

**Appointment and Promotion Procedures for Tenure Track Faculty  
In The Krieger School of Arts and Sciences and The Whiting School of Engineering  
(effective July 1, 2016)**

I. Definitions

In this document, the Homewood Schools are defined to include the Zanvyl Krieger School of Arts and Sciences and the Whiting School of Engineering; appointment is defined as the process of appointing new tenure-track members to the faculties of the Homewood Schools; and promotion is defined as advancement from one professorial rank to another or the conferral of tenure.

II. Criteria for Promotion or Appointment

- Each appointment or promotion should be conducted so as to attract or retain faculty whose scholarly achievements, teaching ability, and qualities of university citizenship are superb. Appointment committees should seek the best candidate at the rank under consideration.
- For appointment or promotion to the rank of Associate Professor, a candidate must be a recognized leader among scholars at a similar stage of career development. The primary criteria are the candidate's scholarly research, teaching, and service to the University. When the conferral of tenure is at issue, the criteria shall also include the importance of the candidate's scholarly research, citizenship and teaching to the academic program of the department. In promotion cases, committees should consider whether the University is better served by promoting the candidate or searching for a replacement.
- To qualify for the rank of Professor a candidate must be an eminent and influential scholar and demonstrate a continuing commitment to excellence in teaching and mentoring. There must be clear evidence of additional scholarly achievement since promotion or appointment to the rank of Associate Professor. University and professional service are also expected of candidates. An outstanding record of service will be considered favorably in the evaluation of the case for promotion.

III. Conflict of Interest

The integrity of the process by which appointments and promotions are made is of profound importance to the University. Therefore, it is imperative that any individual involved in this process disclose any relationship to the candidate that might be perceived by a reasonable observer to constitute a conflict of interest or source of bias with respect to the candidate. Any such relationship must be disclosed (in either the department report or in the ad hoc committee report as appropriate) in sufficient detail as to allow an observer to judge whether an actual conflict of interest exists. In cases where a clear conflict of interest exists, the individual involved should recuse himself or herself from the process.

Members of the Academic Council must likewise disclose any relationship to the candidate that might be perceived by a reasonable observer to constitute a conflict of interest or source of bias with respect to the candidate. This includes but is not limited to cases in which both the candidate and the member hold primary appointments in the same department. Members shall

recuse themselves from all discussion of, and votes on, cases where they have a conflict of interest.

IV. Procedures for Promotion to the rank of Associate Professor or Professor

The Tenure Regulations of the Krieger and Whiting Schools govern the timing of the faculty promotion process. Consideration of promotion to Associate Professor must be initiated by the department, in consultation with the faculty member. Promotion from Associate Professor to Professor may be requested of the department by the faculty member at any time consistent with the Tenure Regulations.

The process for considering a promotion case has six stages:

1. Departmental review
2. Dean’s review and appointment of ad hoc committee
3. Ad hoc committee review
4. Academic Council review and recommendation to the President
5. President’s recommendation to the Board of Trustees
6. Final approval by the Board of Trustees

In order to ensure that ad hoc committees have adequate time to complete their work and that cases come before the Academic Council in a timely fashion, the dates in the table below should be observed. In particular, the department must request formation of an ad hoc committee by the October 15/March 15 deadline to ensure that Council will be able to hear the case in the following semester.

Deadline	Candidates whose appointments began July 1–December 31	Candidates whose appointments began January 1–June 30
Submission of materials to department by the candidate	April 15	October 15
Department request for formation of an ad hoc committee	October 15	March 15
Formation of ad hoc committee by the Dean	November 15	May 1
Ad hoc committee report	March 15	October 1

*Departmental Review of Promotion Cases*

The first phase in the consideration of a faculty member for promotion is review by the voting faculty of the department. For this purpose, the voting faculty are those tenured faculty at or above the rank to which the candidate is being considered for promotion. The voting faculty does not include those with Emeritus and/or Academy status. The candidate shall provide the department with a complete vita, a bibliography of his or her work noting which are refereed publications, copies of work which has been accepted for publication but has not yet appeared in

print (if relevant), statement of research accomplishments and goals, statement of teaching accomplishments and goals, description of department, school, and university service, samples of work, and any other materials germane to the case.

