

Suggested Changes presented to the Provost Office from a variety of Stakeholders submitted to the University P&T Committee (version printed on 11/23/09)

Chapter 3.7 (4th paragraph): Requiring that the 3rd year review be performed before the completion of 3 full years in service causes problems for some faculty and change the name of the 3rd year review.

Current Language:	Possible Revision:
"Each department shall conduct a third year review of all its probationary faculty members. This shall take place no later than 32 months after initial appointment, normally before April 30 of the faculty member's third year."	"Each department shall conduct a pre-tenure [or mid-tenure?] review of all its probationary faculty members. This shall take place no later than Spring semester of the 4 th probationary year."

Chapter 3.9 (1st paragraph): States that tenure is the "more exacting" process—why, then, can a candidate receive tenure but not promotion?

Current Language:	Possible Revision:
"Decisions on tenure are different in kind from those on promotion. Tenure, in fact, is more exacting."	"Decisions on tenure are different in kind from those on promotion. Tenure, in fact, is more exacting and, therefore, tenure is not possible if promotion to associate professor is not awarded." Another Possible Revision: delete "Tenure, in fact, is more exacting."

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Chapter 3.9 Collegiality: There is a need for clear definition of Collegiality.

Current Language	Suggested definition:
“In appraising a candidate's collegiality, department members should keep in mind that the successful candidate for tenure will assume what may be an appointment of 30 years or more in the department. Collegiality should not be confused with sociability or likability. Collegiality is a professional, not personal, criterion relating to the performance of a faculty member's duties within a department. The requirement that a candidate demonstrate collegiality does not license tenured faculty to expect conformity to their views. Concerns relevant to collegiality include the following: Are the candidate's professional abilities and relationships with colleagues compatible with the departmental mission and with its long-term goals? Has the candidate exhibited an ability and willingness to engage in shared academic and administrative tasks that a departmental group must often perform and to participate with some measure of reason and knowledge in discussions germane to departmental policies and programs? Does the candidate maintain high standards of professional integrity? Collegiality can best be evaluated at the departmental level. Concerns respecting collegiality should be shared with the candidate as soon as they arise; they should certainly be addressed in the yearly review and the third year review. Faculty members should recognize that their judgment of a candidate's collegiality will carry weight with the Promotion and Tenure Committee.	“In appraising a candidate's collegiality, department members should keep in mind that the successful candidate for tenure will assume what may be an appointment of 30 years or more in the department. Collegiality can be defined as the ability for an individual to work productively with faculty, students, colleagues, staff members and constituents in all environments impacted by the university. Collegiality encompasses the basics of the professional ethics of the academic world: Respect for persons, integrity of intellectual inquiry, concern for the needs and rights of students and clientele, and awareness of workplace safety. Collegiality should not be confused with sociability or likability, but rather as the professional criterion relating to the individual's performance of his or her duties within an academic unit that are compatible and consistent with the unit's mission and long-term goals. Collegiality is a basic expectation of all employees and is essential in maintaining or improving the academic quality of an institution. Each faculty member must interact with colleagues with civility and professional respect. All should exhibit an ability and willingness, when appropriate, to engage in shared academic and administrative tasks that a department group must often perform, and participate with some measure of reason and knowledge in discussions germane to department policies and programs. Concerns respecting collegiality should be shared with the candidate as soon as they arise; they should certainly be addressed in the yearly review and the third year review. Faculty members should recognize that their judgment of a candidate's collegiality will carry weight with the Promotion and Tenure Committee.”

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Chapter 3.10 (2nd paragraph): Remove language that suggests that candidates “normally” are considered for tenure in their 5th year.

Current Language:	Possible Revision:
“If a faculty member has had no prior service at another institution of higher education, he or she normally should be considered for tenure during his or her fifth year of full-time service. A faculty member may request that tenure consideration be deferred from the fifth to the sixth year without prejudice. Consideration cannot be deferred beyond the sixth year however; a candidate must be considered for tenure during his or her sixth year if he or she has not been considered earlier and has not waived consideration.”	“A candidate must be considered for tenure during his or her sixth year if he or she has not been considered earlier and has not waived consideration. There is no fixed requirement for years of service at a given rank before a faculty member can be promoted or tenured. Therefore, if a faculty member has had no prior service at another institution of higher education, he or she may be considered for tenure during his or her fifth year of full-time service.”

Chapter 3.10 (3rd paragraph): Counting partial years towards a candidate’s probationary period is unfair.

