

## **Rank and Tenure Procedures and Criteria**

### **I. Procedure**

#### **Evaluation of Application for Promotion and Tenure**

Faculty in the Department of History are evaluated for promotion and tenure using the procedures described in *The Faculty Manual of Saint Louis University*, and the College of Arts and Sciences Rank and Tenure Procedures in Section II.A.5 of the *College Policy Binder*. In addition the procedures below are followed:

##### **A. General Statement**

1. The Executive Committee plays an important role in the tenure and promotion process. This committee shall be elected annually by a secret ballot vote of all full-time faculty. The Executive Committee will consist of three full-time, tenured faculty members with their primary appointment in the Department of History. The chair shall preside over the Executive Committee, but has no vote on any matters before the committee.
2. In assessing the performance in the six categories listed below of the faculty member on probationary appointment, the tenured faculty will consult as broad a range of evidence as is available. In pursuance of this goal, the chair, early in the spring semester of the academic year preceding the critical year, will send the faculty member on probationary appointment a letter reminding him or her of the upcoming critical year. If the faculty member wishes to apply for promotion, he or she should then supply to the Executive Committee by August 15 the candidate's part of the dossier, as described on pages II.A.5.4-5 of the *College Policy Binder*. The chair or candidate may add other evidence that pertains to the qualifications of the faculty member on probationary appointment.
3. If a faculty member on probationary appointment intends to apply for tenure and promotion, he or she must inform the chair of this intention before April 1.

##### **B. External Referees**

1. Integral to the Executive Committee and tenured faculty's assessment of a candidate are letters from external referees. By April 15 preceding the critical year the candidate shall supply to the chair a list of six to ten persons qualified to comment on the candidate's scholarship and standing in the field. The candidate may also submit the name or names of any referees who may be biased against the candidate.
2. The chair may add further names to the candidate's list of potential referees. In consultation with the Executive Committee, the chair will then select from the list a group of names to act as external referees. Half of the names in this initial selection must come from the candidate's list. The chair will then solicit the opinions of these referees on the candidate's scholarship and academic standing, using the form letter in Appendix A. In the event that fewer than three external referees agree to evaluate the candidate, the chair, in consultation with the Executive Committee, will select additional names from the list. In no case may there be less than three external referees. External evaluators shall receive copies of all of the candidate's scholarly, peer-

reviewed publications pertinent to the application. The external letters will be made available to all tenured faculty.

#### C. Internal Recommendations and Review

1. By May 1 the candidate shall supply to the chair the name of one colleague from within the department to act as an internal evaluator. The chair will select an additional colleague, whose identity will not be revealed to the candidate, and will then solicit evaluations and recommendations from both using the college form. Colleague recommendations will be placed in the dossier after the department meeting and will, therefore, not be seen by the candidate, faculty, or members of the Executive Committee.
2. By May 1 the candidate shall supply to the chair the name of one undergraduate student that the candidate believes can fairly and accurately judge his or her teaching abilities. The chair will select an additional student using the same criteria. Neither student should be currently under the candidate's instruction. The chair will solicit a letter from both students, asking them to evaluate the candidate's skill as a teacher, knowledge of the subject, and, if appropriate, abilities as an academic advisor. Under no circumstances should the candidate directly solicit a student letter, nor discuss the contents of the letter with the student. Both letters will be available for review by the tenured faculty, but not the candidate (*College Policy Binder*, II.A.5.6). Student letters will be kept in the strictest confidence.
3. During the spring semester preceding or the fall semester of the critical year, the chair and at least one member of the Executive Committee will attend one or more classes of the faculty member under consideration for promotion. Other tenured faculty members may also attend these classes if they so desire. The untenured faculty member will be informed in advance of the dates of these visits.

#### D. Procedures for Tenure Deliberations

1. All materials constituting the candidate's portion of the dossier (*College Policy Binder*, II.A.5.4-5) must be submitted to the department chair by August 15. This evidence, along with any other supporting material the candidate or chair might provide, and the materials outlined in the department's part of the dossier (*College Policy Binder*, II.A.5.6) will be collected and made available in the chair's office. All members of the tenured faculty are requested to review this material as thoroughly and as carefully as possible.
2. Tenured members on leave may participate in promotion decisions if they so desire. The chair will contact members on leave to determine their willingness to participate. If they decide to take part, they will be supplied with as much information as is feasible and their opinions and votes solicited by the most appropriate method available.
3. All materials of the dossier, including supporting materials and external letters, will be evaluated by the Executive Committee before September 1. The Executive Committee will vote whether to recommend the approval or denial of the application. One member of the Executive Committee will produce a written summary of the committee's deliberations, reasoning, and recommendation.

