PROMOTION AND TENURE POLICIES AND PROCEDURES

This document is intended as a guide to the promotion and tenure policies and procedures of the College of Health and Human Sciences. The college’s policies and procedures are designed to be in accord with those set forth in the “West Lafayette Campus Promotion and Tenure Policy,” in relevant Executive Memoranda of the University (esp. Exec. Memo. B-48), in the policy on “Research Faculty Appointment and Promotion” (VI.F.8.), in the policy on “Clinical/Professional Faculty Appointment and Promotion” (VI.F.10), and in the “Procedures for Appointing and Promoting Clinical/Professional Faculty.” Therefore, certain portions of those documents are repeated or restated in this document. The boldfaced portions of this document are specific to the College of Health and Human Sciences. Words or sentences that are underlined have been revised for 2015.

I. The Faculty Review System

A. To optimize faculty development and productivity, it is important that department and/or school heads who chair primary committees and have an active role on area committees attempt to convey, annually and as accurately as possible, to each colleague who is not a full professor what levels of performance and achievement are viewed favorably by those two committees.

B. To inform faculty about the levels of performance viewed favorably by the primary committee, the head of each unit (i.e., school or department) shall work collaboratively with the primary committee to prepare a document that summarizes the standards for promotion in the unit. In particular, the document will describe the promotion standards for all categories of faculty with appointments in the unit (i.e., tenure-track and tenured faculty, clinical/professional faculty, and research faculty). The final document will be distributed to all faculty and to the dean. The document will also be available through the dean’s office (e.g., on the college’s website) to all members of the college’s faculty.

II. Annual Review

A. During each academic year the head of each unit shall convene the primary committee to conduct a review of the performance and achievements of the tenure-track assistant professors and the untenured (but tenure-track) associate professors in the unit, beginning in the second year of their appointment at Purdue. To facilitate this review, the head will ask these faculty members to submit an updated curriculum vitae or Form 36 at least two calendar weeks before that meeting of the primary committee. In addition, faculty may provide the head with other information relevant to the review that they consider significant. Research assistant and associate professors who are appointed for at least 50 percent CUL shall be reviewed at least every five years, as specified by University policy. In addition, tenured associate professors, clinical/professional assistant and associate professors, and research assistant and associate professors shall be given a comparable review during any academic year in which they provide their materials to the head at least
two weeks before the primary committee meeting convened for this annual review. When research faculty are to be reviewed, any research faculty of higher rank in the unit will join the primary committee for that portion of the review meeting and participate in the discussion of the research faculty under review. When clinical/professional faculty are to be reviewed, any clinical/professional faculty of higher rank in the unit will join the primary committee for that portion of the review meeting and participate in the discussion of the clinical/professional faculty under review.

B. The unit head shall act as chair of the primary committee.

C. After the primary committee meeting, the unit head shall provide written feedback to all faculty who were reviewed. The feedback should include an evaluation of the faculty members’ progress toward promotion and/or tenure.

III. Tenure-track and Tenured Faculty Promotion Procedures

A. Primary Committees

1. At least five tenured full professors are necessary for voting on cases of promotion to full or associate professor. When this minimum number is not available in the candidate’s department, additional tenured full professors shall be appointed by the chair of the area committee (i.e., the dean), following consultation with the appropriate unit head. The additional primary committee members shall participate in all primary committee discussions and votes on candidates for promotion to full or associate professor.

2. To permit candidates and potential candidates to exercise their rights in a convenient fashion, it is expected that each chair of a primary committee should, during the first month of each fall semester, publish a timetable setting forth the dates of the primary committee meetings and suitable deadlines for faculty members to update their files and to receive and react to the appropriate parts of a nomination for promotion.

3. Before or during the first semester of each academic year, the head of each unit shall convene the primary committee. This committee shall consist of all full-time faculty in a unit who are tenured full professors and associate professors. Faculty with joint appointments are primary committee members only in the unit that is their tenure home. At this meeting, faculty members who are in their penultimate probationary year shall be automatically nominated for promotion and voted on by the primary committee, unless they specifically request otherwise in writing at any step in the process. When any other faculty member eligible for promotion is nominated by any member of the primary committee and the nomination is seconded, the voting members of the primary committee shall discuss and vote on the nomination.

