

**Proposed revisions**  
**SCHOOL OF PUBLIC POLICY & ADMINISTRATION**  
**CRITERIA AND PROCEDURES FOR PROMOTION AND TENURE**  
**Approved March 2017**

The School of Public Policy and Administration (SPPA) provides undergraduate and graduate education, research, and public service in the fields of disaster science and management, leadership, public administration, and urban affairs and public policy. SPPA fosters responsible, effective, and socially-concerned scholars and professionals. Consequently, SPPA has responsibilities for the development, synthesis, dissemination, and application of interdisciplinary knowledge concerning urban phenomena, public administration, public policy, leadership, and disaster science and management. A faculty with a wide range of academic backgrounds, intellectual interests, research skills, and professional experience is required to carry out these multifaceted missions. This diversity in the faculty must be reflected in the criteria utilized in evaluations for appointment, promotion, and tenure so that distinctive individual contributions and differences in faculty roles and responsibilities are accommodated.

**PART I: GENERAL ASSUMPTIONS**

All faculties are expected to maintain a standard of excellence in undergraduate and/or graduate teaching, scholarship, and service. The following assumptions have been utilized in formulating criteria for appointment, promotion, and tenure:

- Demonstration of excellence in teaching extends beyond performance in regularly scheduled courses and academic advisement, and may also include other activities that contribute to instructional excellence--such as supervision of students in areas of specialization, internships, theses and dissertations, special problems, undergraduate and graduate research, instructional program assessment, as well as course and curriculum development.
- The interdisciplinary nature of SPPA requires recognition of collaborative efforts in teaching, research, public, professional and University service, and recognition of a variety of outlets for publication and scholarship.
- By virtue of its professional and policy orientation, SPPA recognizes the value of applied research as well as more traditional modes of scholarship.
- The mission of SPPA creates special responsibilities to support efforts and activities that assist individuals, communities, and public, private, nonprofit and community organizations and agencies.
- The candidate shall specify the workload allocations for the years since the initial appointment or the previous promotion. This should be verified in

the Director's evaluation of the candidate. There must be consistency between a candidate's workload assignments and the evaluation of the candidate for purposes of promotion and tenure.

### Teaching

For promotion to either associate or full professor, evidence must be presented which demonstrates a high level of performance in teaching and indicates a substantial contribution to the instructional program of SPPA. Efforts to facilitate the multidisciplinary character of the instructional program are encouraged. The assessment of a candidate's contribution extends beyond formal, regularly-scheduled courses and academic advising, and includes: (1) supervision of students in more personalized learning activities (e.g., supervision of internships, theses, dissertations, special problems, undergraduate and graduate research, and areas of specialization), (2) instructional programmatic assessment, and (3) course and curriculum development. Planning, conducting, and teaching study-abroad trips is a recognized teaching activity. The faculty member is expected to foster the academic, professional, and scholarly development of students in activities which may extend beyond the scope of formal instruction. Indicators of a candidate's contribution will be drawn from a variety of sources which may include, but are not limited to, course evaluations, colleague evaluations, and solicited assessments by students who have been instructed by the faculty member in regular courses and by those who have worked with her or him in more individualized activities.

The broad domains of activity are identical for candidates being considered for promotion to either associate or full professor. Overall, SPPA expects candidates for promotion to the associate rank to have provided evidence of high-level performance in teaching-related activities and to have shown potential to continue to make contributions to SPPA. Candidates for promotion to full professor are assessed on their cumulative records towards the goal of consistent, high-quality teaching and substantial leadership in various facets of SPPA's academic programs. There is no single pattern of contribution that is required of all candidates. The nature and extent of involvement and leadership in different instruction-related activities will likely vary among faculty; the criterion commonly applied to all is that of demonstrating a continued contribution to the educational program.

### Scholarship

Significant scholarly contributions (i.e., the development and dissemination of knowledge) are expected from members of the faculty of SPPA at every rank. Because SPPA faculty is intentionally composed of individuals representing a range of academic and professional disciplines, their styles of scholarly activity and publications may vary widely. Further, interdisciplinary and collaborative efforts can be highly productive in basic or applied social scientific work, and joint research projects and publications are appropriate to the goals of SPPA.