If a department feels, based on its evaluation of the dossier, that the candidate's case is insufficiently strong to warrant promotion, it may make a recommendation to the Dean against promotion without seeking external letters of evaluation. Such a recommendation requires a majority vote of the voting faculty. The Department shall provide the Dean with a tally of the vote, a letter from the Chair explaining the reason(s) for the decision and outlining any dissenting views, and a copy of the candidate's dossier. The decision not to seek external letters is subject to approval by the Dean, as outlined in Section VI. A decision not to continue the promotion process will be reported by the Dean to Academic Council as an information item. In the second stage of the departmental review, the department solicits at least three letters of evaluation from external referees (see *Selection of referees for departmental and ad hoc letters* on page 7 below). The department may consult with the candidate and shall consult with the Dean about suitable referees, but the final choices are made by the department. The department should attempt to obtain no more than five external letters and in any case may request evaluations from no more than seven reviewers. The request for external letters must follow the procedures specified in the section Guidelines for the Solicitation of Letters, below.

In evaluating the candidate's teaching, undergraduate and graduate students as well as faculty may be consulted. However, any such consultation should be conducted with the utmost care to avoid putting pressure on students, especially those currently taking courses from the candidate or under the candidate's supervision. Letters from students should not be submitted. A summary of anonymous student evaluations, where available, must be included in the report.

The voting faculty of the department shall consider the case for promotion, based on the candidate's materials, any external letters, and its own evaluation of the candidate's scholarly research, teaching, and service. Although preliminary work may be designated to a subcommittee, the final decision rests with a vote of the entire voting faculty, recommending for or against promotion.

The Chair shall write a letter to the Dean reporting the decision of the department (including a tally of the vote), and justifying it on the basis of the elements of the dossier including the external letters of evaluation. The Chair's report should evaluate in detail:

1. the scholarly achievements of the candidate as seen by members of the department, including, as appropriate, comparisons with peers in the field;
2. the candidate's teaching ability, with supporting material outlining the courses that the candidate has taught at Hopkins and analyzing work performed in supervising graduate dissertations; and
3. the candidate's service to the department, the university, and the profession.

For cases involving the conferral of tenure, the report should also describe how the scholarly field(s) represented by the candidate are related to the present or planned programs of the department, and whether the candidate's expertise is helpful or necessary to the support of other programs at Hopkins, especially in the Homewood Schools.

The Chair shall include in the report

- a list of all referees and potential referees contacted regarding the case,

- a brief statement of the basis on which the referees were selected,
- possible reasons for failure of any referees to respond,
- pertinent information on the standing of the referees in their fields (including those not responding),
- an indication of any special relationships between the referees and the candidate,
- a discussion of any role played by the candidate in selection of the referees,
- a discussion of the role of the Dean in selection of the referees,
- a copy of the letter written to the referees, and
- copies of all external letters received.

Any minority views among the voting faculty should be represented accurately in the Chair's report. The Chair's report must be shared with the voting members of the department for comment prior to its submission to the Dean. If faculty members holding the minority view are not satisfied that the final version of the Chair's report adequately presents their view, they have the option of writing a minority report within two weeks. The minority report is shared with the voting faculty, and is appended to the Chair's letter and becomes part of the candidate's dossier. In cases where there is significant dissent, the Chair may choose to include in the dossier a separate minority report.

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The Chair's report should also disclose any relationships between faculty members voting on the case and the candidate that might be perceived by a reasonable observer to constitute a conflict of interest or source of bias with respect to the candidate (see Section III above).

