

## UHCL ACADEMIC AFFAIRS POLICY (UAAP)

**SECTION:** Academic Affairs

**UAAP Number:** \_\_.\_\_.\_\_

**AREA:** General

**SUBJECT:** Promotion and Tenure

---

### I. PURPOSE

A tenured appointment is an indefinite appointment that can be terminated only for cause or under extraordinary circumstances such as financial exigency and program discontinuation. Tenure is awarded by the Chancellor of the University of Houston System, in the normal course of promotion and tenure review, upon recommendation of the President, under the authority delegated by the Board of Regents and upon the basis of recommendations within the colleges by the peer review committee, the Department Chair, the Dean, and at the university level by a university promotion and tenure committee including the Provost. Tenure is awarded on the basis of Teaching, Research, and Service excellence, consistent with the mission of the university. The promotion and tenure policy provides procedures that relate to renewal or non-renewal of appointments, tenure, and promotion.

### II. DEFINITIONS

#### 2.1 Appointment

Appointment is defined as the employment of an individual in a given capacity for a specified time period. Faculty appointments are made following procedures developed at the university and which have been approved by the Chancellor. Appointment letters must be approved by Academic Affairs (AA) and Human Resources (HR), and must follow standard forms as adopted by AA and HR. Prior approval of the President or Senior Vice President for Academic Affairs and Provost as designee is required before any faculty appointment with tenure can be recommended to the Chancellor. In addition, no person shall be appointed to the position of Dean, or equivalent, or Vice President, or equivalent, without prior consultation with the Chancellor and in accordance with Board of Regents Policy 57.10. No administrator may be given faculty status or tenure without a review and recommendation by the program unit involved.

#### 2.2 Substitutions for Department Chair

For a candidate who seeks a review to a rank higher than that of their Department Chair, the Associate Dean of the college will serve in that capacity in consultation with the Department Chair. For a candidate who seeks a review to a rank higher than that of both their Associate Dean and Department Chair, the Dean of the college will appoint a designee to serve in consultation with the Department Chair.

### 2.3 The Promotion and Tenure Document

The Promotion and Tenure Document is the information that the candidate seeking promotion and/or tenure submits summarizing her/his case for promotion and/or tenure. It consists of the following items:

- 2.3.1 A formal request for promotion and/or tenure in the university. (For Associate Professors reapplying for Professor see section 9.0)
- 2.3.2 A full and complete copy of the applicable department/college promotion and/or tenure criteria against which the candidate plans to be assessed.
- 2.3.3 Written notifications from the Dean of any approved extensions of the probationary period.
- 2.3.4 Annual evaluations from the Department Chair for each year during the evaluative period (e.g. the probationary for Assistant Professor promotion to Associate Professor).
- 2.3.5 Letters from the Third-Year Review peer committee and Department Chair (only for promotion to Associate Professor).
- 2.3.6 A current curriculum vita.
- 2.3.7 A narrative of the candidate's case for promotion and/or tenure. This material should be organized under the three categories of professorial responsibility: (1) Teaching and Educational Activities, (2) Research, Scholarly, or Artistic Activities, and (3) Service.
- 2.3.8 Item 7 may total no more than the lesser of 7,500 words or fifteen pages. Many Promotion and Tenure Documents by successful candidates are frequently much shorter than fifteen pages.
- 2.3.9 Additional material required by the college or department.
- 2.3.10 Appendix material: supporting materials must include Dean-provided copies of all teaching evaluations administered by the university (quantitative and qualitative) in the probationary period for those going up for promotion and/or tenure to associate professor and all since awarding of tenure for those seeking promotion to full professor. Supporting materials may also include but are not limited to: course summaries, published research, research summaries, artistic products, etc.

### 2.4 The Promotion and Tenure File

The Promotion and Tenure File consists of the Promotion and Tenure Document and the following items that are added during the review process:

- 2.4.1 The UHCL Promotion and Tenure form showing the recorded votes and recommendations.
- 2.4.2 Letters of evaluation by external reviewers, copies of letters soliciting the reviews and brief statements of the reviewers' qualifications.
- 2.4.3 The votes and recommendations of both the Peer Review Committee (PRC) and Department Chair.
- 2.4.4 A candidate rebuttal or letter of information (optional).
- 2.4.5 The recommendation of the Dean.
- 2.4.6 A candidate rebuttal or letter of information (optional).
- 2.4.7 The recommendation of the Provost on behalf of the University Promotion and Tenure Committee (UPTC).
- 2.4.8 The recommendation of the President.

