Decision or Recommendation) Tenure and promotion procedures for joint appointments will be described in separate agreements with the other colleges. See Appendix I.

D. Final Decision (Tenure).

1. The relevant Deans shall make final recommendations on tenure to the Vice Chancellor.

V. Review and Appeal Procedures

A. Promotions

Unfavorable action on tenure may be appealed by candidates or departments to the Senate Committee on Appointment and Promotions (for procedural reasons) or to the Senate Committee on Academic Freedom, Tenure and Professional Ethics.

B. Tenure

Unfavorable action on tenure may be appealed by candidates or departments to the Senate Committee on Appointment and Promotions (for procedural reasons) or to the Senate Committee on Academic Freedom, Tenure and Professional Ethics.

VI. Review and Revision of Documents

A. The Dean and the chairperson of the College Promotions and Tenure Committee shall:

- ❖ regularly review all of the authorized documents of the College that describe procedures and criteria for promotion and tenure;
- ❖ revise them, whenever necessary, in light of recently adopted resolutions;
- ❖ bring them together in a single document, adding sections where necessary;
- ❖ bring the document to the Faculty through the Faculty Council for review and, where necessary, approval;
- ❖ submit the document to the University Senate for approval.

B. All departmental promotion and tenure guidelines shall be reviewed on a rotating 5-year schedule by a subcommittee of the full P&T committee at the end of the year's deliberations. Any guidelines that are identified as especially in need of consideration would be moved forward, if necessary, to be reviewed that year. The results of the review would be forwarded by the Chair of the College Committee to the Department Chair and the appropriate Dean(s) with a mandate that the department report back on their responses and possible changes within 6 months.

VII. Attachments

Forms A and B are attached. The former is to be used by candidates in submission of their case for both departmental and College review. The latter will be used by department chairpersons in sending on departmental actions and recommendations to the College Committee. Form B will function, in effect, as a cover letter accompanying Form A and all candidate materials also being forwarded to the Committee.

Form A Coversheet

College of Arts and Sciences
Promotion and/or Tenure Review

Candidate's Summary of Professional Activities

Check all categories to which this form applies:

- Tenure
- Tenure with Promotion to Associate Professor
- Promotion to Associate Professor
- Promotion to Full Professor

Candidate's Presentation of Information

Name:

Date:

Rank:

Date of Birth:

College: Arts and Sciences

Department:

Date of appointment to faculty rank at Syracuse:

Academic Background

Information should be in reverse chronological order (most recent to least recent).

Education

<u>Institution</u>	<u>Program or Degree</u>	<u>Dates in Attendance</u>	<u>Degree</u>
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Employment

<u>Ranks Held</u>	<u>Institution</u>	<u>Effective Date of Rank</u>	<u>Years Completed in Rank (before this year)</u>
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Curriculum Vitae

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I. TEACHING AND ADVISING

1. Teaching

Please describe the nature and extent of your teaching responsibilities at Syracuse University, with particular attention to information that will help the department and the Committee to understand your contribution in this area and to interpret information they may receive as to enrollments, curriculum development, reactions of students to your courses, etc. Feel free to provide a self-assessment of your work in this area and to suggest how your contribution should be evaluated by the department and the Committee. Be sure to include here a list of courses taught by semester, with enrollments. Additionally, supply to your departments for inclusion with your single item materials provided to the College Committee the following items: for courses taught in the last 3 academic years, submit one copy of each class list and syllabus. For tenure cases: include student surveys or evaluations for all courses taught. For promotion-only cases: include student surveys and evaluations for the last five years. Be certain to include any evaluation of your teaching that should also be made available to the department and the college.

2. Advising

Describe and evaluate your advising activities, indicating the frequency with which you meet formally and informally with undergraduate students. Identify any special advising functions which you carry out.

<u>Undergraduate</u>	<u>Estimated Number / Year</u>
Lower Division	
Upper Division	
Honors Programs, Special Opportunities, etc.	

Describe your participation in graduate education other than in a classroom setting. This would include both formal and informal guidance of masters and doctoral candidates as well as membership on thesis committees. If, for some reason, advising in the period prior to current rank is relevant to your case, please explain.