Whether the departmental recommendation is positive or negative, the "department dossier" is then transmitted to the Dean. Along with the Chair's report, the department dossier consists of all material assembled by the department for its deliberation of the case. Every effort should be made to complete the departmental review process as early as possible in the academic year, even before the deadlines mentioned above, in order to allow sufficient time for evaluation by the ad hoc committee and the Academic Council.

#### Dean's Review

The department dossier provides the basis for the Dean's decision whether to form an ad hoc committee to consider the case further. Upon receipt of the dossier, the Dean may meet with the Chair to discuss the candidate and the recommendation of the department. The Dean may ask the department for more information and suspend the decision until he or she determines the department dossier to be sufficiently complete and informative. If the Dean is inclined not to follow the recommendation of the department, he or she shall share the department dossier with Academic Council and consult with them before arriving at a final conclusion. A decision not to follow the recommendation of the department must be explained in writing to the Chair and reported as an information item to Academic Council.

#### Ad Hoc Committee Procedures

The next phase in the consideration of a candidate is an evaluation by an ad hoc committee drawn from the tenured faculty of the Homewood Schools at or above the rank for which the candidate is being considered. It is the responsibility of the ad hoc committee to evaluate the candidate's qualifications for promotion as thoroughly and impartially as possible, and to

communicate that evaluation to the Academic Council. The committee must not view itself as an advocate for either the department or the candidate. The ad hoc committee's recommendation should be informed by its own impartial evaluation of the candidate's scholarly research, undergraduate and graduate teaching, and service to the department, school and university. The ad hoc committee shall consist of two faculty members, neither of whom shall be from the candidate's department. In the case of promotion to Professor, the ad hoc committee shall consist only of faculty at the rank of Professor. In appointing the committee, the Dean will attempt to appoint a disinterested and balanced group of faculty capable of evaluating significant aspects of a candidate's work, and will inform the Academic Council of the Committee's membership at the time it is appointed. Faculty holding a secondary appointment in the candidate's department are automatically disqualified from serving on the ad hoc committee if they took part in the consideration of the case at the departmental level. Council members will be appointed to ad hoc committees only in unusual circumstances, and faculty will generally not be appointed to ad hoc committees charged with considering candidates with whom they have published.

The constitution of an ad hoc promotion or appointment committee shall be held in confidence. Should the candidate learn the composition of the committee or the confidentiality of the process otherwise be compromised, as circumstances indicate the Dean may suspend the work of the committee and appoint a new one. Members of the faculty must refrain from attempting to learn the composition of an ad hoc committee, and from contacting the committee.

The ad hoc committee is furnished with the department dossier. The committee shall then supplement this material by soliciting external letters of evaluation. (*See Guidelines for the Solicitation of Letters* below.) The committee should request reviews by enough referees so that, when added to letters solicited by the department, at least ten substantive responses are obtained. Moreover, if the department dossier contains more than five letters, the ad hoc committee must obtain a number of external letters of its own at least equal to the number obtained by the department.

In the case of candidates for whom previous ad hoc appointment or promotion committees have been formed at Johns Hopkins, the Dean shall furnish the committee with a list of scholars who have previously submitted letters of appraisal.

Either the department Chair or the Chair's designee shall serve as departmental liaison to the ad hoc committee. The identity of the liaison shall also be held in confidence. The role of the liaison is to provide information helpful to the committee in selecting referees and making its recommendation on the case. The liaison shall meet with the ad hoc committee at least once before it sends out requests for evaluation; during the process of this consultation, the liaison must be given the opportunity to comment on the qualifications, appropriateness and impartiality of all proposed referees. The ad hoc committee may take such comments under advisement, although the liaison holds no veto over the selection of referees. At its discretion, the committee may ask the departmental liaison to provide background information on the field of the candidate's scholarly research. In exceptional cases, if the committee is unable to compile a satisfactory list of potential referees or to obtain the requisite number of letters, the committee may petition the Academic Council to allow the departmental liaison to furnish an extensive list of distinguished scholars with appropriate expertise to evaluate the candidate. Such a petition will only be approved if, after meeting with the chair of the ad hoc committee, the Academic Council agrees that there is no other reasonable alternative. The liaison shall be given the