### 2.5 Candidate Rebuttal Letter

A rebuttal or letter of information is an opportunity for the candidate to (a) challenge assertions or conclusions in the file or (b) report the acceptance or publication of a work of printed scholarship or the awarding of a grant. The letter and supporting evidence will be added to the candidate's Promotion and Tenure File and will be given full consideration at all subsequent stages of the promotion and tenure process. The letter and supporting evidence may not exceed fifteen pages in total, although it may reference additional items with instructions as to where and how they may be inspected. Rebuttal or letters of information may be submitted after the review of the Department Chair and after the review by the Dean.

### 2.6 Conflict of Interest

A conflict of interest can occur when an evaluating party could realize personal, financial, professional, or other gain or loss as a result of the outcome of the P&T process, or when the objectivity of the evaluating party could be impaired by virtue of the relationship or current/previous human resource investigations. The specific nature of the conflict of interest should be noted in a written statement by the candidate or evaluator to the Provost. If the Provost determines that the process would be compromised by the participation of the individual with a conflict of interest, that faculty member must recuse him or herself from participation in that particular case. The Provost will notify the Dean of the College and the Faculty Senate President if a determination is made that a member of the evaluating parties will be removed from the promotion and/or tenure process.

Conflicts of interest must be addressed in the Spring semester when the promotion and tenure process begins. Documentation of the conflict of interest should be submitted to the Provost on or before May 1.

## III. PROBATIONARY PERIOD

The probationary period is defined as the time an untenured faculty member is eligible to work towards tenure. The maximum duration of this period, as set forth in the letter of appointment of each faculty member, shall be no more than four years for persons hired at the rank Professors or Associate Professors, and six years for Assistant Professors.

### 3.1 Initiation of Probationary Period

The standard probationary period begins at the start of the fall semester of the appointment. If a faculty member begins employment between January 1 through August 31, the partial academic year shall not count as part of the probationary period.

### 3.2 Length of Probationary Period for Assistant Professors

The maximum probationary period for a faculty member appointed as an Assistant Professor is the equivalent of six (6) years of full-time service. The length of the probationary period may be adjusted due to credit for prior full-time collegiate level teaching. The minimum duration of the

probationary period shall be three years for persons hired at the rank of Assistant Professor. If the probationary period is shortened as a condition of the appointment, it shall be approved by the Provost and accepted by the President as articulated in the letter of appointment for the faculty member. In the spring semester of the fifth year of the probationary period, the faculty member will be notified in writing by the Dean's office that the final and mandatory review for tenure will take place in the sixth year of the probationary period. The faculty member has the responsibility to request or decline review by the end of the spring semester of the fifth year of the probationary period as outlined in the published schedule found on the website of the Provost. The faculty member's decision to become a candidate for promotion and tenure should be submitted in writing to the Dean. If a faculty member declines review in the sixth year, such declination will be deemed to be a resignation effective at the end of the probationary period. Should the candidate fail to obtain tenure by the end of the probationary period the faculty member will be terminated after one additional year of service, during which the faculty member will not be considered for tenure.

All Assistant Professors who are retained through their probationary period and who apply for tenure and promotion from Assistant to Associate Professor will be reviewed in the sixth year of the probationary period. In rare and exceptional cases, however, candidates who believe that they have achieved a truly outstanding record earlier in their career may request to the Provost the opportunity to apply for promotion and tenure in the fourth or fifth year at UH-Clear Lake. Should the candidate be granted an early review during their fourth or fifth year and fail to earn promotion and tenure during the review, the faculty member will be terminated after one year of additional service, during which the faculty member will not be considered for tenure.

### **3.3 Length of Probationary Period for Associate Professors or Professors without Tenure**

A faculty member appointed without tenure at the rank of Associate Professor or professor shall normally serve a probationary period no less than two years and not to exceed four years. In the spring semester of the third year of the probationary period, the faculty member will be notified in writing by the Dean's office that the final and mandatory review for tenure will take place in the fourth year of the probationary period. In cases of perceived exceptional merit, an Associate Professor or Professor may choose to apply for consideration for tenure at the end of their second year. It is the faculty member's responsibility to request or decline review in the fourth year of the probationary period. If a faculty member declines review in the fourth year, such declination in writing will be deemed to be a resignation effective at the end the probationary period. Should the candidate fail to obtain tenure by the end of the probationary period, the faculty member will be terminated at the end the probationary period.