Current Language:	Possible Revision:
“A candidate whose employment began in the period between December 1st and March 15th (roughly between the call for nominations for tenure and final action by the President) may be considered during his or her fourth year of full-time employment. This allows the candidate reconsideration during his or her fifth year without requiring the University to grant de facto tenure if the candidate is denied in the fifth year.”	“If a faculty member begins employment between January 1 and May 15, the partial academic or calendar year shall not count as part of the probationary period.”

Chapter 3.10 (4th paragraph): Should it be clarified that if the faculty member waives the right to consideration they do it forever?

Current Language:	Possible Revision:
“A faculty member who feels that he or she has not met the requirements for tenure by the sixth year can waive consideration by stating, in writing, that he or she does not wish to be considered by the department. In such a case, the department head must send the faculty member a letter of noncontinuation.”	“A faculty member who feels that he or she has not met the requirements for tenure by the sixth year can forever waive consideration by stating, in writing, that he or she does not wish to be considered by the department. In such a case, the unit head must send the faculty member a letter of noncontinuation stating that they will not be continued past the 7 th year.

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Chapter 3.10 De facto Tenure: The local AAUP has suggested a revision for De Facto Tenure policy.

Current Language:	AAUP Revised Wording:
“A faculty member who provided more than seven years of full-time service in faculty rank on a temporary or probationary appointment must be awarded tenure by the President. A faculty member who contends that he or she has served in an academic rank for more than seven years may appeal through the normal administrative chain for consideration of the claim. However, tenure gained this way must be forfeited if it is established that the faculty member's not being recommended for tenure consideration was a deliberate attempt on the part of the faculty member and/or the department head to avoid the formal tenure process in order to acquire de facto tenure.”	“A faculty member who provided more than seven years of full-time service in faculty rank on a temporary or probationary appointment must be awarded tenure by the President, except in those cases described in the section on Prior Service of this Handbook in which a written agreement, approved by the Provost at the time of the new appointment, excludes some or all years of prior service at Auburn toward tenure eligibility. Any such exclusion would also apply to the awarding of de facto tenure.”

Chapter 3.11.3.D.1: Add the requirement for external letters to the promotion from assistant to associate (currently only required for promotion to full professor) and require a summary of each evaluator's credentials in the dossier.

Current Wording:	Possible Revision:
“The department head (or the dean) shall solicit information from outside referees in the case of candidates nominated for full professor or librarian IV or archivist IV; he or she may do so in other cases. In consultation with the candidate and the faculty voting on the candidate the head (or dean) shall compile a list of potential evaluators. He or she shall then seek responses from at least three of the potential evaluators. These evaluators shall be people outside of Auburn University who are nationally acknowledged experts in the candidate's field and can comment on the quality and reputation of the candidate's work. If the evaluator is from an academic institution, he or she shall be of higher academic rank than the candidate. Letters from the candidate's major professor for a graduate degree, from former graduate students, and from ongoing research partners are unacceptable. Evaluators may be associated with industry, government agencies, foundations, etc. If these letters arrive in time, they shall be made available	“The unit head(s) shall solicit information from outside referees in the case of candidates nominated for promotion and/or tenure; he or she may do so in other cases. In consultation with the candidate and the faculty voting on the candidate the unit head (s) shall compile a list of potential evaluators. He or she shall then seek responses from at least three of the potential evaluators. These evaluators shall be people outside of Auburn University who are nationally acknowledged experts in the candidate's field and can comment on the quality and reputation of the candidate's work. If the evaluator is from an academic institution, he or she shall be of equal or higher academic rank than the candidate. Letters from the candidate's major professor for a graduate degree, from former graduate students are unacceptable. Evaluators may be associated with industry, government agencies, foundations, etc. All letters shall be made available to the voting faculty. A summary of each evaluator's credentials will be included with the letters in the dossier.”

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to the voting faculty; otherwise, they shall be sent on to the Promotion and Tenure Committee.”	
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Chapter 3.11.E (2nd full paragraph): All faculty should be limited to one vote and that vote should be at the lowest (usually department level). In other words, faculty who serve on college/school or University P&T committees should not be able to vote twice (at different levels) for candidates from their home units.

Current Wording:	Possible Revision:
“If of appropriate academic rank and status, the department head shall vote by secret ballot with the faculty. Any other faculty member serving as an administrator who has an official vote on the candidate at a higher administrative level shall excuse himself or herself at the departmental level. Faculty members who serve in an advisory capacity at the school, college, or University level may vote at the department level but at higher levels shall excuse themselves from decisions on candidates from their departments.”	“The department head should not vote with the faculty because he/she provides a written evaluation of the candidate and a recommendation for or against promotion and/or tenure. Any other faculty member who has an official vote on the candidate at a higher level shall vote no more than twice (i. e. departmental and University P&T Committee levels).”