opportunity to review the contents of the packet of materials that goes out before it is transmitted to the referees. However, it is the responsibility of the ad hoc committee chair to obtain an up-to-date dossier from the department chair for inclusion in the packet. Beyond consulting on the selection of the referees, the role of the liaison shall be confined to responding to specific requests from the committee for information it deems relevant to making its recommendation. Any contribution of the departmental liaison to the development of the list of referees or to any aspect of the committee's deliberations should be documented carefully in the committee's report. (See *Committee Reporting Procedures*, below.)

It is to be emphasized that the recommendation of the ad hoc committee should be based on the entire dossier, not only on the letters of evaluation that it has itself solicited. At its discretion, the committee also may make use of information available from other sources, such as book reviews and citation databases.

Departments must make every effort to minimize the involvement of a candidate with his or her own promotion or appointment. Candidates should not contact potential referees concerning a promotion or appointment. Any communications between the candidate and the committee should be channeled through the department chair or the Dean, as appropriate. It should be emphasized that the candidate should not be apprised of the progress of a committee's evaluation or of any problems encountered.

Letters to the external referees should be signed by the chair of the ad hoc committee. The Dean will provide administrative assistance to the ad hoc committee in the form of staff to handle the distribution of letters and promotion materials to the external referees. Responses from external referees will similarly be made to the Dean's office, which shall keep the ad hoc committee apprised of the responses. In order to ensure that the committee completes its evaluation in a timely fashion, committee chairs should follow up on requests for information that have not elicited a response in a reasonable time period, repeating their request for information. Each ad hoc committee should expect to report to the Academic Council within three months of its appointment. Should this prove impossible for any reason, the committee chair should so notify the Dean.

#### *Committee Reporting Procedures*

When a committee has completed its evaluation, it will submit to the Dean a report reviewing its findings and recommending whether or not the promotion or appointment should be made. The committee's report should include a list of all referees contacted, a brief statement of the basis on which the referees were selected, possible reasons for failure of any referees to respond, pertinent information on the standing of the referees in their fields, and an indication of any special relationships between the referees and the candidate. The report should also disclose any relationships between the committee members and the candidate that might be perceived by a reasonable observer to constitute a conflict of interest or source of bias with respect to the candidate (see Section III above). The committee should enclose with its report a copy of its letter to the referees and all letters, e-mails and other correspondence received from the referees. Once again, it is essential that all contributions of the departmental liaison be documented carefully. All materials in the department dossier provided to the ad hoc committee should be included in the report.

Under unusual circumstances, an ad hoc committee may append to its report letters of appraisal from scholars holding a rank lower than that for which the candidate is proposed or from members of the Johns Hopkins faculty. Any such letters are to be considered as supplementary information only, and will not be used as a primary basis for the Council's decision.

In certain cases, by reviewing the ad hoc committee report submitted for the Academic Council, the Dean may find that the committee did not follow the procedures as expected, or that the evidence in the report is insufficient for the purpose of making a reliable recommendation. In such a case, the Dean may ask the ad hoc committee to take actions to supplement the dossier, such as soliciting additional letters or consulting citation databases.

When the report of the ad hoc committee is complete, it shall be transmitted to the chair of the department, who will be given the opportunity, if he or she wishes, to respond to it in writing. Any such response will be added to the dossier. The Dean may, upon receipt of the departmental response, ask the ad hoc committee to take additional actions to supplement the dossier. If the final ad hoc committee report is different in any significant respect from the version initially submitted to the Dean, the Dean must provide the Academic Council with a written account of the changes and the reasons for them.