### **3.4 Length of time for Promotion to Professor**

A minimum of three years in rank is required in order to be considered eligible for promotion from Associate Professor with tenure to Professor. An Associate Professor with tenure seeking Professorial rank must notify the Dean of his/her intentions by the time specified in the published schedule found on the website of the Provost. An example of this minimum timeline would be: A faculty member is promoted to the rank of Associate Professor on 9/1/22. That

faculty must complete three years in the rank of Associate Professor (22-23; 23-24; 24-25) and can submit materials in the spring of their third year (Spring 25) to undergo review in their fourth year (25-26) for potential appointment as a full professor.

A candidate can make a request to the Provost to be reviewed with fewer than three years in rank as an Associate Professor with tenure in rare and exceptional circumstances.

### 3.5 Extending the probationary period

Extensions to the probationary period may be granted upon formal written request by the faculty member with written recommendation of the Dean and Provost, and final written approval by the President. Documented extensions to the probationary period are also referred to as 'stopping the clock'.

- 3.5.1 Timing. Extensions are usually for one year, but a longer period may be requested in compelling circumstances. Any extension greater than one year must be recommended by the Dean and Provost and approved in writing by the President. The stop-the-clock period will be excluded from the probationary period and the probationary period will be extended accordingly.

Faculty members who intend to request an extension of the probationary period are encouraged to do so as early as the situation arises.

- 3.5.2 Qualifying Circumstances. Circumstances for which a faculty member may request an extension to the probationary period include, but are not limited to: the birth or adoption of a child; responsibility for managing the illness or disability of an immediate family member, parent or partner; serious persistent personal health issues; death of a parent, spouse, child, or domestic partner; military service; and significant delays in fulfillment of UHCL resources committed in the appointment letter.

Not having met Teaching, Scholarship, and Service expectations during a previous review period does not qualify as an extenuating circumstance for extension of the probationary period.

- 3.5.3 This policy is separate and distinct from any terms and conditions outlined in the Faculty Development Leave policy. Nor does it affect any existing policy or policies relating to faculty leave.

## IV. REVIEWS DURING THE PROBATIONARY PERIOD

### 4.1 Annual Performance Review

Every tenure-track faculty member will undergo an annual performance review conducted by the Department Chair according to College procedures. Included in the Department Chair's annual evaluation of all untenured faculty shall be a statement from the chair summarizing the individual's cumulative progress towards obtaining tenure.

The annual performance review and the included feedback do not imply a specific commitment to future university action in promotion and tenure.

#### **4.2 Third-Year Review of Assistant Professors**

All candidates for tenure shall receive a third-year review of their progress towards tenure and promotion in the spring of their third year of the probationary period. The third-year review of Assistant Professors will be coordinated by the Dean.

Reviews will be conducted during the third year of the probationary period unless the candidate and Dean negotiate a different timeline for review. Written documentation of such an agreement shall be placed in the candidate's personnel file with a copy provided to the Provost and the candidate.

##### **4.2.1 The third-year review of Assistant Professors will include written review of:**

4.2.1.1 Current strengths and opportunities for improvement of the tenure-track faculty member in the areas of Teaching and Educational Activities; Research, Scholarly, or Artistic Activities; and Service. Only the areas used to judge a candidate for promotion and tenure as described in section 5.0 Professional Responsibilities and Activities and the appropriate department or college criteria listed in the relevant bylaws shall be used in the third-year review of the tenure-track faculty member.

4.2.1.2 Progress toward tenure and promotion. In cases where progress is not occurring in one or more of the areas noted above, the Third-Year Review Committee (TYRC) is expected to provide suggestions for strengthening the faculty member's candidacy in the identified area(s).

The third-year review process is similar to a promotion and tenure review. Its purpose is to provide guidance to the tenure-track faculty member regarding future directions and activities. To provide the most effective and clear feedback, the Dean and the chair of the TYRC are responsible for communicating to the individual the review's assessments and recommendations for future directions. The faculty member will receive copies of all assessments and recommendations at least one week prior to the meeting with the Dean and chair of the peer review committee.

The third-year review's recommendations and findings do not imply a specific commitment to future university action in promotion and tenure.

#### **4.3 Third-Year Review Procedure**

4.3.1 All designated third year faculty will be informed by the Dean of the guidelines of this process, the dates for submission and the composition of their vita and documentation. Participating third year faculty will be asked to submit a current curriculum vita and documentation of all activities and publications (including those in press) relating to teaching, scholarship and service during the period of review or as indicated in the offer letter. The faculty

member may also discuss projects and papers in progress. The documentation should be organized under the three areas of professorial responsibility: Teaching and Educational Activities; Research, Scholarship or Artistic Activities; and Service. No external letters shall be solicited for this review.

