PROMOTION AND TENURE POLICIES AND PROCEDURES

This document is a guide to the policies and procedures related to academic promotion and tenure that are specific to the College of Health and Human Sciences (HHS). These college-specific policies and procedures are designed to be in accord with those set forth in University policies and in related documents on promotion procedures and promotion criteria. A current listing of the most important of those documents is available at http://www.purdue.edu/hhs/faculty/promotion_tenure.html.

This document should not be viewed as a summary of all the University-wide and campus-specific documents referenced above. For example, this document includes few comments about the Campus Promotions Committee, about extensions of the probationary period, or about the criteria for promotion. Instead, this document almost exclusively focuses on the composition and functioning of the college’s primary committees and area committee. Consequently, HHS faculty eligible for promotion and/or tenure need to read and understand both this document and the University and campus-specific documents that apply to their specific academic appointments. They also need to read and understand the document, “Some Guidelines for the HHS Promotion Process and HHS Promotion Documents,” and the documents outlining the criteria for promotion in their own academic units (i.e., their departments or schools), which are available through the same web page referenced above. Faculty who serve on promotion committees and faculty who advise or mentor other faculty eligible for promotion and/or tenure also need to read and understand those documents.

In this document boldfaced sentences provide information specific to the College of Health and Human Sciences. Portions not in boldface are taken with only minor changes from University or campus-specific documents. Sentences that are new this year or that have been modified from those in the previous version of this document are underlined and in red type.

I. The Faculty Review System

A. To optimize faculty growth and productivity, unit heads who chair primary committees and have an active role on area committees should communicate, 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 promotion committees, unit heads should work collaboratively with their faculty to prepare one or more documents that summarize the criteria for promotion in the unit. In particular, the document(s) will describe the promotion criteria for all categories of faculty with appointments in the unit (i.e., tenure-track and tenured faculty, clinical/professional faculty, and research faculty). The document will be distributed to all faculty and to the dean. The document(s) will also be available to faculty on the college’s website.
II. Annual Review

A. During each academic year the head of each unit shall convene the primary committee to conduct a review of the progress toward promotion 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 10 business days 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.

B. Tenured associate professors shall be given a comparable review at least every two years. Unit heads shall notify all associate professors scheduled for a review at least one month before the date of the review meeting. At the same time, heads shall notify associate professors of the deadline for a written request that their review be deferred. If the head grants an associate professor’s request, the professor’s review will be deferred for one year.

C. All other faculty (i.e., tenured associate professors not scheduled for a review; clinical/professional instructors, assistant professors, and associate professors; and research assistant and associate professors) shall be given a comparable review by the primary committee during any academic year in which they provide their materials to the head at least 10 business days before the primary committee meeting convened for this annual review.

D. 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. If no clinical/professional faculty of higher rank are in the unit, the chair of the area committee (i.e., the dean) will consult with the unit head and then appoint one clinical/professional faculty member of the appropriate rank (i.e., higher than any faculty to be reviewed) to join the primary committee for the review and discussion of the unit’s clinical/professional faculty.

E. 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. 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. If no research faculty of higher rank are in the unit, the chair of the area committee (i.e., the dean) will consult with the unit head and then appoint one research faculty member of the appropriate rank (i.e., higher than any faculty to be reviewed) to join the primary committee for the review and discussion of the unit’s research faculty.

F. The unit head shall act as chair of the primary committee.
G. In units with fewer than five tenured faculty, additional tenured faculty shall be appointed by the dean, following consultation with the unit head, to join a unit’s primary committee for the review of the progress toward promotion of assistant professors. If any associate professors will be reviewed, and a unit has fewer than five tenured full professors, the dean shall appoint additional tenured full professors from outside the unit to join the primary committee for the review of the associate professors’ progress toward promotion.

H. 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. The primary committee must include at least five tenured faculty members to consider cases of promotion to associate professor. When this minimum number is not available in the candidate’s department, additional tenured faculty shall be appointed by the dean, following consultation with the unit head. The additional primary committee members shall participate in all primary committee discussions and votes on candidates for promotion to associate professor. Similarly, the primary committee must include at least five tenured full professors to consider cases of promotion to full professor. When this minimum number is not available in the candidate’s department, additional tenured full professors shall be appointed by the dean, following consultation with the head. The additional primary committee members shall participate in all primary committee discussions and votes on candidates for promotion to professor.