4. Faculty with tenure who are not nominated by a member of the primary committee but, nevertheless, consider themselves ready for promotion may nominate themselves and have their cases for promotion considered by the primary committee, if they have not been considered for promotion during the last three years.
5. A candidate should be given the opportunity to help create and review his/her promotion documentation and may receive a copy of the document (with confidential statements omitted) that will be submitted to the primary, area, and/or University committee(s). It is the right of the candidate to have included in his/her departmental or school file whatever the candidate chooses to add, including the candidate’s own brief (one page) comments about teaching, research/creative activities, and service or engagement. Candidates may choose to attach their comments to the promotion document.

6. After supporting data of nominees have been compiled (Nominations for Promotion-President’s Office Form 36), this material shall be made available to primary committee members at least one calendar week before the meeting at which a vote of the primary committee will take place. At this meeting, a primary committee member shall present each candidate’s case, and general discussion and a vote on the candidate will follow.

7. A separate, secret ballot shall be cast for each candidate in the primary committee. In addition to providing for a “yes” or “no” vote, the ballot should provide an opportunity to show reasons for the vote cast, with space allocated for comments and explanations. Submissions of a blank ballot, recusals, or failure to cast a ballot are not considered as votes. The primary purpose of the ballot, other than to obtain a numerical vote count, is to contribute to a summary for “feed-forward” and “feedback” use. The reasons for a negative vote are especially important. Nominations receiving a majority affirmative vote shall be forwarded to the area committee unless a candidate states in writing that he or she does not wish the case to be forwarded. If a case does not receive a majority vote, the head may elect to forward the case to the area committee unless the candidate requests in writing that the head not take such action. After the ballots have been tallied, the head shall notify candidates of their promotion progress.

8. The unit head shall not cast a vote in the primary committee: rather, the head’s recommendation will appear separately from the primary committee’s recommendation on the promotion document. This constraint will not apply if the number of tenured full professors (including the head) on the primary committee is less than seven. Tenured associate professors are included in this count for review of candidates for promotion up to associate professor.

9. The provost, the Dean of the Graduate School, and the other members of the University Promotions Committee who are deans of academic colleges/schools will not vote in any primary committee.

B. Area Committee

1. The dean of the college shall act as chairperson of the committee. The dean shall not cast a vote in the area committee. Rather the dean’s recommendation will appear separately from the area committee’s recommendation on the promotion document.

2. An associate dean of the College of Health and Human Sciences who is a tenured full professor shall be appointed by the dean to serve as a non-voting member of the committee.
3. If the dean cannot attend a meeting of the area committee or the University Promotions Committee, the dean will appoint a replacement who is both an associate dean and a tenured full professor. The appointee shall function in the dean’s stead as chair of the area committee, as a voting member of the University Promotions Committee, or in both roles, as needed.

4. All unit heads shall be voting members of the area committee and shall present their units’ promotion candidates. In addition to the unit head, the voting faculty of each unit will elect to voting membership on the area committee one other tenured full professor from that unit to serve a three-year term. The number of full professors without administrative responsibilities who serve on the area committee must be at least equal to one third of the area committee’s membership. To ensure that this requirement is met, no candidate for election to the area committee shall hold the position of Assistant or Associate Head, or Assistant or Associate Dean, in the College of Health and Human Sciences. In addition, full professors must have at least a half-time appointment in their units in order to be eligible to represent their units on the area committee.