<u>Graduate</u>	<u>Total Number During Current Rank</u>
M.A. Thesis Committee	
M.A. Thesis Advisor	
Ph.D. Thesis Committee	

3. Other

(e.g., Curriculum Development)

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II. SCHOLARLY/CREATIVE WORK

Please follow the guidelines presented in the document “P&T Publications Nomenclature” available at <http://casinternal.syr.edu/>.

1. Publications

List publications in reverse chronological order (most recent items listed first). Candidates are asked to identify their most significant works since their appointment or last promotion, the works to which the Committee should pay special attention.

In addition to complete bibliographic information (publisher, inclusive pagination, etc.), provide an annotation for each entry in the form of a brief commentary on such matters as: linkages among items, the nature of the journal chosen, whether its submissions are refereed, why an item that might appear of minor importance to the outsider is really of some importance, editorial constraints on length, sponsorship by outside funding, significance of multiple authorship, etc. If you are applying for Tenure, please identify the relationship, if any, between individual publications and your dissertation.

Although Form A does not request it, the Committee strongly encourages you to preface the annotated bibliography with a brief narrative description or overview of your research and/or creative interests as reflected in your scholarly/creative work (approximately 250 words).

For all publications, indicate whether the work was done elsewhere or at Syracuse, and organize it as before or after your last promotion or appointment.

A. Publications

This refers to books, chapters, articles, reviews, monographs, editorials, works of fiction or poetry, and software which has already appeared and is available in final form through publicly accessible sources.

B. In Press

This refers to the works of the aforementioned kinds which are completed and in production, but not yet published.

C. Forthcoming

Works listed as forthcoming must have been accepted in writing by the editor or publisher in question. Copies of the draft that was the basis for acceptance should be available to review committees, on the understanding that further revisions may occur prior to publication.

D. Submitted

A work is submitted when a complete draft is under consideration by an editor or publisher, but a decision to publish it has not been confirmed. Submitted works which have been accepted for publication on condition that specified revisions be made is not reclassified as forthcoming until acceptance of the revisions has been confirmed. It is, however, appropriate to note that such work is conditionally accepted, subject to revisions.

E. In Progress

Works listed as in progress may be at any stage from early development to a completed manuscript not yet submitted. Such works carry little weight, unless drafts are available for review.

F. Under Contract

When a book is listed as under contract, it is important to indicate explicitly the state of development of the manuscript. It is well known to the Committee that books can be under contract without having been written, and completed manuscripts under contract may not be accepted for publication.

G. Other

It is appropriate to list other written products, such as reports or letter to the editor, in a miscellaneous category, titled "Other."

2. Scholarly Papers and Addresses

Give the title, date read, name of society, place of meeting, length of time allotted, and whether by invitation, selection, or contribution.

3. Exhibitions and Performance

List place, date, sponsored organization, and indicate whether by invitation, selection, or contribution.

4. Inventions, Discoveries, Patents, and Improvements

5. Other Work Completed

6. Work in Progress

Give title or subject, state of completion, sponsorship when relevant, and estimated place and date of publication, exhibition, performance or utilization.

7. History of Research Support

Please include your history of research support, grant requests submitted and not funded, grants obtained, and grants presently submitted but not yet decided.

8. Other Research Information

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III. OTHER SERVICE

1. Department, College, or University committees

2. Administrative duties

3. Work with government or industry

4. Participation in professional organizations

5. Community activities related to professional work

6. Other professional service

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IV. DISTRIBUTION OF ACTIVITIES

Describe the way you have distributed your time and effort among the sometimes competing demands of teaching, research, and other service, and indicate any trends in this distribution which you perceive. If you believe you have had some specific understandings with your department which are to some extent out of the ordinary, please describe them.

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V. ADDITIONAL INFORMATION

The College is concerned that you have every opportunity to present all of the evidence and information which could be helpful in evaluating your qualifications for promotion or tenure. For example, in this section you might wish to emphasize certain activities or to identify individuals within the University who have special knowledge of your contributions.