2. **Before the end of each academic year**, the chair of the primary committee shall publish a timetable setting forth the dates of the next year’s primary committee meetings and suitable deadlines for faculty members to update their files and to receive and react to the appropriate segments of a nomination for tenure and/or 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 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. **Units that wish to review candidates in the final year of their probationary period must provide justification and endorsement by the department head and dean, and request approval by the provost prior to review.** 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. A tenure-track faculty member may have received an extension of the probationary period by virtue of the procedures outlined in the “Procedures for Granting Academic Tenure and Promotion.” Under these circumstances, the criteria for tenure and promotion are the same in both quantity and quality; committees may not impose additional requirements on candidates with extensions when compared with those without extensions. More information about these extensions is available in Section V. of the University’s “Procedures for Granting Academic Tenure and Promotion.”

5. Faculty members with tenure who are not nominated by a member of the primary committee and who have not been considered for promotion during the previous three years but who consider themselves ready for promotion may nominate themselves and have their cases for promotion considered by the primary committee. **The deadline for self-nominations shall be specified in the timetable described in Section III.A.2.**

6. Unit heads are responsible for making sure candidates are aware of their right to review and augment their own promotion documents. In particular, candidates should be given the opportunity to help create and review their promotion documentation and may receive a copy of their own documents (with the confidential comments of the unit head and the dean, and the letters from external referees, omitted) before they are submitted to the primary and area committees, and to the Campus Promotions Committee.

7. **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 five business days 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.**

8. A separate, secret ballot shall be cast for each candidate in the primary committee. Submissions of a blank ballot, recusals, and failures to cast a ballot are not considered as votes. 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. The reasons for all votes are expected to be provided, but this is especially important in the case of negative votes since comments can be the basis for feedback for faculty improvement.

9. The unit head shall not cast a vote in the primary committee unless the committee has fewer than seven members. Instead, the head’s recommendation appears separately from the primary committee’s recommendation on the Nomination for Promotion form.
10. The provost, the Dean of the Graduate School, the Dean of Libraries, and the academic deans may not be voting members of primary committees.

11. Within 10 business days after the primary committee meeting, the head shall notify candidates of their promotion progress. The reasons for negative decisions will be conveyed to candidates within this same time frame.

12. Those candidates who receive a simple majority vote are sent forward to the Area Committee for review, unless the candidate chooses to withdraw his/her candidacy at this stage. In addition, the chair of the Primary Committee may endorse a candidate who does not receive a majority vote and send forward the nomination with his/her statement providing a rationale for the divergence from the Primary Committee, unless the candidate requests in writing that the head not take such action.

13. Candidates who do not receive a majority vote of the primary committee and who are not endorsed by the committee chair may, within 15 business days of receipt of notice of the negative decision on promotion and/or tenure, submit in writing to the dean a request for a written statement of the reason for the decision. This request initiates the procedures for review of negative tenure and promotion decisions that are fully described in Section VI of the University’s “Procedures for Granting Academic Promotion and Tenure.”

B. Area Committee

1. The dean of the college shall act as chairperson of the HHS Area 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 Campus 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 Campus 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, and failures to cast a ballot are not considered as votes. Within 10 business days after the area committee meeting, the dean or the dean’s designee shall notify candidates of their promotion progress. The reasons for negative decisions will be conveyed to candidates within this same time frame.

7. Those candidates who receive a simple majority vote of the Area Committee are forwarded to the Campus Promotions Committee along with documentation of whether and why the candidate also has the dean’s endorsement, unless a candidate states in writing that he or she does not wish the case to be forwarded. The dean may also send forward candidates who do not receive a majority positive vote of the Area Committee with a statement including the rationale for sending the case forward, unless the candidate requests in writing that the dean not take such action.

8. Candidates who do not receive a majority vote of the area committee and who are not sent forward by the dean may, within 15 business days of receipt of notice of the negative decision on promotion and/or tenure, submit in writing to the dean a request for a written statement of the reason for the decision. This request initiates the procedures for review of negative tenure and promotion decisions that are fully described in Section VI of the University’s “Procedures for Granting Academic Promotion and Tenure.”

IV. Promotion Procedures for Tenured/Tenure-Track Faculty with a Tenure Home in One HHS Unit and a Partial Appointment in Another Academic Unit

A. Some HHS faculty have joint appointments consisting of a tenure home in one HHS unit and a partial appointment in another academic unit. When these faculty are candidates for promotion, the procedures outlined above shall be followed in both the primary committee of the unit that is the candidate’s tenure home and in the HHS Area Committee, but the following procedures will also apply. Comparable procedures will be followed when faculty have appointments in more than two academic units.
B. When such a jointly-appointed faculty member is nominated for promotion, the head of the unit that is the tenure home of the faculty member 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 dean 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 candidates.