4.3.2 Timing for election of the TYRC. The TYRC will be formed in the fall semester preceding the spring semester review period.

4.3.3 Qualifications. Candidates for third-year review must be reviewed by a committee of their peers. The TYRC will consist of those tenured faculty in the same academic program as the candidate; their rank must be equal or higher than the rank requested by the candidate. The committee must include a minimum of five faculty members.

4.3.4 Selection Process. If more than five faculty are eligible for the committee, they will decide: (1) to act as a committee of the whole or (2) to elect from among themselves a review committee.

If fewer than five faculty from within the academic program are eligible for the TYRC, faculty from the department, appropriate related disciplines, or academic programs from across the university will be added to form a five-person committee. These additional members will be identified by the candidate and shared with the TYRC. The candidate must include the name, rank, discipline, and a justification for each of the nominees. The initial TYRC members will forward the candidate's information to the Dean with their recommendations. At that point, the Dean will make the selection however, prior to finalizing the members on the committee, the Dean will consult with the candidate and with the eligible individuals. The final membership of the TYRC will be communicated in writing to all parties in the review process.

4.3.5 The review committee members are charged with the responsibility of assessing whether the candidate has demonstrated adequate progress toward promotion and tenure in each of the three areas of professorial responsibility outlined in Section V and the appropriate department or college criteria listed in the relevant bylaws. In cases where adequate progress is not seen, recommendations on steps to address performance should be included.

4.3.6 The vita and documentation will be reviewed by the TYRC. The committee will submit its written report and recommendations with the candidate's documentation to the Department Chair. The Department Chair will complete her/his review of the candidate and forward both written reports to the Dean.

4.3.7 The Dean will examine the faculty member's documentation and vita, review the reports from the TYRC and Department Chair and develop recommendations. The Dean will be responsible for communicating in written and verbal form, the results of the review process and the assessment of the faculty member. This assessment will include discussion of the strengths and weaknesses of the faculty member's current activities, suggested actions for strengthening the faculty member's candidacy and general comments on the format and documentation. This communication should provide feedback to guide the future directions of the tenure-track faculty member, with the understanding that the purpose of the review is to help the faculty

member in his/her professional development. The Dean and the chair of the peer review committee will meet together with the candidate under review by May 31 of the third year and provide feedback and copies of all assessments.

#### **V. PROFESSORIAL RESPONSIBILITIES**

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. While examples of activities assessed are listed in sections 5.1-5.3, the standards of acceptable performance and criteria to earn promotion and tenure are established in either department or college bylaws.

Candidates seeking tenure or promotion and tenure to Associate Professor may choose to be considered according to criteria specified in any version of their department or college bylaws that were in effect during their probationary period or specified in the letter of appointment.

Candidates seeking promotion to Professor may choose to be considered according to criteria specified in any version of their department or college bylaws that were in effect during the six years before the date on which the requested promotion would be effective.

##### **5.1 Teaching and Educational Activities**

- 5.1.1 Teaching consists of direct involvement with students inside or outside the classroom. Examples may include classroom instruction and seminars, supervision of independent study and graduate research, student advising, student internship and direction of graduate theses and dissertations. All university faculty 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 and peer evaluations, course syllabi, or teaching awards.
- 5.1.2 Educational activities may 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; and presentations about teaching at professional meetings.

##### **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. These may include but are not limited to: publications (including those in press), commissions, exhibitions, inventions, patents, awards, grants, and external letters of evaluation from those knowledgeable in the candidate's area of scholarship.



### 5.3 Service

- 5.3.1 Service may include: 1) service to professional organizations and journals; 2) service to the university (program, department, college) and 3) service to the community.
- 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.

## VI. 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 and/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 overall evaluation shall make a determination of "Recommended for Promotion and/or Tenure" or "Not Recommended for Promotion and/or Tenure" in each of the three traditional areas of professorial responsibility. The criteria and standards necessary for promotion and tenure are provided in the relevant college bylaws. In order to earn promotion and/or tenure, a candidate must be "Recommended for Promotion and/or Tenure" in each of the three areas of professorial responsibility.

### 6.1 Standards for Associate Professor with Tenure

Candidates for promotion to Associate Professor with tenure are expected to be excellent teachers providing high-quality and effective instruction to students; scholars who have made quality contributions to knowledge as a result of their scholarly or creative achievements; and members of the university community that have demonstrated an appropriate level of service. The evaluation focuses on contributions during the probationary period.

