

UNIVERSITY OF HOUSTON-CLEAR LAKE
COLLEGE OF EDUCATION
Faculty Promotion and Tenure (old policy 2017)

2.0 FACULTY

2.2 Promotion and/or Tenure

(7/5/01, 7/8/02, 10/1/07, 6/26/15 & 8/1/16)

- 2.2.1 In accordance with University policy, faculty members undergoing mandatory review for promotion and/or tenure will be informed of this review by the Dean by the deadline published each year by the Provost. The faculty members will need to provide their portfolios for review by the appropriate published date.
- 2.2.2 Faculty members under consideration will meet as a group with the Department Chair and the Chair of the appropriate Promotion and Tenure Committee prior to the end of the preceding spring semester and will be informed of the timelines and guidelines for the review process, the dates of submission, and the composition of the vita and documentation.
- 2.2.3 By May 15th of the preceding semester, faculty members under consideration will submit a list of at least five external reviewers with a brief description of their professional expertise and complete contact information. The external reviewers may not have a close personal relationship with the faculty member and may neither have served on the candidate's dissertation committee nor have published as a co-author with the candidate. The committee may choose to meet with the faculty member to agree on at least three individuals from the submitted list who will serve as external evaluators.
- 2.2.4 By June 1st, the candidate will submit to the Department Chair at least the following materials, which will be forwarded to the external reviewers: five publications, a narrative describing how the enclosed materials are related to the candidate's scholarship, and a curriculum vitae. The candidate may also provide other evidence of scholarship and proficiency in teaching and service.
- 2.2.5 The Department Chair will send a cover letter and the candidate's packet to selected external reviewers by June 15th.
- 2.2.6 School-level review will follow the published time schedule and include an independent written review and recommendation to the Dean by the Department Chair and the Promotion and Tenure Committee. Criteria to be used in the review are those listed in the *Faculty Handbook (See page 6 of this document, '18-'19 Faculty Handbook excerpt)* and include: teaching and educational activities; research, scholarly and artistic activities; and professional service activities. The Dean will forward copies of both recommendations to the candidates, the Chair of the Promotion and Tenure Committee, and the Department Chair. [See 2.2.7.1 and 2.2.7.2 for procedures for faculty seeking promotion to full professor.]
 - 2.2.6.1 The recommended level of productivity in research and scholarly

activities for an untenured faculty member moving from assistant professor to associate professor can be addressed using the “5 + 3” formula. The five in this formula refers to the number of Category 1 publications that address the candidate’s research agenda produced within the probationary period. The three in the “5 + 3” formula refers to the candidate’s additional research and scholarly activities.

2.2.6.2 After receiving tenure and promotion to associate professor, a faculty member can undertake activities that count toward promotion to the highest faculty rank of professor. See 5.3.3.2 Standards for Professor in the *Faculty Handbook* (See page 6 of this document). UHCL does not have a specified period by which one must achieve the rank of full professor from associate professor. Note: The “5 + 3” formula that addresses a candidate’s research agenda could serve as a guide for a candidate to monitor progress promulgated through the annual review process, where feedback is received from the P & T Committee. For instance, if a candidate plans an eight-year period of incumbency, and guided by the “5 + 3” formula, one validated substantive product (that addresses the candidate’s research agenda) per year could serve as a trajectory for career advancement. However, meeting the “5 + 3” formula is no guarantee for promotion since the candidate must ensure that one’s productivity and quality of research and scholarly activities address section 5.3.3.2 in the *Faculty Handbook* (See page 6 of this document, '18-'19 *Faculty Handbook* excerpt).

2.2.7 Tenured faculty members wishing to apply for consideration for promotion from the rank of associate professor to full professor or non-tenured faculty seeking early consideration for promotion or tenure must inform the Dean in writing of their intent by April 15th of the preceding year. Timelines and procedures obtained from the Dean will follow those established for the mandatory review for promotion or tenure and will utilize the criteria presented in the *Faculty Handbook* (See page 6 of this document, '18-'19 *Faculty Handbook* excerpt).

2.2.7.1 In situations where an associate professor is being considered for promotion to full professor, and the department chair holds rank of associate professor, the evaluation duties will transfer to the Associate Dean or other full professor as designed by the Dean.

2.2.7.2 In situations where an associate professor is being considered for promotion to full professor, and the department does not have five full professors to consider the promotion application, then the Chair of the Departmental Promotion and Tenure Committee with the approval of the Department Chair will extend invitations to other full professors in the college to serve on the Departmental Promotion and Tenure Committee. If the Chair of the Departmental Promotion and Tenure Committee does not hold the rank of Professor, then the Department Chair and the Associate Dean will work together to select the Promotion Committee. If the Department Chair does not hold the rank of full professor, then the Associate Dean works to select the Promotion Committee. If there are still insufficient number of full professors, then section 5.3.4.1.2 in the *Faculty*

Handbook (See page 6 of this document, '18-'19 Faculty Handbook excerpt) will be followed. “If fewer than five faculty are eligible for the peer review committee, they will all be member, and faculty from appropriate related disciplines will be added to form a five-person committee. To find these additional members, the dean will consult with the candidate and with the eligible individuals from the candidate’s discipline.” The Promotion Committee selects the Chair of the Promotion Committee. In the case where committee membership includes full professors from outside the COE, the Chair must be from the College of Education.