Chapter 3.11.E (2nd full paragraph): Immediate family members must excuse themselves from discussion of their family members as well as the vote.

Current Wording:	Possible Revision:
“Immediate family members shall excuse themselves from voting.”	“Immediate family members shall excuse themselves from discussion and voting.”

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Chapter 3.11.E (5th and 6th full paragraphs): Individual letters from faculty members should be replaced by a consensus report of the faculty meeting written by a faculty member (not the head/chair) that covers the meeting discussion and is approved by all eligible faculty.

Current Wording:	Possible Revision:
“The department head and the dean shall provide a written evaluation of the candidate and a recommendation for or against promotion and/or tenure. Faculty members too should be encouraged to write letters explaining why they do or do not favor promotion and/or tenure. Where there are fewer than three faculty members in a department who are eligible to write letters of evaluation, the head may ask for letters from faculty members in other departments who have knowledge of the candidate's professional performance. Letters should address the quality of research/creative work and the candidate's potential for continued work, teaching effectiveness, effectiveness in the area of extension, service contributions and, in tenure cases, the matter of collegiality. In the case of candidates for tenure-on-hire, letters from the candidate's current colleagues as well as from Auburn faculty members are strongly encouraged and should address these same issues. Faculty should bear in mind that letters to the Promotion and Tenure Committee are an important source of information for the Committee. Letters can help the Committee to make an informed judgment about the candidate's collegiality by addressing the candidate's performance of his or her duties within a department. Letters can also help the Committee, whose members may not come from the candidate's field, understand the significance of the candidate's work and make a fair appraisal of it.”	“The unit head(s) shall provide a written evaluation of the candidate and a recommendation for or against promotion and/or tenure. In addition, a consensus letter written by the faculty members is required. The consensus letter should explain why the faculty do or do not favor promotion and/or tenure. Letters should address the quality of research/creative work and the candidate's potential for continued work, teaching effectiveness, effectiveness in the area of extension, outreach, service contributions and, in tenure cases, the matter of collegiality. In addition, faculty members may elect, but are not required, to write individual letters addressing the same issues and have those letters appended to the census letter. In the case of candidates for tenure-on-hire, letters from the candidate's current colleagues as well as a consensus letter from Auburn faculty members are strongly encouraged and should address these same issues. Faculty should bear in mind that the consensus letters to the Promotion and Tenure Committee are an important source of information for the Committee. Letters can help the Committee to make an informed judgment about the candidate's collegiality by addressing the candidate's performance of his or her duties within a department. Letters can also help the Committee, whose members may not come from the candidate's field, understand the significance of the candidate's work and make a fair appraisal of it.”

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Chapter 3.11.E (last paragraph): Create a “closed” dossier by removing the ability to send evaluative letters straight to the dean/college committee and the P&T committee.

Current Wording:	Possible Revision:
“Normally, evaluative letters should be addressed to the department head; however, such letters may be submitted directly to the dean/College Committee or to the Promotion and Tenure Committee. Department heads and deans shall submit all letters of evaluation that are submitted to them.”	“Evaluative letters must be addressed to the department head. Department heads and deans shall submit all letters of evaluation that are submitted to them.”

Chapter 3.11.H (4th paragraph): This procedure is not practiced at AU as outlined. It is practiced as suggested in the revised wording.

Current Wording:	Possible Revision:
“The procedure for promotion shall differ from that outlined above in one case: when a faculty member is hired at the assistant professor level but has had to be appointed as an instructor because the terminal degree was still in progress, he or she may be promoted to assistant professor once the terminal degree is completed. Such a promotion requires the recommendation of the department head, the concurrence of the dean and the Provost, and the approval of the President. It shall be effective at the beginning of the semester following completion of the terminal degree.”	“The procedure for promotion shall differ from that outlined above in one case: when a faculty member is hired at the assistant professor level but has had to be appointed as an instructor because the terminal degree was still in progress, he or she (if continued) will be promoted to assistant professor at the beginning of the following Academic Year after the terminal degree is completed.”

Chapter 3.14 (6th paragraph): Explicitly allow the addition of new material to be added to the dossier for the appeals process when appropriate.