### 6.2 Standards for Professor

Promotion to the rank of Professor requires significant contributions to the candidate's field that have had a scholarly or creative impact beyond the university. Candidates for promotion to Professor are expected to be excellent teachers providing high-quality and effective instruction to students. There should be evidence of state, regional, or national recognition of the candidate's reputation. The evaluation focuses on contributions since promotion to Associate Professor.

## VII. PROMOTION AND TENURE REVIEW PROCESS

This section describes the process for the reviewing, processing and handling of tenure and promotion cases. A candidate's case will be reviewed by: (1) the peer review committee (PRC), (2) the Department Chair (normally this is the Department Chair unless the chair does not hold a rank above the candidate in which case the Associate Dean will serve), (3) the Dean, (4) the University Promotion and Tenure Committee, chaired by the Provost and (5) the President.

The Dean or the Dean's designee will notify in writing each Assistant Professor who is starting their fifth year of a six-year probationary period that he or she must prepare a Promotion and Tenure Document and be evaluated in their sixth year. Individuals who have a probationary period that differs from the standard outlined herein, shall be notified in writing by the Dean or Dean's designee that it is time to prepare a Promotion and Tenure Document in the year that corresponds with what is outlined in the letter of appointment. The candidate begins the review process by submitting a written request for review to the Dean or Dean's designee in accordance with the published timeline. The candidate must submit all materials within the timeframe according to schedule published by the Office of the Provost.

### 7.1 Promotion and Tenure Document

Candidates are expected to present evidence in support of their cases for promotion and tenure. The record to be reviewed will consist of documents the candidate provides and supplemental materials related only to teaching, research, and service from the candidate's personnel file. Specific requirements for what constitutes documentation may be detailed in the college bylaws. The candidate must provide a promotion and tenure document for consideration of promotion and/or tenure that includes the materials outlined in 2.4.

### 7.2 External Reviewers

External Reviewers provide an independent assessment of the candidate's work and professional standing. This section includes the requirements, timing sequence, selection process and qualifications for external reviewers.

- 7.2.1 Requirements. For all tenure and promotion reviews, at least three letters from external reviewers must be solicited.
- 7.2.2 Qualifications. The external evaluators should be experts in the field of the candidate, and, if they are faculty members at academic institutions, they should hold at least the rank to which the candidate aspires or its equivalent. External reviewers must have demonstrated expertise or knowledge in the area(s) of the candidate's scholarship. External reviewers must be scholars who are not current or former thesis/dissertation advisors, co-authors, students, relatives, co-investigators, mentors, or close personal friends of the candidate.
- 7.2.3 Timing. The external review process begins during the spring semester prior to the submission of the external evaluation file for review. The candidate provides the external evaluation file, as defined in Section 7.4, to be sent for outside review to the Department Chair by June 1. The Department Chair sends letters and the external evaluation file no later than June 15 and requests outside reviewers to return them by September 15.
- 7.2.4 Selection Process. The candidate forwards a list of prospective external reviewers that includes the name, rank, discipline, and a justification for each of the nominees to the PRC and the Department Chair. The candidate and the PRC shall agree on a list of individuals from whom letters of evaluation will be solicited.

### 7.3 The External Review.

The external reviewer is asked to make judgments about the candidate's scholarly activities. They should not relate to promotion and tenure at the writers' institution.

At least three letters of evaluation from peers external to the University who can review the case in an unbiased manner (see section 7.2.2) must be solicited for all promotion and/or tenure decisions. All letters received from external reviewers shall be included in the Promotion and Tenure File.

### 7.4 The External Review File

The candidate will be responsible for developing an external evaluation file which shall include a curriculum vita, a narrative focused solely on research or artistic activity stating the candidate's case for promotion and/or tenure, plus products showing evidence of proficiency in scholarship, the current scholarship criteria and a document outlining the candidate's teaching and service duties. The responses from external evaluators are at that time considered part of the candidate's Promotion and Tenure File.

### 7.5 External Review Letters & Workflow

At the time in which it is possible to utilize the promotion and tenure software for online distribution of the External Review File and submission of external review letters, the Associate Dean or their designee will monitor the process and communicate about these steps with the chosen external reviewers.