2.2.7.3 The requirements for moving from associate to full professor - a need for an application, documentation, external reviewers and a review process - are consistent with those used for those moving from assistant to associate professor.

2.2.8 Giving consideration to the recommendations of both the Department Chair and the Promotion and Tenure Committee, the Dean will formulate a promotion/tenure recommendation utilizing the criteria listed in the *Faculty Handbook (See page 6 of this document, '18-'19 Faculty Handbook excerpt)*. This recommendation will be forwarded to the Provost in accordance with the published timeline, with copies sent to the candidate, Chair of the Promotion and Tenure Committee, and the Department Chair.

2.3 Promotion of Non-Tenured Faculty (2/26/14 & 6/26/15)

2.3.1 Non-tenured faculty are appointed on an annual basis, typically as clinical assistant professors or lecturers. Clinical faculty are those holding doctoral degrees, whereas lecturers do not hold doctoral degrees.

2.3.1.1 Non-tenured faculty typically have responsibilities weighted toward teaching. To be excellent in teaching, candidates for promotion must be unusually effective in all aspects of teaching included in the annual review: 1) teaching workload and educational activities, 2) student satisfaction, 3) course and program development, and 4) development activities related to teaching and educational activities.

2.3.2 After six years of exemplary service in the rank of lecturer, faculty may be considered for promotion to the rank of senior lecturer.

2.3.2.1 Standards for Senior Lecturer

Any candidate for promotion to senior lecturer is expected to be “excellent” in teaching. The candidate must also be rated at least “very good” in service.

2.3.3 After six years of exemplary service in the rank of clinical assistant professor, faculty may be considered for promotion to the rank of clinical associate professor.

2.3.3.1 Standards for Clinical Associate Professor

Any candidate for promotion to clinical associate professor is expected to

be “excellent” or “very good” with promise of becoming excellent” in teaching. The candidate must also be rated at least “very good” in service.

2.3.4 After six years of exemplary service in the rank of clinical associate professor, faculty may be considered for promotion to the rank of clinical professor.

2.3.4.1 Standards for Clinical Professor

Any candidate for promotion to clinical professor is expected to be “excellent” in teaching. The candidate must also be rated at least “very good” in service.

2.3.5 Decisions concerning promotion of non-tenured faculty are the prerogative of the Dean, in consultation with the appropriate Department Chair, Program Coordinator, and the Associate Dean.

2.5.7.1 Sources of Evidence for Research and Scholarly Activities

Publications (i.e., books, chapters, journal articles, invited publications, reprints, etc.) must reflect scholarly rigor by including a survey of related literature as well as demonstrating critical and novel thinking about the subject. Additional indicators may be included such as research awards, invitations for presentations/publications and commendations. Include a copy of the invitation for presentations/publications and make a case for the category. Scholarly rigor is defined as: works based on empirical and theoretical studies that include activities such as design, analysis, and evaluation of professional practices in education. It includes critical, historical, comparative, philosophical, ethnographic, or methodological theory, analysis and interpretation. Scholarly rigor could also include citations of a faculty member's previously published work.

2.5.7.2 Within each category individual activities may provide significant contributions to warrant the assignment of additional points. For example, scholarly books or major funded research projects may be assigned 16 points based on quality indicators provided by the faculty as they make the case for awarding additional points. Faculty may submit documentation establishing that items normally falling within a given category should be considered in a higher category. With the inclusion of a copy of the invitation for the presentations/publications, faculty members may receive 1 additional point.

Category 1: (A minimum of 4 points will be assigned for each of the sources.) Peer reviewed books, peer reviewed book chapters, international/national refereed journal articles, grants (externally funded with research component - \$25,000 and above, role of PI or Co-PI, or significant contribution as documented).

Category 2: (A minimum of 3 points) Edited books, book chapters, international/national refereed conference presentations, international/national non-refereed journal articles, international/national peer reviewed conference proceedings, peer reviewed regional/state journal publications, invited publications (provide a copy of the invitation), a national accreditation program report, editorships (editor/associate editor), and grants (externally funded - \$10,000 less than \$25,000, role of PI or Co- PI, or significant contribution as documented).

Category 3: (A minimum of 2 points) Monographs*, book reviews, international/national non- refereed published conference proceedings, regional/state conference presentations, critical reviews of research, article reprints, externally funded grants (applied for and denied, role of PI or Co-PI, or significant contribution as documented) technical reports** and grants (externally funded - \$2,500, less than \$10,000, role of PI or Co- PI, or significant contribution as documented).