4. One copy of the Executive Committee's report will be deposited in the departmental office or chair's office at least one week before the meeting of the tenured faculty. Tenured faculty may review the recommendation there, but may not copy or remove it from the office. The contents of the report will be kept strictly confidential.
5. On or before September 15 the chair will call a meeting of all tenured faculty to discuss the qualifications of the candidate for promotion. At that meeting the representative of the Executive Committee will deliver the committee's recommendation. The chair will then solicit comments and questions from all tenured faculty. During this discussion every attempt should be made to arrive at a departmental consensus of opinion on the merits of the application. When deliberations are complete the chair will call for a secret ballot vote of all tenured faculty. Ballots will be read and counted at that meeting. The discussions and decisions of this meeting will be held in the strictest confidence by all tenured faculty.

#### E. The Chair's Letter

1. After the tenured faculty have voted, the chair adds his or her own letter of recommendation to the dossier (*College Policy Binder*, II.A.5.6). The chair alone composes this letter, however, a draft will be made available to the Executive Committee for review and possible revision before it is forwarded to the Dean. The chair should carefully consider the advice of the Executive Committee, but is under no obligation to make changes to the letter suggested by the committee.
2. The chair's letter will summarize and explain the Executive Committee and tenured faculty's evaluation of the evidence related to the candidate's scholarship, teaching, and service. If the vote to recommend or deny tenure is divided, the chair's letter should present both sides of this dispute as clearly and fairly as possible. The chair will also express his or her own evaluation of the candidate and make a recommendation on the application.

#### F. Materials Sent to the Dean

1. By October 1, the chair will send to the Dean of the College of Arts and Sciences the following materials: a cover sheet (supplied by the college) on which the vote of the tenured faculty is recorded, a copy of the departmental criteria for tenure and promotion, the candidate's part of the dossier (*College Policy Binder*, II.A.5.4-5), the chair's form and letter of recommendation, the recommendation of the Executive Committee, both internal colleague letters, both student letters, and all letters from outside evaluators.
2. If so requested, the chair will also forward some or all of the candidate's written work, published reviews of such work when available, and any other supporting documentation that the Dean or a university committee or committees may require.

#### G. Applications for Promotion to Full Professor

1. With a few exceptions outlined below, the procedures and deadlines for evaluating a candidate's application for promotion to full professor are the same as those for evaluating an application for tenure and promotion to associate professor outlined above.
2. An associate professor who intends to apply for promotion must inform the chair of the department on or before April 1.

3. The Executive Committee plays no role in the evaluation of an application for promotion to full professor.
4. The duties of the tenured faculty and Executive Committee in a tenure decision (as listed above), are in the case of an application for promotion to full professor the sole responsibility of a committee of all full-time, full professors with primary appointments in the Department of History.

## **Evaluation of Untenured Faculty**

### **A. Annual Review**

1. In accordance with college policy (*College Policy Binder*, II.A.4.4), the chair will evaluate the performance of untenured faculty annually.
2. One of the most important duties of a department chair is to look after the best interests of the department's untenured faculty. Therefore, in addition to evaluating untenured faculty members' teaching, research, and service, the chair will give special consideration in his or her annual evaluation to the progress the faculty member is making toward meeting departmental tenure requirements. The chair should take care honestly to report to the faculty member any deficiencies or other causes for concern that may play a role in a later tenure decision, and suggest ways to overcome these difficulties
3. During the annual review, if the chair finds that an untenured faculty member is significantly deficient in one or more areas, he or she will forward the written review to the Executive Committee. After reading the chair's evaluation and meeting with the untenured faculty member, the Executive Committee will deliberate and decide on a course of action. Such actions may include, but are not limited to, counseling, or the recommendation of disciplinary action or termination in accord with the procedures set forth in the *Faculty Manual*.