5. An elected faculty representative to the area committee may be reelected and serve consecutive terms.

6. A separate, secret ballot shall be cast for each candidate reviewed by the area committee. In addition to providing for a “yes” or “no” vote, the ballot should provide an opportunity to show reasons for the vote cast, with space allocated for comments and explanations. Submissions of a blank ballot, recusals, or failure to cast a ballot are not considered as votes. The primary purpose of the ballot, other than to obtain a numerical vote count, is to contribute to a summary for “feed-forward” and “feedback” use. The reasons for a negative vote are especially important. Nominations receiving a majority affirmative vote shall be forwarded to the university committee unless a candidate states in writing that he or she does not wish the case to be forwarded. If a case does not receive a majority vote, the dean may elect to forward the case to the area committee unless the candidate requests in writing that the dean not take such action. After the ballots have been tallied, the dean or his/her designee shall notify candidates of their promotion progress.

7. In those cases where a recommendation supported by at least two-thirds of an area committee has been rejected by the University Promotions Committee, the dean may request written explanations for the vote.

IV. Promotion Procedures for Tenured/tenure-track Faculty with Joint Appointments

A. When a promotion candidate has a joint appointment in two academic units, the procedures outlined above shall be followed in both the primary and the area committees, but the following procedures will also apply. Comparable procedures will be followed when faculty have appointments in more than two academic units.

B. The head of the unit that is the tenure home of a jointly-appointed faculty member who is nominated for promotion will inform the head of the other unit of the nomination and of
that unit’s procedures and schedule for document preparation and primary-committee meetings.

C. The head of the other academic unit will be invited to provide the head of the unit that is the tenure home with a letter of evaluation of the performance and achievements of the candidate from the perspective of that unit. The letter should not, however, include a recommendation for or against promotion and/or tenure. If provided, this letter will be included in the candidate’s promotion document.

V. Promotion Procedures for Clinical/Professional Faculty

A. The University recognizes a non-tenure track faculty status (i.e. clinical/professional faculty). These appointments provide the opportunity for career advancement for faculty members who focus on excellence in clinical/professional instruction.

B. Primary Committee

1. Clinical/Professional faculty at the full professor level will attend the portion of primary committee meetings during which candidates for promotion who are clinical/professional associate professors are being considered for promotion and will vote on those candidates. When a clinical/professional full professor is not available in a candidate’s unit, the chair of the area committee shall, after consulting with the appropriate unit head, appoint a clinical/professional full professor from another unit to serve on the primary committee and vote on the candidate.

2. Clinical/Professional faculty at the associate professor level will attend the portion of primary committee meetings and vote on candidates for promotion who are clinical/professional instructors or assistant professors. When these candidates are being considered, at least one clinical/professional full professor will serve on the primary committee and vote on the candidates. In addition, at least one clinical/professional associate professor will serve on the primary committee and vote on these candidates. When this minimum number of clinical/professional faculty is not available in a candidate’s unit, the chair of the area committee shall, after consulting with the appropriate unit head, appoint clinical/professional faculty from another unit to serve on the primary committee and vote on the candidate.

C. Area Committee

1. When clinical/professional faculty are considered for promotion by the area committee, the voting membership of the area committee shall be expanded. After soliciting nominations from all heads of units employing clinical/professional faculty, the dean shall select two clinical/professional faculty at the rank of full professor to serve on the area committee for a three-year term. The two clinical/professional full professors will vote with the area committee on all clinical/professional faculty being considered for promotion.

VI. Promotion Procedures for Research Faculty
A. Research Faculty positions are intended to provide a career path that allows for independence, individual scientific growth, and the opportunity for promotion. They are envisioned to be equivalent to tenure-track faculty positions but without the responsibility of didactic teaching and without eligibility for tenure.

B. Primary Committee

1. The procedures for review of research faculty who are candidates for promotion shall be consistent with University policy. In particular, if a research assistant or associate professor is a candidate for promotion in a unit that has other research professors of higher rank, the other research professors will attend the portion of the primary committee meeting during which the research-faculty candidates are being considered and shall vote on those candidates.

C. Area Committee

1. When research faculty are considered for promotion by the area committee, the voting membership of the area committee shall be expanded if the college has research faculty who are full professors. After soliciting nominations from all heads of units employing research faculty, the dean shall select one research faculty member at the rank of full professor to serve on the area committee for a three-year term. The research professor will attend the portion of the committee meeting during which research-faculty candidates are being considered and shall vote on those candidates.