Category 4: (A minimum of 1 point) Assessment instruments, local conference presentations, local journal publications, editorial boards, citations of previously published works, editorials, internally funded grants (not travel), and grants (externally funded - less than \$2,500, role of PI or Co-PI, or significant contribution as documented), grants (externally funded and housed at an external institution or agency).

* Monographs are defined as works of at least 10 pages formally printed by a professional organization or publisher.

** Technical reports are defined as works generally tied to research projects,

These, for example, are generally submitted to funding agencies to satisfy reporting requirements.

Excerpt from Faculty Handbook 2018-2019

5.3 UHCL PROMOTION AND TENURE

Approved by University Council January 20, 1994

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1.0 Policy Overview

2.0 Definition

3.0 Probationary Period

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7.0 Promotion and Tenure Review Process

8.0 Promotion and Tenure Schedule

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5.0 Professorial Responsibilities and Activities

Faculty members will be expected to meet the highest standards of their discipline within the three traditional areas of professorial responsibility: Teaching and Educational Activities; Research, Scholarly, or Artistic Activities; and Service. No other distinct criteria or standard shall be assessed independently or as part of the three areas of responsibility described in this section 5.0.

5.1 Teaching and Educational Activities

5.1.1 Teaching consists of direct involvement with students inside or outside the classroom. It includes classroom instruction and seminars, supervision of independent study and graduate research, and direction of graduate theses and dissertations. All university professors are expected to incorporate new knowledge into their courses on a continuing basis.

Documented evidence of teaching expertise may include but is not limited to: student evaluations, course syllabi, letters, or solicited opinions.

5.1.2 Educational activities include, but are not limited to, the development of new curricula, new courses, new degree programs and new training programs; the writing of textbooks and educational publications; presentations about teaching at professional meetings; and technology transfer or dissemination.

5.2 Research, Scholarly, or Artistic Activities

5.2.1 Research, scholarly or artistic activities are those which lead to the creation and dissemination of new knowledge; to increased problem-solving capabilities, including such activities as design and analysis; to original critical or historical theory and interpretation; or to the production of art or artistic performance.

5.2.2 Evaluation of competency in scholarly and artistic activities must include records of accomplishments (i.e. published or in press material [either proof of final acceptance, off-print, or paper copy of an electronic publication], commissions, exhibitions, inventions, awards, grants, etc.) and letters of evaluation from those knowledgeable in the candidate's area of scholarship, both inside and outside the university.

5.3 Service

5.3.1 Service includes: 1) service to professional organizations and journals; 2) service to the program, college, university, and system; and 3) service to the public.

5.3.2 Service is the application and dissemination of knowledge or skill for the solution of problems and the improvement of the university, the profession, or the community. Service to the university in support of its activities is required of all UH-Clear Lake faculty members.

6.0 Criteria and Standards for Promotion and Tenure

The basic criteria and standards for promotion and tenure reflect the University's commitment to academic excellence. Candidates for promotion or tenure at any level shall be judged solely in the three traditional areas of professorial responsibility: Teaching and Educational Activities; Research, Scholarly, or Artistic Activities; and Service. The comparative scale shall be: "poor", "less than satisfactory", "satisfactory", "very good", and "excellent". The scale may be adjusted to include "very good with the promise of becoming excellent" for candidates for promotion to associate professor with tenure.

6.1 Standards for Associate Professor with Tenure

Any candidate for promotion to associate professor with tenure is expected to be "excellent" or "very good with the promise of becoming excellent" in at least one of the three areas of evaluation. The candidate must also be rated at least "very good" in a second of the three areas and "satisfactory" in the third one. In addition, each candidate must be at least "very good" in "Teaching and Educational Activities" (Section 5.1).

Any deviation from the standard expectations in 5.0 for a candidate for associate professor must be well documented in a letter, on university letterhead, that outlines the conditions and expectations and is signed by the dean of the school and the faculty member. This letter is to be placed in the candidate's school-level personnel file and may be used by the candidate in compiling their Promotion and Tenure materials.

6.2 Standards for Professor

6.2.1 To be promoted to professor, candidates must have state, regional, or national reputations. This reputation may be achieved in any of the three areas of professorial responsibility. Candidates must also be "excellent" in either "Teaching and Educational Activities" or "Research, Scholarly, or Artistic Activities" and at least "very good" in the other two areas (i.e. teaching and service or scholarly activity and service).

6.2.2 To be excellent in "Research, Artistic, or Scholarly Activities", candidates must have made substantial, outstanding, and continuing contributions to their professions.

6.2.3 To be excellent in Teaching, candidates must be unusually effective in all the traditional aspects of university teaching applicable to their disciplines: classroom instruction and seminars, supervision of independent study and graduate research, as well as the directing of graduate theses, dissertations, or other capstone activities.

6.2.4 Excellence in Teaching should also include distinction in educational activities (defined in 5.1.2), but it cannot rest upon educational activities alone