Form B Coversheet- Promotion-Only

**College of Arts and Sciences
Promotion and/or Tenure Review**

This page to be filled out only for PROMOTION-ONLY applicants

(Name of Chairperson/officer)

(Title)

(Signature)

Name of Candidate:

Date:

College: Arts and Sciences

Department:

Recommended Rank:

Credited Years in Rank:

Vote (Promotion Only)

	<u>For</u>	<u>Against</u>	<u>Abstention</u>	<u>Date</u>
Department Committee				

Define set of eligible voters, how many of these did not vote.

Previous action, if any (give dates and levels)

(PAGE BREAK)

Form B Coversheet–Tenure with Promotion

**College of Arts and Sciences
Promotion and/or Tenure Review**

This page to be filled out for TENURE with PROMOTION applicants

(Name of Chairperson/officer)

(Title)

(Signature)

Name of Candidate:

Date:

Recommended Rank:

Credited Years in Service:

Department:

**Votes (Tenure with
Promotion)**

	<u>For</u>	<u>Against</u>	<u>Abstention</u>	<u>Date</u>
<u>Department Committee</u>				

Define the set of eligible voters, how many of these did not vote.

(PAGE BREAK)

**College of Arts and Sciences
Promotion and/or Tenure Review**

This page to be filled out for TENURE-ONLY applicants

(Name of Chairperson/officer)

(Title)

(Signature)

Name of Candidate:

Date:

Rank:

Credited Years in Service:

Department:

Votes (Tenure Only)

	<u>For</u>	<u>Against</u>	<u>Abstention</u>	<u>Date</u>
<u>Department Committee</u>				

Define the set of eligible voters, how many of these did not vote.

Previous action, if any (give dates and levels)

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I. DEPARTMENTAL EVALUATION: GUIDELINES AND EXECUTION OF PROCEDURES

Department's guidelines for developing a promotion or tenure recommendation.

- 1) For tenure cases, describe the procedures followed at each stage of the department's review of the candidate's progress and promise, and the result at each stage. Attach all reviews during the candidate's time at Syracuse, with an indication of the feedback to the candidate. These should be signed copies. If no signed copies are available, indicate that in the file.
- 2) Please describe the role and membership of any departmental committees that were involved in the final promotion and/or tenure review and the results of their deliberation.

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II. DEPARTMENT CHAIRPERSON'S EVALUATION

This includes a profile of the entire department's faculty and their interests, an analysis of the department votes, summary of ballot comments, and the department chairperson's view of the case.

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III. EXTERNAL EVALUATION

1) Letters from outside reviewers

Insert no fewer than 6 letters from external reviewers: a majority of the reviewers should be from the department list with no fewer than half coming from the department list. Please be sure your letter requests all of the information indicated as required in section II, C. 4 e (page 19) of the *Policies and Procedures Regarding Tenure and Promotion* (approved 2012).

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2) Discussion of outside reviewers

Including: i) Brief summary of reviewer credentials, with special focus on why (s)he is qualified as

a reference; ii) candidate and department lists; iii) the process used to identify and solicit reviewers, and any reasons that may have led them to decline to submit a letter; iv) while a full curriculum vitae for each reviewer should not be part of Form B, departments should collect them and have them available at the Committee's request.

3) Copy of letter sent to outside reviewers

4) List of items sent to reviewers

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IV. REPORT OF DEPARTMENTAL COMMITTEE(S)

Please evaluate the evidence available for determining the accomplishments by the candidate in scholarly/creative production, teaching, and service. This evidence should include that provided in Form A, in the outside letters, and in surveys and interviews regarding teaching and advising. In summarizing your conclusions, comparisons with colleagues inside and outside the university would be useful to the committee.

1) Scholarly/Creative Production

This may also include, as applicable, creative work, and public scholarship and engagement projects.

2) Teaching

Please include analysis of the candidate's areas of expertise and her/his contribution to the department curriculum, evaluation summaries and observations of class sessions by peers in the department, and unsolicited student letters and communications (if applicable).

3) Service

Please try to include concrete examples of how the candidate has successfully or unsuccessfully contributed to his/her service responsibilities. Be sure to comment on whether or not the candidate has met the contributions expected at his/her level.

V. FUTURE NEEDS

(for any case that involves TENURE)

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VI. OTHER