The complete dossier is then transmitted to the Academic Council for its consideration. The case will be presented to the Council whatever the recommendation of the ad hoc committee as to its disposition. The chair of the candidate's department (or his or her designee) and the chair of the ad hoc committee each will appear before the Council to provide any additional information that they may wish to present, and to answer questions from the Council. They will meet sequentially with the Council, and normally the department chair will appear first. In cases when a tenured departmental faculty member's field is closer to that of the candidate, the Chair may, at the Dean's discretion, choose to be accompanied by one such faculty member when appearing before the Council. In the course of Council's deliberations, the Dean of the relevant School and the Provost will be invited to comment on the case.

Approval of an appointment or promotion requires that a majority of the Council members present vote in the affirmative. It is customary not to vote on an appointment or promotion during the Academic Council meeting at which the ad hoc committee makes its report, but to table the recommendation until the next meeting of the Council. If there is special urgency in making an appointment, the department or the Dean may request a waiver of this holdover rule. At the end of the discussion of the case, the holdover rule may be waived by a three quarters vote of the Council members who are present.

When an ad hoc committee submits its report and dossier to the Dean for distribution to the Academic Council, all other material relating to the report is to be submitted to the Office of the Dean or destroyed.

Following a decision on a proposed promotion or appointment, the Academic Council secretary will notify the ad hoc committee chair of the decision. As a courtesy, the department and ad hoc committee chairs should inform the referees of the outcome, thanking them for their effort.

#### *Guidelines for the Solicitation of Letters*

#### *Selection of referees for departmental and ad hoc letters*

Both the department and the ad hoc committee shall solicit letters evaluating the candidate's achievements and promise for the future from recognized authorities in the candidate's field(s) of expertise. These letters are among the most important evidence in the dossier, and great care should be taken in assembling the list of referees.

It is important to choose referees with the expertise necessary to assess the candidate's scholarship. Opinions should be sought from a broad selection of referees, including adherents of different, even opposing, schools of thought. In the case of candidates whose work spans more than a single field, evaluations should be solicited from a group of referees whose collective expertise covers the range of the candidate's work. Normally, referees will carry the rank of Professor or the equivalent; in cases where a letter is solicited from a referee carrying a lower rank, an explanation for this exception must be provided in writing. Because Hopkins must maintain a faculty of strong international reputation, opinions from foreign referees should be included where possible. In identifying the pool of potential letter writers, the committee should strive to balance the eminence of the referees with the likelihood that they will be able to provide an informative evaluation of the candidate's work.

The primary consideration by departments and ad hoc committees should be whether the group of referees, taken as a whole, has the necessary expertise in the discipline to assess the candidate's scholarship while still having an appropriate degree of impartiality. Although it would be a mistake to assemble a group of referees with a preponderance of members known to be close to the candidate, it would also be a mistake to avoid individual referees with especially relevant expertise solely on the basis of a professional relationship with the candidate.

Any candidate who is an active scholar will form professional relationships with other scholars who are potential referees. For example, a candidate might co-organize conferences or symposia, contribute to edited volumes, or invite or be invited to give seminars. Such routine relationships should not disqualify the individuals involved from writing letters; indeed, these people may be ideally suited to assess the candidate's scholarship.

Some particularly close relationships may compromise the objectivity of the referee. For example, solicitation of letters from former doctoral or post-doctoral advisors, colleagues from the same institution, or individuals with a sustained record of collaboration with the candidate is discouraged.

In every case it is essential that there be full disclosure of all known relationships between the referees and the candidate. To this end, when letters are solicited the referees should be asked explicitly to disclose any relationships they may have with the candidate. These relationships should be described in the department's letter to the Dean or the ad hoc committee report, as appropriate.