2. Clinical/Professional faculty at the full professor and 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 or associate professor will serve on the primary committee and vote on the candidates. When no clinical/professional faculty at either of these ranks are available in a candidate’s unit, the dean shall, after consulting with the unit head, appoint a clinical/professional full professor or associate professor from another unit to join the primary committee for the discussion and vote on those candidates.

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. When no research faculty member of higher rank is available in a candidate’s unit, the dean shall, after consulting with the unit head, appoint a research faculty member of higher rank from another unit (in or outside of HHS) to join the primary committee for the discussion and 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 to include a research full professor. 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. If no research full professor is on the HHS faculty, the dean will, after consulting with another college’s dean, appoint a research professor to join the area committee for the discussion and vote on any research faculty candidates for promotion.

VII. Tenure Considerations

A. At some time after the Campus Promotions Committee meets to vote on promotions, the area committee may meet to consider recommendations for tenure without promotion. Tenure without promotion requires 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 candidate 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. An external candidate for a faculty 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 will vote on offering immediate tenure. In this case, the head also casts a vote in the primary committee. In exceptional circumstances when it is difficult or impossible to convene the primary committee for a discussion and vote on the candidate, primary committee members may be asked to vote by email. If a majority of the committee members votes affirmatively, the record of the vote and the information about the candidate’s credentials will 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

A. Throughout the entire review process, Primary, Area, and Campus Promotions Committee members respond to each tenure or promotion nomination as individuals, interpreting achievements described in the nomination documents in light of standards appropriate for the nominee’s discipline and the West Lafayette campus’s “Criteria for Tenure and Promotion.” In the course of these evaluations, open and candid discussions are a critical element to informing each committee member of the candidate’s accomplishments. The confidentiality of remarks made at such meetings should, therefore, be carefully preserved and restricted to those within the promotions process to allow for full, fair and free discussion of the merits of the case. Nothing in this provision of confidentiality allows participants in primary or other promotion committees to engage in illegal, unethical or inappropriate behavior with impunity.

IX. Notice of Final Action

A. 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).

X. Conflict of Interest Policy for Promotion Committees
A. Any member of a primary committee whose present or past relationship with an assistant or associate professor may be perceived to compromise that member’s ability to make an objective assessment of that assistant or associate professor’s credentials shall report confidentially the potential conflict of interest to the committee chair before any primary committee meeting at which the assistant or associate professor’s progress toward promotion will be discussed. Similarly, 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 that candidate’s credentials shall report confidentially the potential conflict of interest to the committee chair before any primary or area committee meeting involving a discussion and voting on that candidate’s promotion. A conflict of interest may be financial (as defined in and governed by University policy III.B.2, Individual Financial Conflicts of Interest), personal, or professional. The following list, while not exhaustive, illustrates the types of relationships which constitute a conflict of interest:

1. Marital, life partner, family, or dating/romantic/sexual relationships
2. An advising relationship (e.g., the faculty member having served as the candidate’s Ph.D. or postdoctoral major advisor or equivalent)
3. A direct financial interest and/or relationship
4. Any other relationship that would prevent or have the appearance of preventing a sound, unbiased decision

B. Assistant or associate professors whose progress toward promotion will be reviewed by the primary committee, or who are promotion candidates, who perceive that they have a conflict of interest with a primary or area committee member shall also report confidentially the potential conflict of interest to the relevant committee chair.

C. When a committee chair receives a report of a potential conflict of interest, or when the chair has information that suggests the existence of a conflict of interest between a promotion committee member and an assistant or associate professor to be reviewed by that promotion committee, the chair will determine whether a conflict of interest exists.

D. When conflicts of interest exist, the promotion committee members involved must recuse themselves and not participate in any review of the assistant or associate professor with whom they have a conflict. In such cases, the committee chair will, immediately before that review begins, announce simply that those committee members have recused themselves. Committee members who do not review an assistant or associate professor with whom they have a conflict of interest will be expected to participate fully in the deliberations on all other faculty under review.
E. 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.

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

XI. Changes in the University or Campus Promotion and Tenure Policies

A. The promotion policies and procedures that govern the entire University and the West Lafayette campus change from time to time. When any changes have the effect of nullifying, contradicting, or rendering inconsistent a provision stated in this document, those University or campus policies and procedures shall prevail.

XII. 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.