### 7.5 The Peer Review Committee (PRC)

- 7.5.1 Timing. The Peer Review Committee will be formed in the spring semester preceding the review year. Department Chairs send a note to all candidates for promotion and/or tenure that it is time to form their PRC. The Candidates forward their proposed PRC membership list to their Dean for final approval.
- 7.5.2 Qualifications. Candidates for promotion and/or tenure must be reviewed by a committee of their peers. The committee will consist of those tenured faculty in the same academic program as the candidate; their rank must be equal or be higher than the rank requested by the candidate. The committee must include a minimum of five faculty members.
- 7.5.3 Selection Process. If more than five faculty are eligible for the committee, they will all communicate to decide: (1) to act as a committee of the whole or (2) to elect from among themselves a review committee.

In addition, a candidate may request that a faculty member from an appropriate related discipline or academic program from across the university be added to the PRC. This written request is to be provided to the Dean for approval. The Dean's decision and justification regarding PRC membership must be provided

in writing to the candidate within 15 working days of receipt of the written request.

If fewer than five faculty from within the academic program are eligible for the PRC, faculty from the department, appropriate related disciplines, or academic programs from across the university will be added to form a five-person committee. These additional members will be identified by the candidate and shared with the PRC. The candidate must include the name, rank, discipline, and a justification for each of the nominees. The initial PRC members will forward these names to the Dean with their recommendations. At that point, the Dean will make the selection; however, prior to finalizing the members on the committee, the Dean will consult with the candidate and with the eligible individuals. The final membership of the PRC will be communicated in writing to all parties in the review process by the Dean.

**7.5.4 The Peer Review Committee Assessment of the Candidate's Promotion and Tenure File.**

The Associate Dean will schedule an initial meeting of the PRC at which time the PRC members will elect the PRC Chair. The PRC Chair must be elected by the PRC and communicated to the Dean and Provost on or before May 1. The committee must decide, through a thorough, judicious, and confidential review of the candidate's Promotion and Tenure File, whether the candidate has met the college criteria of acceptable performance in teaching, scholarship and service for the rank requested. If the PRC reviews materials that are not part of the candidate's Promotion and Tenure File the chair of that committee shall promptly make such materials available to the candidate and will add the materials, with a cover sheet identifying the source, to the end of the Promotion and Tenure File.

**7.6 The Peer Review Committee Report**

- 7.6.1** The PRC's vote and recommendation shall be communicated in a statement written by the chair of the PRC, in consultation with the other members of the committee. The report shall reflect the committee's vote and explain the reasoning for its conclusions. It shall include an assessment of the candidate's performance in each of the traditional areas of professorial responsibility: Teaching and Educational Activities; Research, Scholarly, or Artistic Activities; and Service.
- 7.6.2** The PRC's report must address whether or not the candidate's performance has met the standards of performance in each of the three traditional areas of professorial responsibility listed in 7.6.1. All faculty on the PRC must vote on the candidate's performance in each of the three traditional areas of professorial responsibility. The PRC's report must also clearly indicate if the candidate is, "Recommended for Promotion and/or Tenure" or "Not Recommended for

Promotion and/or Tenure” in each of the three areas. In order to earn promotion and/or tenure, a candidate must be “Recommended for Promotion and/or Tenure” in each of the three areas of professorial responsibility.

- 7.6.3 If the committee cannot reach a unanimous decision, its division and the reasons for it shall be expressed in the peer review committee report. All committee members must be aware of all concurring or dissenting statements submitted in the report. If a unanimous decision cannot be reached the final decision of the PRC and the report indicating “Recommended for Promotion and/or Tenure” or “Not Recommended for Promotion and/or Tenure” is based upon a simple majority vote of the PRC.
- 7.6.4 The PRC Chair adds the report to the candidate’s Promotion and Tenure File and forwards the file to the Department Chair. The PRC chair notifies the candidate that the report has been added to the file and forwarded.

The PRC Chair will have access to the workflow and be able to see each subsequent letter and rebuttal submitted throughout the completion of the review process.

#### 7.7 The Department Chair Review

- 7.7.1 The candidate's Department Chair reviews the candidate’s materials and the report from the PRC and makes her/his recommendation. The Department Chair reviews the candidate’s Promotion and Tenure File and makes his/her recommendation in a written statement that explains either support or opposition for promotion and tenure based solely on the college criteria of acceptable performance in Teaching and Educational Activities; Research, Scholarly, or Artistic Activities; and Service.
- 7.7.2 The Department Chair’s recommendation must address whether or not the candidate’s performance has met the standards of performance in each of the three traditional areas of professorial responsibility listed in 7.7.1. by clearly indicating if the candidate is, “Recommended for Promotion and/or Tenure” or “Not Recommended for Promotion and/or Tenure” in each of the three areas. In order to earn promotion and/or tenure, a candidate must be “Recommended for Promotion and/or Tenure” in each of the three areas of professorial responsibility.
- 7.7.3 The Department Chair adds her/his recommendation to the Promotion and Tenure File and forwards the file to the Dean. The Department Chair shall promptly notify the candidate that the report from the Department Chair has been added to the file.
- 7.7.4 Upon receiving notification by the Department Chair, the candidate will have access to the Promotion and Tenure File and has at least five working days to submit a letter of rebuttal and supporting evidence to the file. In a rebuttal or