#### *Guidelines for preparing the request for letters*

Examples of letters covering most of the standard points that require emphasis are appended to these procedures as a guide for committee chairs (see Information Sent to Ad Hoc Committee Chairs <http://sites.jhu.edu/council/adhoc>.) The department or ad hoc committee may add to these templates to suit individual circumstances, but the following points should be observed:



- The referees should be asked to compare the candidate with others who are at the same stage of their career in the same or comparable fields of research, and to evaluate the likelihood that the candidate will equal the achievements of current leaders in the field, regardless of seniority.
- In all cases for promotion or appointment to tenure, the letter should indicate in general terms that although the timing of the cases may depend on personal circumstances (including extension of the tenure clock for family or medical leave) the criteria for promotion are the same for all candidates regardless of the length of service.
- Referees should be invited to comment on the candidate's abilities as a teacher if they are able to do so.
- If the promotion or appointment involves the conferral of tenure, this should be indicated in the request.
- Great emphasis should be placed upon the fact that the referee's responses will be treated with strict confidentiality; referees shall be informed that only senior faculty in the department (for letters solicited by the department) and those directly involved in the evaluation process will see their responses.
- The referees should be asked explicitly to disclose any relationship they may have with the candidate.

The committee shall supply each referee with the candidate's vita and complete bibliography, and copies of at least a representative sampling of his or her scholarly work.

#### *Exceptional Circumstances*

Under truly exceptional circumstances, the Academic Council may decide to follow an alternative procedure in considering an appointment or promotion, such as choosing not to solicit external letters. However, under no circumstances may the Council suspend its rules for voting on appointments and promotions. The Dean should discuss with Council any proposed change in procedure before an ad hoc committee is formed.

#### *Transparency of the Promotion Process*

It is in the best interests of the candidate, the department, and the University for the appointment and promotion process to be as open and transparent as possible, consistent with the privacy of the individuals involved and the confidentiality of both internal and external evaluations. Therefore, after each decision in the promotion process — that is, a) the department decision whether or not to put the candidate up for promotion, b) the Dean's decision whether or not to appoint an ad hoc committee, c) Council's decision whether or not to recommend promotion to the President, d) the President's decision whether or not to recommend promotion to the Board of Trustees, and e) the final decision of the Board of Trustees — the candidate, the department, the Dean, and the Academic Council should be promptly informed of the decision.

#### *V. Procedures for Appointments*

##### *Review of Search Procedures*

Recommendations for all new faculty appointments must be made with the approval of the voting faculty of the department, their vote being recorded in the Chair's written request to the Dean.

For all new appointments, the chair of the department shall submit to the Dean a preliminary affirmative action report, documenting steps taken to ensure compliance with the University's Affirmative Action Guidelines, along with the items required in the case of promotion committees. Included in the documentation shall be a list of people in the area of the appointment, taking particular care to mention both women and minorities, presently at the forefront of the field or who in the department's judgment are likely to be in that position in the future. This report shall be submitted and approved by the Dean when the search committee has assembled its short list, prior to notifying other qualified candidates that they are not being considered further; in the event that no women or minorities are on the list, an explanation shall be included.

The final affirmative action report is to be submitted when the department has identified a candidate and requests his or her appointment of the Dean. In the case of appointments to the tenured ranks, the Dean will form a committee to review the search conducted by the department, and either to extend the search so as to ensure that all qualified candidates have been considered, or to ratify the search process. This review committee may, but need not, become the ad hoc committee to consider the appointment itself. The dossier presented to the Academic Council will include the final affirmative action report, along with all supporting materials.

#### *Standard Ad Hoc Committee Process*

In the case of an appointment to a tenured position, the Dean will appoint an ad hoc appointment committee to consider the qualifications of the candidate. The review procedures for appointments will be the same as for promotion to that rank, except for the generation of the departmental letters of review. If the department has solicited letters as part of the search process, these letters must be included in the department dossier submitted to the Dean, along with a detailed account of the correspondence by which they were solicited. Requests for letters of reference should follow the style of letters given under Information Sent to Ad Hoc Committee Chairs <http://sites.jhu.edu/council/adhoc>. Letters of reference solicited by the department should specifically address the issue of rank and tenure, as well as the candidate's scholarly output and promise for the future. At its discretion, the department may solicit letter(s) from scholar(s) on the list of references provided by the candidate. Letters of recommendation solicited by the candidate during the recruitment process must be included in the dossier but do not count toward the ten independent reviews required for appointment and tenure. The department should not request letters of reference from someone who has already provided a letter of recommendation for the candidate during the search. The department may also provide a list of referees from whom the ad hoc committee may choose to request letters, provided that the number of department-derived letters (including those that may have been solicited directly by the department) should be no more than five. As in promotion cases, the ad hoc committee will also request letters of its own, and enough referees should be contacted so that the number of substantive responses equal or exceed the number of letters obtained by the department. When these letters are added to the departmental letters, there must be at least ten independent review letters in the dossier.