Current Wording:	Possible Revision:
“A faculty member who contends unjust denial of promotion or tenure may choose to discuss the reasons for denial and the appeals process with the Provost. Appeals should be made in writing to the Provost through the department head and dean within 14 calendar days of the date of the faculty member's receipt of written notification of denial.”	“A faculty member who contends unjust denial of promotion or tenure may choose to discuss the reasons for denial and the appeals process with the Provost. Appeals should be made in writing to the Provost through the department head and dean within 14 calendar days of the date of the faculty member's receipt of written notification of denial. The written request should include any relevant new material (not included in the original dossier) for the appeals committee consideration.”

Suggested Change to the P&T Committee Structure

Chapter 2.3 (Paragraph on Promotion and Tenure Committee): Change the committee structure so that each college/school has at least one representative on the committee.

Current Language:	Possible Revision:
Promotion & Tenure (President): The Promotion and Tenure Committee shall consist of the Provost as chair and eleven faculty members, at least nine of which will be tenured faculty. The faculty members will be from the tenure-track faculty, the clinical faculty, or the research faculty. Non tenure-track clinical faculty members and non tenure-track research faculty members will not vote on tenure. Any academic year in which there is no clinical faculty member on the committee, a resource person for the clinical track will be appointed as a standby member of the committee. Any academic year, in which there is no research faculty member on the committee, a resource person for the research track will be appointed as a standby member of the committee. The resource person for the clinical track will be a faculty member holding the rank of professor who is in the clinical track, or in the event that no professor in the clinical track is available to serve on this committee, the resource person will be a tenured faculty member who works in a department or school that has clinical track faculty. The resource person for the research track will be a faculty member holding the rank of professor who is in the research track, or in the event that no professor in the research track is available to serve on this committee, the resource person will be a tenured faculty member who works in a department or school that has research track faculty. The three new faculty members coming onto the committee each year shall be appointed by the President of the University from a list of four nominees provided by the Senate Rules Committee. Each standby faculty member shall be appointed by the President of the University from a list of two nominees provided by the Senate Rules Committee. In cases in which the President is unable to complete the staffing of the committee from the list of nominees provided by the Rules Committee, the President may require the Rules Committee to nominate additional faculty	Promotion & Tenure (President): The Promotion and Tenure Committee shall consist of the Provost as chair and twelve faculty members, at least one from each college/school and at least nine of which will be tenured faculty. The faculty members will be from the tenure-track faculty, the clinical faculty, or the research faculty. Non tenure-track clinical faculty members and non tenure-track research faculty members will not vote on tenure. Any academic year in which there is no clinical faculty member on the committee, a resource person for the clinical track will be appointed as a standby member of the committee. Any academic year, in which there is no research faculty member on the committee, a resource person for the research track will be appointed as a standby member of the committee. The resource person for the clinical track will be a faculty member holding the rank of professor who is in the clinical track, or in the event that no professor in the clinical track is available to serve on this committee, the resource person will be a tenured faculty member who works in a department or school that has clinical track faculty. The resource person for the research track will be a faculty member holding the rank of professor who is in the research track, or in the event that no professor in the research track is available to serve on this committee, the resource person will be a tenured faculty member who works in a department or school that has research track faculty. The three new faculty members coming onto the committee each year shall be appointed by the President of the University from a list of four nominees provided by the Senate Rules Committee. Each standby faculty member shall be appointed by the President of the University from a list of two nominees provided by the Senate Rules Committee. In cases in which the President is unable to complete the staffing of the committee from the list of nominees provided by the Rules Committee, the President may require the Rules

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members. Faculty members cannot serve in any regular administrative position including that of department head/chair at the time of their service on the committee. Tenure-track faculty members must be tenured and should hold the rank of professor; clinical faculty members should hold the rank of clinical professor; and research faculty members should hold the rank of research professor. The committee shall review departmental and school or college recommendations on candidates for promotion and tenure and make recommendations to the President. The Associate Provosts and Vice Presidents for Research and University Outreach shall serve as non-voting members. (14 members)	Committee to nominate additional faculty members. Faculty members cannot serve in any regular administrative position including that of department head/chair at the time of their service on the committee. Tenure-track faculty members must be tenured and should hold the rank of professor; clinical faculty members should hold the rank of clinical professor; and research faculty members should hold the rank of research professor. The committee shall review departmental and school or college recommendations on candidates for promotion and tenure and make recommendations to the President. The Associate Provosts and Vice Presidents for Research and University Outreach shall serve as non-voting members. (15 members)
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