letter of information, the candidate may (a) challenge assertions or conclusions in the file or (b) include additional supporting evidence such as the acceptance or publication of a work of printed scholarship. The letter and supporting evidence will be added to the candidate's Promotion and Tenure File and will be given full consideration at all subsequent stages of the promotion and tenure process. The rebuttal or letter of information and supporting evidence may not exceed fifteen pages, although it may reference additional items with instructions as to where and how they may be inspected.

#### **7.8 The Dean Review**

- 7.8.1 The Dean reviews the candidate's Promotion and Tenure File and makes his/her recommendation in a written statement that explains either support or opposition for promotion and tenure based solely on the college criteria of acceptable performance in Teaching and Educational Activities; Research, Scholarly, or Artistic Activities; and Service. The Dean's recommendation must address whether or not the candidate's performance has met the standards of performance in each of the three traditional areas of professorial responsibility listed in 7.4.1. by clearly indicating if the candidate is, "Recommended for Promotion and/or Tenure" or "Not Recommended for Promotion and/or Tenure" in each of the three areas. In order to earn promotion and/or tenure, a candidate must be "Recommended for Promotion and/or Tenure" in each of the three areas of professorial responsibility. The Dean's recommendation is added to the candidate's Promotion and Tenure File.
- 7.8.2 The Dean shall notify the candidate when her/his recommendation has been added to the Promotion and Tenure File and shall make the file available to the candidate.
- 7.8.3 Upon receiving the Dean's notification, the candidate has at least five working days to submit a letter of rebuttal and supporting evidence to the file as described in Section 7.7.4.

#### **7.9 The University Promotion and Tenure Committee (UPTC)**

- 7.9.1 This Committee shall be chaired and facilitated by the Provost. It shall include the Deans of the College of Education, College of Business, College of Human Sciences and Humanities, and College of Science and Engineering; and one Full Professor elected by each of the four Colleges; and one Full Professor-at-large, who is to be elected by the Faculty Senate. In addition, the Committee will be staffed by one non-voting representative of Faculty Senate Executive Council and one non-voting administrative representative from Academic Affairs who will observe the meeting and tabulate all votes. All Professors must be tenured faculty. Faculty who hold administrative positions are not eligible for election to

faculty positions on the University Promotion and Tenure Committee (e.g., Department Chair). A college that does not have a Professor eligible for election may elect a Professor from another college. Only individuals listed above may attend University Promotion and Tenure Committee Meetings except as noted below. For cases discussed at the meeting, members must be present to vote, and no substitutes or alternates for Committee members are permitted.

7.9.2 The UPTC faculty membership will serve a term of one year and cannot serve more than two consecutive terms.

7.9.3 The UPTC membership will review all Promotion and Tenure Files from all candidates under review at UHCL in any given academic year. The committee will have access to each candidate's Promotion and Tenure File and will do a review of the documents prior to meeting.

At least one week before the Committee meets, the Office of the Provost sends each UPTC member a confidential preliminary ballot containing the names of all of the candidates up for review for whom that member has a vote.

- A "yes" response on this ballot is a vote to approve the requested promotion and/or tenure without any discussion of the case.
- A "no" response on this ballot may be a vote to deny the promotion and/or tenure, or it may be a vote to delay the decision until after the committee has discussed the case.

7.9.4 The preliminary ballot is returned to the Office of the Provost by the day prior to the meeting of the Committee so that the results of the preliminary balloting may be tabulated and presented to the Committee when it meets.

7.9.5 At the UPTC meeting all members are required to vote. Those candidates that receive a simple majority of votes from the preliminary balloting will be presented as a group to the Committee for a collective approving vote. If the motion passes by a majority vote, then all will be approved by the vote in the preliminary ballot. If the motion fails to receive a simple majority vote, then each candidate who did not receive a unanimous preliminary vote (100% "yes" vote) will be discussed and voted on individually. Each candidate who receives a unanimous preliminary "yes" vote, moves forward without further discussion.