Faculty engaged in applied research are encouraged to make their findings and conclusions available to non-academic professionals, community groups, and others who might benefit from them. Therefore, in addition to making their work available through traditional scholarly channels, members of the faculty are encouraged to disseminate their work more widely and to include in their promotion dossiers evidence of broad communication of the results of their professional work.

As a general procedure, research and scholarship of faculty will be judged on their quality, quantity, and contribution as attested to by: (1) publications in books, monographs, and refereed articles, (2) the evaluation of external reviewers queried as part of the promotion process, and (3) evaluation by colleagues within the University. Where contributions appear primarily in reports distributed by SPPA or in other non-refereed publications, the Promotion and Tenure Committee will assume responsibility to obtain appropriate external review.

### Service

The University, the professional world, and the community can be enhanced by the application of knowledge, expertise, and interests through service activities. These types of involvements are expected of all SPPA faculty members. For purposes of evaluating service, the SPPA Promotion and Tenure Committee will look to three general categories of service activities: 1) SPPA, College, and University, 2) professional, and 3) public. Some record is normally expected in each of these categories, but it need not be equally extensive in all. In this way, the differing strengths and inclinations of faculty and the variety of service responsibilities in the programs of SPPA can be accommodated.

SPPA, College and University service is required of all members of the faculty to ensure the discharge of responsibilities for setting and administering of criteria for admissions of students, granting of degrees, promotion of faculty, protection of academic freedom, recruitment of faculty and academic administrators, peer evaluation of individual faculty members and of academic units, etc. SPPA recognizes the importance of faculty participation in these activities and expects that faculty at all ranks will serve on SPPA, College, and/or University committees and that the faculty, particularly those with tenure, will accept responsibility for organization and leadership among their colleagues.

Professional service activities benefit scholarly societies and disciplinary professional associations in a manner analogous to SPPA, College, and University service. SPPA recognizes the importance of faculty contributing to organizations that provide forums (meetings, newsletters, journals, etc.) for presentation and exchange of research results, theoretical and methodological innovations, outcomes of applied research and social experiments, and analysis and critique of public policies. Service to professional organizations may take the form of roles such as board member, editor, reviewer, and committee member. Accordingly, SPPA encourages faculty membership

and active participation in professional organizations.

The mission of SPPA includes a responsibility to serve the public by providing support and assistance to individuals, communities, and organizations. These forms of support and assistance include but are not limited to: technical assistance, community organization, education, organizational leadership, publications, and data collection and analysis. Faculty contributions to these and other programmatic efforts are encouraged and may be manifested in such things as public policy forums, specific short-term projects for research, program evaluation, professional consultation, assistance to community organizations, organization of training workshops, or other forms of technical assistance to public, private, nonprofit and community organizations and agencies.

The quality, quantity, and impact of service activities should be determined by review of written material and other evidence directly available to the committee, as well as through evaluations solicited by the committee from the candidate's peers and the recipients of services.

## **PART II: CRITERIA FOR PROMOTION**

### **CRITERIA FOR APPOINTMENT OR PROMOTION TO ASSISTANT PROFESSOR**

Apart from earning the doctorate or other appropriate terminal degree, the primary requirement is the demonstrated ability and desire to achieve excellence in scholarship and teaching and to make positive contributions in all three areas. For this rank, past achievements are not as important as evidence of future growth and accomplishment.

### **CRITERIA FOR PROMOTION TO ASSOCIATE PROFESSOR**

#### **Promotion on the Tenure Track**

**Assistant Professor, tenure track:** Apart from earning the doctorate or other appropriate terminal degree, the primary requirement is the demonstrated ability and desire to achieve excellence in scholarship and teaching and to make positive contributions in all three areas. For this rank, past achievements are not so important as evidence of future growth and accomplishment.