The ad hoc committee will report to Academic Council, following the same procedures as in promotion cases.

#### Expedited Process for Full Professors from Other Academic Institutions

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When hiring a previously-tenured full professor from another institution, the Dean may ask for an expedited procedure that replaces the normal ad hoc committee step. In this case, the hiring department will obtain five evaluation letters, following the Guidelines for the Solicitation of Letters in this document.

The department chair will write a letter to the Dean with a discussion of the search process and include the five evaluation letters, following the format for chair's letters for promotion. If the Dean approves the hire, the Dean will obtain an acceptance of employment from the candidate, subject to the usual caveat of Academic Council approval of tenure. The Dean will then decide whether to forward the chair's report to Academic Council as an expedited case or to appoint an ad hoc committee to solicit five more letters following the normal procedure.

When the Dean asks Academic Council for an expedited procedure, the chair's report will go to the Academic Council Subcommittee on Appointments and Promotions, who will decide if the expedited procedure is appropriate for the candidate or if the normal ad hoc procedure should be followed.

If the Subcommittee approves the use of the expedited procedure, the Chair will make a presentation at a regular meeting of the Academic Council. The Council will discuss the case following the normal procedures of Council.

#### *Academic Council Decision*

The ad hoc committee will report to Academic Council, following the same procedures as in promotion cases. The Academic Council will vote to tenure the candidate or not.

When a candidate has been denied promotion by vote of the Academic Council, the candidate's department has the right to request reconsideration of the decision by submitting a written request for reconsideration to the Dean, based only on the two following grounds: substantial new evidence bearing on the candidate's scholarly research and professional standing or clear evidence of impropriety substantially affecting the outcome of the promotion process.

The Dean may deny the request and notify the Academic Council as an information item, presenting the basis for the decision; or transmit the request to the Council for reconsideration, together with all of the documentation bearing on the original decision to deny promotion, and any other relevant material.

#### VI. Reconsideration of Negative Promotion Decisions

A negative promotion decision may be appealed. An appeal must be in writing and must contain a clear and detailed description of the specific grounds for the appeal according to the guidelines

below. All appeals must be submitted within 30 days of notification of a negative decision. However, no appeal may be filed in cases where the resolution or remedy to the appeal would conflict with a policy or mandate of the Board of Trustees of the University. A decision on the appeal will be made within 30 days and the candidate notified.

#### *Departmental Decision Without Solicitation of External Letters of Evaluation*

If a department votes not to recommend a candidate for promotion and has not solicited external letters of evaluation, a candidate may appeal the department's decision to the Dean on two grounds only:

1. substantial new evidence bearing on the candidate's scholarly research and professional standing;
2. clear evidence of impropriety substantially affecting the outcome of the promotion process.

An appeal may not be taken on grounds that the candidate disagrees with the department's evaluation of his/her scholarly research, teaching performance, contribution to the department's academic program, or fiscal considerations. An appeal also may not be based on allegations concerning the effect of allocations of departmental resources on the candidate's performance.

The Dean can either support the departmental decision not to promote or return the case to the department for reconsideration with the requirement that external letters be obtained.

#### *Departmental Decision After Solicitation of External Letters of Evaluation*

If the department has solicited external evaluation letters and subsequently votes not to request the formation of an ad hoc committee, the candidate may appeal directly to the Dean. The appeal may be based only on the grounds enumerated above.

The Dean may either support the departmental decision or proceed with the formation of an ad hoc committee.