During discussions the Provost will initially present the candidate's case. After discussion concludes the Provost will call for a vote (secret ballot). The Dean and faculty member from the candidate's college, while present for discussion, will not be permitted to vote. All votes for approval of promotion and/or tenure are by secret ballot. A simple majority is required of all eligible Committee members who are present and voting on all tenure or promotion cases. In the case of a tie, a second round of discussions will occur followed by a second,

secret ballot vote. The outcome of the second vote will be final. If the UPTC cannot reach a unanimous decision, its division and the reasons for it shall be expressed in the UPTC Report. Deliberations of the Committee and all statements made by individual Committee members are confidential. The written statements explaining the basis for the Committee's recommendations, however, are not confidential.

- 7.9.6 The normal sequence for consideration of candidates for promotion and tenure is reflected in the preliminary ballot. The ballot is arranged in descending order by rank with promotion only nominations for each rank listed first followed by nominations for promotion with tenure. Within each category, nominees appear in alphabetical order by college and by name of the candidate. The normal order is summarized below:

1. Associate to Full Professor
2. Assistant to Associate
3. special considerations for tenure only

- 7.9.7 The Provost writes the reports for each of the candidate's cases after the review of the UPTC. These reports are placed in the Promotion and Tenure File of each candidate. The Provost shall promptly notify the candidate when his/her report has been added to the file and shall make the file available to the candidate.

#### 7.10 The President

After reviewing the candidate's Promotion and Tenure File, the President makes a determination of supporting or opposing the candidate's request for tenure and/or promotion. The President forwards her/his report to the chancellor and inserts a copy in the Promotion and Tenure File. The President shall promptly notify the candidate when her/his report has been added to the file and shall make the file available to the candidate.

### VIII. PROMOTION AND TENURE SCHEDULE

In the spring of each academic year, the Office of the Provost will publish and distribute to all full-time tenure-track and tenured faculty, a schedule containing specific dates which shall govern the completion of the stages of the tenure and promotion evaluation process. The schedule must allow sufficient time at each step of the process for review of the documentation and formulation of recommendations. The schedule will be posted on the website of the Office of the Provost.

### IX. REAPPLICATION FOR PROFESSOR

If a candidate is denied the rank of Full Professor after review for promotion, he or she may reapply for consideration in subsequent years. It is advised that the candidate review his/her letters of recommendation, from internal and external evaluators, provided throughout the promotion review process in order that he or she may address the areas of concern.



Reapplication cannot constitute resubmission of the previous promotion file. There must be a substantive update to the materials (e.g., narratives, publications, service record, supporting evidence, etc.). The candidate must provide a cover letter in their Promotion and Tenure Document indicating the changes, including new or additional accomplishments or materials, that are in the document at the time of submission and which justify the candidate's reapplication. This letter becomes part of the candidate's file and should be reviewed with all other submitted materials.

#### **X. PROMOTION AND TENURE APPEALS**

A candidate may appeal a University Promotion and Tenure Committee's recommendation on the grounds that (a) an error in the described procedures materially affected the outcome, (b) the decision was not based upon the applicable criteria included in the Promotion and Tenure File, or (c) the outcome was arbitrary, discriminatory or capricious. The Candidate will have no less than five working days after receiving written notification of the decision and vote of the University Promotion and Tenure Committee to notify in writing the Provost of her/his intent to file an appeal. The deadline will be established in the schedule posted on the website of the Office of the Provost. The actual deadline in a given year is set forth in the schedule published on the website of the Office of the Provost. Currently, promotion and tenure appeals are handled through the Faculty Grievance Policy (Section 15)

#### **XI. REVIEW AND RESPONSIBILITY**

This policy will be reviewed by The Office of The Provost and Faculty Senate every three years or sooner, if warranted.

Responsible Parties: Senior Vice President of Academic Affairs and Provost & Faculty Senate

Review: Every 3 years

#### **XII. APPROVAL**

Approved:



Senior Vice President of Academic Affairs and Provost



President

Date: 5/30/2023

#### **XIII. REVISION LOG**

Revision Number	Approval Date	Description of changes
	1/20/1994	Policy Created and Approved

	4/11/1996	Amended and Approved
	5/10/2018	Amended and Approved
	12/12/2019	Revision to Policy Process and Criteria; establishment of UPTC; revision to grievance procedures; etc.
CONVERSION TO UAAP FORMATTING AND TRACKING PROCESS		
1	5/30/2023	Added and/or edited language relating to: Conflict of interest; clarifying length of time for promotion to professor; clarifying information expected in the appendix of the Promotion and Tenure Document.