**Associate Professor, tenure track:** Inasmuch as promotion within the University to this rank generally carries tenure--a binding commitment on the part of the University--the qualifications must be rigorous. At a minimum, the individual should show excellent achievement in scholarship and teaching and high-quality performance in all areas. Furthermore, there should be unmistakable evidence that the individual has progressed and will continue to do so. A mere satisfactory or adequate record as an assistant professor is not sufficient; there must be very clear indication, based on hard evidence and outside peer evaluations, that the candidate has in fact attained high levels of accomplishment.

**Professor, with tenure:** This rank is reserved for individuals who have established reputations in their fields and whose contributions to their profession and the University's mission are excellent. There should be unmistakable evidence of significant development and achievement in teaching, scholarship and service since the last promotion. Once again, the candidate's claim to have met these requirements must be thoroughly and completely documented by outside peer evaluations and other materials.

University employees with professional contracts who also hold faculty appointments in academic units are eligible for promotion without tenure and will meet the same criteria for promotion as do members of the unit who hold academic appointments.

**Promotion on the Continuing Track:** Faculty on the continuing track have a specific contracted primary area of responsibility (teaching, research or service). Promotion of CT faculty members is to be based on excellence in one role, aligned with the preponderance of assigned workload during the period at current rank. For promotion, CT faculty members will need to demonstrate at least high-quality performance in other areas presented in their workload.

**Assistant Professor (CT):** Apart from earning the doctorate or other appropriate terminal degree, the requirement for appointment as assistant professor is the demonstrated ability to achieve excellence in the primary contracted area of responsibility, with the determination to make positive contributions to the other areas. For appointment to this rank, past achievements must provide evidence of potential for future growth and accomplishment in the contracted areas of responsibility.

**Associate Professor (CT):** For CT faculty seeking promotion to associate professor, the individual must show excellence in the primary contracted area of responsibility. There should be unmistakable evidence that the individual has progressed in the primary contracted area of responsibility during the time as an assistant professor, and that the applicant will continue to make significant contributions. A merely satisfactory or adequate record in the primary contracted area of responsibility as an assistant professor is not sufficient to warrant promotion. There must be clear indications, based on convincing evidence and external evaluations, that the candidate has attained high levels of accomplishment in the primary contracted area of responsibility, and has also significantly contributed to the other area(s). When the predominant role is teaching or service, appropriate external evaluations can be performed locally, but should be external to the academic unit.

**Professor (CT):** The rank of professor is reserved for truly outstanding individuals who demonstrate a reputation in the primary contracted area of responsibility, and significant, high-level contributions in the other area(s) of the assigned workload since the last promotion. Demonstration of reputation generally requires strong evidence of significant levels of activity in the primary contracted area of responsibility. The candidate's claim to have met these requirements must be thoroughly and completely demonstrated by external evaluations and convincing evidence. When the predominant

role is teaching or service, appropriate external evaluations can be performed locally, but should be external to the academic unit.

## Teaching

### 1.0 Instructional Activity

In general terms, all faculties are expected to contribute to the development of the program curricula. Contributions may focus on curricular areas which relate either to particular degree programs or to specifications within degree programs of the SPPA. Faculty are expected to be able and willing to develop, offer, maintain, and enhance courses of instruction that are consistent with SPPA's needs in the undergraduate and graduate programs.

In addition to the formal course offerings and advising students regarding their programs and academic and professional goals, it is expected that faculty will interact with students in a range of educational activities which may include but are not limited to: supervision of research, areas of specialization, internships, theses and dissertations; and provision of independent studies course work.

### 2.0 Instructional Effectiveness.

The Promotion and Tenure Committee will utilize at least the following sources of information in determining the effectiveness of a faculty member in the instructional program:

- 2.1 Syllabi of all formally offered courses should be filed with the SPPA director for each term they are taught. The SPPA Promotion and Tenure Committee or an appointed subcommittee may evaluate these as part of the promotion process.
- 2.2 Student evaluations should be provided for all formally scheduled courses taught by faculty members.
- 2.3 The SPPA Promotion and Tenure Committee should solicit evaluations of non-scheduled instruction activities from students who have worked with the faculty member. In addition, the Committee may solicit assessments from faculty who have been in a position to evaluate the candidate's performance in regard to the above supervisory activities.