#### *Dean's Review*

If the Dean decides not to form an ad hoc committee for a candidate, an appeal may be made by the candidate to the Provost on the grounds of procedural violations only.

#### *Adverse Academic Council Decision*

When a candidate has been denied promotion by vote of the Academic Council, the candidate's department has the right to request reconsideration of the decision (unless the candidate is in the terminal contract year, when no departmental appeals are permitted). Should the department not request reconsideration, the candidate may submit a written request for reconsideration to the Dean, based only on the two following grounds: substantial new evidence bearing on the candidate's scholarly research and professional standing or clear evidence of impropriety substantially affecting the outcome of the promotion process.

Upon receipt of an appeal for reconsideration, the Dean may:

1. deny the request and notify the Academic Council as an information item, presenting the basis for the decision;
2. appoint a new ad hoc committee to review the case and recommend action to the Academic Council;
3. transmit the request to the Council for consideration, together with all of the documentation bearing on the original decision to deny promotion, and any other relevant material.

Upon receipt of an appeal, the Dean shall make appropriate inquiries of the department and inform the Academic Council concerning the results of these inquiries. The Dean should also notify the Council concerning the course of action that he or she intends to pursue in the case.

After consultation with the Dean, the Council may decide to uphold the Dean's disposition of the case. If it does not, it may elect to conduct its own review of the case, or it may delegate such an investigation to a subcommittee of the Council whose findings and recommendations shall be submitted to the Dean and reported to the Council as a whole. As a result of its consideration of the appeal, the Council may vote to uphold the decision of the Dean, or it may recommend that the Dean form an ad hoc committee to evaluate the candidate's qualifications for promotion.

If the Dean declines to carry out the recommendation of the Academic Council, the Council may present the case to the Provost for resolution.

#### *Provost Appeal*

All individuals denied promotion by the Dean or the Academic Council, having exhausted any other appeals, may appeal to the Provost. The Provost's review of the matter is limited to alleged procedural violations resulting in a failure to conduct an impartial evaluation of the candidate's academic qualifications.

The Provost may send the case back to the level from which it was appealed, with instructions to correct the violations, or deny the appeal. If the violations are irreparable, the promotion case shall begin again de novo. There is no further appeal of a negative decision.

#### *VII. Procedures for Interim Review of Faculty at the rank of Assistant Professor*

Departments should review carefully the academic progress of each untenured faculty member annually, and the department chair should inform each person reviewed of the department's evaluation. It is particularly important that faculty whose performance is not up to expectation be informed of the department's concerns, and that those concerns be openly discussed in a forthright, helpful manner.

In the fourth year of appointment of an Assistant Professor, the department shall prepare a formal report on the faculty member's progress. This Interim Review should evaluate accomplishment in teaching, scholarly research and service since the appointment, and assess to the extent

possible the outlook for eventual promotion to tenured Associate Professor. The department may follow a procedure of its choosing in preparing the Interim Review, although departments are not encouraged to solicit outside letters.

The Chair shall then draft a letter to the faculty member, on behalf of the department, summarizing the Interim Review and making whatever recommendations may be indicated. If the senior faculty have explicit expectations for what needs to be accomplished before they would consider recommending conferral of tenure, these expectations should be made clear in the letter. However, care must be taken to avoid the implication that a positive recommendation would follow simply from the formal satisfaction of such requirements. The Interim Review must be endorsed by a vote of the tenured faculty in the department.

The Chair shall then meet with the Dean to discuss the Interim Review and the proposed letter. The Dean may suggest changes to the letter, and may consult with the Office of the General Counsel on its wording. The Dean and the Chair must agree on the final form of the letter, which is then sent to the faculty member. Copies of the Interim Review and the letter are retained by the department and by the Dean, and they may be consulted when, subsequently, the faculty member is considered for promotion to tenure. To ensure the confidentiality and rigor of the review process, the Interim Review itself is not shared with the faculty member.