VII. Tenure Considerations

A. At some time after the University Promotion Committee meets to vote on promotions, the area committee shall meet to consider recommendations for tenure without promotion. In accordance with current practice, tenure without promotion requires an endorsement by both the primary and area committees, a recommendation by the dean, and approval by the provost. Nominations receiving a majority affirmative vote in the primary committee shall be forwarded to the area committee unless a candidate states in writing that he or she does not wish the case to be forwarded. If a case does not receive a majority vote, the head may elect to forward the case to the area committee unless the candidate requests in writing that the head not take such action. After the area committee meeting the dean will forward his or her recommendation and that of the area committee to the provost for a final decision, unless a candidate requests in writing that his or her nomination not be forwarded.

B. In cases involving tenure-track assistant professors in their penultimate year, the criteria for promotion to the rank of associate professor shall also serve as the criteria for obtaining tenure. Assistant professors who fail to be promoted to associate professor in their penultimate year are considered to have not met the criteria for obtaining tenure. In these cases, therefore, nominations for tenure without promotion will not be considered by primary committees or the area committee.
C. A candidate for a position as an associate or full professor may be appointed with immediate tenure. Before offering such an appointment, a unit head must provide the members of the primary committee with information about the candidate’s credentials. Then the primary committee must vote on offering immediate tenure. If a majority of the voting members vote affirmatively, the record of the vote, the information about the candidate’s credentials, and the head’s recommendation should be sent to the dean. After reviewing these documents, the dean may request the provost’s approval of an offer with immediate tenure. If the provost approves, such an offer can be made.

VIII. Confidentiality and Notice of Final Action

A. It is in the best interest of the University and the faculty that full and frank discussion occurs during the deliberations of promotion committees. The confidentiality of remarks made at such meetings should, therefore, be carefully preserved. Official notice will be sent to promoted faculty members after the president of the University and the Board of Trustees approve the promotions. Decisions against promotion and/or tenure, for candidates in their probationary period, should be confirmed by the unit head sending the candidate an official Notice of Nonrenewal (Form 19E).

IX. Conflict of Interest Policy for Promotion Committees

A. Any member of a primary committee or area committee whose present or past relationship with a candidate for promotion and/or tenure may be perceived to compromise that member’s ability to make an objective assessment of the candidate’s credentials shall identify the potential conflict of interest to the committee chair before the primary or area committee meeting and not participate in the discussion and voting involving that candidate. The following list, while not exhaustive, illustrates the types of relationships which constitute a conflict of interest:

- Marital, life partner, family, or dating/romantic/sexual relationships
- An advising relationship (e.g., the faculty member having served as the candidate’s Ph.D. or postdoctoral major advisor or equivalent)
- A direct financial interest and/or relationship as defined in and governed by University policy on “Individual Financial Conflicts of Interest” (III.B.2.)
- Any other relationship that would prevent or have the appearance of preventing a sound, unbiased decision

B. Others, including a candidate, who perceive a conflict of interest between a primary or area committee member and that candidate shall disclose the concern to the committee chair, who will determine whether a conflict of interest exists.

C. Committee members who do not participate or vote on a candidate with whom they possess a conflict of interest will be expected to participate fully in the deliberations on all other candidates under consideration.
D. If the chair of a primary committee or the area committee has a conflict of interest with a candidate under consideration, the relevant committee will elect by majority vote a member of the committee to serve as chair for the consideration of any and all candidates for whom the chair has a conflict of interest. This individual will also perform all the functions of the committee chair as described earlier in this document.

E. If the dean has a conflict of interest with any candidate being considered, presentation of the candidate to the University Promotions Committee will be determined by the provost.

X. Changes in the West Lafayette Campus Promotion and Tenure Policy

A. The campus promotion policy changes from time to time. When any changes have the effect of nullifying, contradicting, or rendering inconsistent a provision of this document, the campus promotion policy shall prevail.

XI. Interpretation of this Document
A. Any question of interpretation regarding the promotion and tenure policies of the College of Health and Human Sciences shall be referred to the dean of the college for final determination.