## Scholarship

### 1.0 General Responsibility

Faculty should have demonstrated the capacity to develop and carry out research and other scholarly activities. This requires evidence of significant past accomplishments. While publications are necessary, evidence of scholarly

contributions and other indicators of research and scholarship are also considered.

## 2.0 Publications

The SPPA Promotion and Tenure Committee will consider works already published or accepted for publication. These may include: books; monographs; articles; chapters in books, symposia or other collections; edited symposia or collections; book reviews in professional journals; and textbooks. Edited collections, proceedings, symposia, and textbooks will be weighed as scholarly contributions to the extent that they show evidence of originality in the selection, organization, integration, and interpretation of materials. It is understood that the publications may use a variety of outlets because of the interdisciplinary nature of SPPA. In addition, the Committee may consider work submitted for review but not yet accepted for publication as an indication of scholarly potential. If the candidate co-authors a publication, the candidate must stipulate the division of effort for the publication and the individual's contribution to the finished work.

## 3.0 Professional Papers and Programs

These may include papers presented at meetings of professional associations, lectures and colloquia, organization and development of scholarly symposia, and working papers.

## 4.0 Research Related to Public Service

A significant amount of SPPA work involves research and technical analysis in activities designed to address specific problems of public and nonprofit organizations or to improve their performance. Unpublished reports and other material of this type which a candidate for promotion wishes to submit as evidence of research activity will be considered and evaluated by the Committee and submitted for external review.

## 5.0 Research Development

This may include facilitation and development of a scholarly research program, contributions to research proposals, receipt of grants and contracts for research, management of research projects, and facilitation of the scholarly work of colleagues and students (e.g., technical assistance, review of manuscripts, or supervision of dissertations).

## 6.0 Awards and Fellowship

Awards and fellowships that entail outside peer review and evaluation are valuable indicators of recognition within an individual's field of scholarly endeavor.

## Service

### 1.0 General Responsibility

A demonstrated record of contributions to public, professional and University service is necessary for promotion from assistant to associate professor. The types of activities the SPPA Promotion and Tenure Committee will take into account include, but are not limited to, the following:

#### 1.1 Public Service

Participation in technical assistance, research, and other forms of aid to government, private, community, and other bodies related to the mission of SPPA are components of public service. Reports and other written materials that grow out of such activities may be considered a part of a candidate's service and/or scholarship record.

Public presentation of research results or other materials within a person's area of expertise constitute another form of public service. These may occur through a variety of media--in person, television, radio, film, or print--and a variety of formats--lecture, panel discussion, interview, or audience question-and-answer. Where possible, the text of these presentations should be included in the dossier. Whenever formal evaluations, such as reviews or audience surveys, are available, they are helpful. Otherwise, the SPPA Promotion and Tenure Committee will rely on peer evaluation.

#### 1.2 Professional Service

##### Organizational Leadership

Indicators include serving as an officer, committee chair, committee member, or program arranger for a professional or scholarly organization at the local, regional, national, or international level and peer evaluations of these activities.

##### Editorial and Other Peer Review

This type of professional service includes: reviews of manuscripts for journals or other publishers, appointments to editorial boards, service as editor of a journal, review of research or program grant proposals, and site visits for research or program evaluation.

### 1.3 SPPA, College and University Service

#### SPPA and College Service

Faculty have the responsibility for serving on standing and *ad hoc* committees of SPPA. In all cases, it is expected that committee and other administrative assignments undertaken will be appropriately discharged in a timely and responsible manner. The SPPA Promotion and Tenure Committee will rely on peer evaluations, committee reports, special studies, and other available evidence for assessing these contributions.

#### University Service

University service includes participation on Senate committees, committees of the AAUP, or advisory groups appointed by the President, Provost, Dean, or head of another unit outside of SPPA. Reports undertaken on behalf of the University, participation in University-wide forums or conferences, public lectures under University auspices, and advising student organizations are other examples of University service. The SPPA Promotion and Tenure Committee will seek evidence on the quality of University service.

## **PART III: PROCEDURES**

### 1.0 Authority of Committee

The SPPA Promotion and Tenure Committee shall be responsible for administering peer reviews, including two and four year reviews, and for making recommendations regarding promotion and tenure. The Committee may deal with other matters on an ad hoc basis when delegated the responsibility by the faculty or by the SPPA Director.

### 2.0 Composition of Committee

2.1 The Promotion and Tenure Committee of SPPA shall consist of five persons, all of whom shall be at least at the rank of Associate Professor. At least two members of the Committee shall be at the rank of Professor. At least three members of the Committee shall hold tenure-track appointments. The remaining members may hold appointments as Public Service Faculty or professional staff with secondary faculty appointments.

2.2 Terms shall normally be for two years, on a staggered basis. Elections shall take place at the end of the spring term, no later than February 28, with new Committee members taking office as of March 1.

- 2.3 Elections to the Committee shall be by secret ballot of voting members of the faculty, whose primary appointment are in SPPA, at a regular SPPA faculty meeting. A valid election shall require that two-thirds of the faculty members are present. The procedures for nominations and any other rules for the election shall be determined by the faculty.
- 2.4 Faculty members who are being considered for promotion or tenure shall be excused from serving on the Committee during that year.
- 2.5 Faculty members who are undergoing peer review or whose application for sabbatical leave will be reviewed shall not be excused from service, but these persons will not participate in deliberations or voting on their own cases.
- 2.6 The elected members of the Committee shall elect one of their members to serve as chair.

### 3.0 Dossier

The form of the dossier shall follow the University guidelines as set forth in the *Faculty Handbook*, Section III, K., 9.

### 4.0 Time Schedules

It is the responsibility of each faculty member who desires to be considered for promotion or tenure in a given academic year to initiate the process. The candidate must notify the Director of SPPA by March 15 of any given year. It is recommended that individuals wishing to be considered consult with the chairperson of the SPPA Promotion and Tenure Committee for advice concerning the preparation of dossiers. The dossiers of faculty who wish to be considered for promotion and/or tenure must be completed and presented to the chairperson of the SPPA Promotion and Tenure Committee by September 1 of any given year. The Director shall communicate this requirement to the faculty by December 1<sup>st</sup> of each year.

- 4.1 University policy specifies deadlines for submission of dossiers and for reporting Committee recommendations. In order to provide an orderly process for appeals, the following additional guidelines have been established:

**March 15** - Candidate notifies the Director of SPPA in writing of his or her intention to apply for promotion/tenure. The request is forwarded to the Chairperson of the SPPA Promotion and Tenure Committee who, with the

Committee and input from the candidate, will begin the process of soliciting peer reviews.

**April 15** - Candidate submits a curriculum vitae and a list of published and other materials deemed appropriate for review--as well as the names and addresses of persons who may be potential reviewers--to the Chair of the SPPA Promotion and Tenure Committee. The Committee begins the process of selecting external reviewers, the material to be reviewed, and securing the participation of the desired reviewers.

**September 1** - Candidate submits completed dossier to the Chair of the SPPA Promotion and Tenure Committee.

**October 1** - The dossier and the recommendation of the SPPA Promotion and Tenure Committee are forwarded to the Director of SPPA, and a copy of the Committee's recommendation is sent to the candidate.

**October 15** - The SPPA Director forwards the dossier and her or his recommendation to the College Promotion and Tenure Committee. Copies of the recommendations are sent to the candidate and the SPPA Promotion and Tenure Committee.

**December 1** - The College Promotion and Tenure Committee forwards the dossier and its recommendations to the Dean. Copies of the recommendations are sent to the candidate, the SPPA Promotion and Tenure Committee, and the SPPA Director.

**January 2** - The Dean forwards the dossier and a recommendation to the University Promotion and Tenure Committee. Copies of the recommendation are sent to the candidate, the SPPA and College Promotion and Tenure committees, and the SPPA Director.

**February 15** - The University Promotion and Tenure Committee forwards the dossier and its recommendation to the Provost. Copies of the Committee's recommendation are sent to the candidate, the SPPA and the College Promotion and Tenure committees, the SPPA Director, and the Dean.

**March 15** - The Provost forwards the dossier and her or his recommendation to the President for approval by the Board of Trustees. A copy of the recommendation is sent to the candidate. Should the Provost fail to support an application for promotion/tenure, the reasons for the decision will be given to the candidate; the SPPA, College, and University committees; the SPPA Director; and the Dean.

Appeals may be made by the candidate at every level (*Faculty Handbook*, Section III, K., 8)

## 5.0 Solicited Evaluations within SPPA

- 5.1 The chairperson of the SPPA Promotion and Tenure Committee shall solicit evaluations of the candidate's performance from all SPPA faculties at or above the rank being sought and will notify the entire School of Public Policy & Administration of the candidacy in order that anyone wishing to make comments may so inform the chairperson.
- 5.2 The chairperson of the SPPA Promotion and Tenure Committee shall solicit the written recommendation of the director of the academic program for which the candidate has primary responsibility.

## 6.0 Solicited External Reviews

- 6.1 A minimum of five (5) external reviews of a candidate's record shall be obtained. The qualifications of the reviewers should be made clear. Reviewers should submit a copy of their current curriculum vitae and describe their relationship with the candidate under review. The candidate will submit to the SPPA Promotion and Tenure Committee Chair a list of potential external reviewers who are experts in the candidate's area(s) of scholarship along with comments on the candidate's personal and professional connections with each potential reviewer. After reviewing the candidate's submitted list, the SPPA Promotion and Tenure Committee will develop and deliver to the candidate a list of additional potential external reviewers. The candidate shall review the additional names and send the Committee comments on his/her personal and professional connections with each potential reviewer (if there are any such connections). The candidate may request the removal of a potential reviewer if there is just cause. In such cases, the candidate bears the burden of demonstrating adequate cause. Although the candidate must be informed of all potential reviewers, the final selection is made by the Committee. Each selected reviewer shall be sent the following materials: 1) a letter requesting the review of the candidate's record of scholarship, 2) a copy of SPPA's Promotion and Tenure Guidelines, and 3) materials such as the candidate's vitae and publications to facilitate the reviewer's assessment.
- 6.2 In the event of appeal at the SPPA Promotion and Tenure Committee's or the SPPA Director's level, due process requires that the candidate be made aware of the specific basis of the decision. Consequently, the Chairperson of the College Promotion and Tenure Committee shall summarize the contents of confidential evaluations without reference to author and make them available to the candidate with names and any other identifying information redacted.

6.3 Each external review should be accompanied by the letter requesting the evaluation and a curriculum vitae or biographical statement describing the reviewer's credentials and relationship to the candidate. Insofar as reasonable, only reviewers without close, personal ties to the candidate should be selected.

## 7.0 Decision Processes

7.1 A decision to recommend a candidate for promotion and tenure shall require a simple majority of all persons eligible to vote in a particular case.

7.2 Voting may be by closed ballot; however, SPPA Promotion and Tenure Committee members shall have the right to reveal the nature of their votes.

## 8.0 Reporting Requirements

8.1 In accordance with University policy, the SPPA Promotion and Tenure Committee's statement of recommendations and decisions--which should indicate the numerical vote, describe the Committee's composition, and explain the reasons for the decision--must be transmitted in writing to the candidate and to other individuals and committees reviewing the dossier. When they arise, signed minority opinions may be forwarded as appendices to the Committee's recommendations.

8.2 In accordance with past SPPA practice, the way in which the SPPA criteria are applied to each case will be specified in the statement evaluating the candidate. This statement will summarize the evidence that was accepted as meeting the criteria and, if the candidate has not met the criteria, will inform the candidate as to what must be in the future to meet the criteria.

## 9.0 Effective Dates

The document entitled "Criteria and Procedures for Promotion and Tenure" approved by the faculty on 11/21/80 and revised on 9/25/81, 6/18/91, 12/11/91, 11/21/01, 11/19/08 and 5/13/16 shall constitute the full statement of criteria for promotion and tenure for all candidates submitting dossiers subsequent to approval by the University Committee on Promotion and Tenure and the Provost.