### **B. Third Year Review**

1. By November 1, untenured faculty in the third year of their appointment will submit to the Executive Committee a letter summarizing their activities and achievements in teaching, research, and service since the initial appointment.
2. The Executive Committee will evaluate the untenured faculty member by consulting a variety of evidence, including all written work (published and unpublished), course syllabi, student evaluations, classroom performance as evidenced during classroom visitations, and service to the department, college, university, and profession.
3. The chair will produce a written report that summarizes the findings of the Executive Committee and reflects his or her own evaluation of the untenured faculty member. This report will be reviewed and approved by the Executive Committee. In the event that the Executive Committee and chair do not agree, two separate letters will be submitted.
4. The chair will meet with the untenured faculty member and discuss with him or her the review. The faculty member will receive a copy of the written evaluation.
5. The third year review will be forwarded to the dean by February 15.

## II. Criteria

### Criteria for Promotion to Associate Professor with Tenure

#### A. Teaching

1. Candidates must demonstrate effective teaching. Evidence will include written sources such as student recommendation letters (see I.C.2 above), student evaluation scores, course syllabi, etc. Written and oral reports of classroom visitations by the chair, Executive Committee members, and tenured faculty members will also be considered. Recurring voluntary comments from students concerning the performance of the candidate will be considered, provided that the range of these is sufficient to provide a full, fair, and unbiased assessment.
2. Teaching performance will usually be judged primarily on qualitative considerations: that is organization of courses and lectures; effectiveness of communication; standards with regard to assignments, requirements, and examinations; and responsibility in meeting classes, grading and returning examinations and papers, and maintaining regular office hours.
3. Faculty specializing in an area in which the department offers graduate degrees will also be judged on their ability to direct independent work, masters theses, and doctoral dissertations (if appropriate).

#### B. Advising

1. Candidates must demonstrate that they are effective student advisors. Evidence will include participation in academic advising; number of students advised; number of letters of recommendation written; and comments in the two formal student letters of recommendation.
2. Faculty specializing in an area in which the department offers graduate degrees will also be judged on their ability to guide and direct graduate students.

#### C. Scholarship, Research, and Creative Works

1. A favorable evaluation of a candidate's scholarship is indispensable for any positive decision on tenure and promotion. Both the quality and the quantity of a candidate's scholarship will be assessed.
2. A candidate must have engaged in substantial research resulting in a monograph accepted for publication by an academically reputable press or, in exceptional cases, substantial articles in leading peer-reviewed history journals will be considered as meeting this publication requirement. Candidates should also participate in professional organizations beyond the local level by contributing and commenting on papers.
3. In judging the candidate's scholarship, major emphasis will be placed on the quality of publications. The Executive Committee and tenured faculty will be particularly interested in such characteristics as the originality of the research and analysis, the methods and sources used, the effectiveness of presentation in terms of organization and style, and the significance of the scholarship as a contribution to historical understanding.

D. Professional Service

1. Candidates must give evidence of service or willingness to serve on departmental, college, and university committees. Evidence of other types of service to the community is also useful. Candidates may also include evidence of service to the profession, such as book reviews, invited lectures, and official positions in professional organizations.

E. Skill and Knowledge of Field

1. A candidate will demonstrate skill and knowledge in his or her field by excellence in teaching and scholarship.

F. Collegiality

1. Collegiality consists of constructive and professional relations within the department. Evidence will include colleague letters solicited as part of the review process, as well as the individual experiences of tenured faculty with the candidate.

**Criteria for Promotion to Professor**

A. Teaching

1. The candidate must demonstrate a continued commitment to excellence in teaching. Particular consideration will be given to the instruction and direction of graduate students, if the candidate specializes in an area in which the department offers graduate degrees. Acceptable evidence of effective teaching is the same as that outlined above for promotion to associate professor.

B. Advising

1. The candidate must demonstrate a continued commitment to advising, as evidenced by materials outlined above for promotion to associate professor. If appropriate, candidates must also be effective graduate student advisors, particularly as it concerns their students' future prospects on the academic job market.

C. Scholarship, Research, and Creative Works

1. The candidate must demonstrate a continued record of scholarship, resulting in a distinguished national or international reputation in the field. The candidate's research must have resulted in a second monograph published by an academically reputable press or, in exceptional cases, substantial articles in leading peer-review history journals will be considered as meeting this publication requirement.
2. Further evidence of outstanding scholarship and professional reputation may include awards and prizes, impact on the field, and the ability to attract graduate students.

D. Professional Service

1. Beyond the level of service required for promotion to associate professor, the candidate must show evidence of substantial service to the profession, including such activities as

book reviews, referee work, panel discussions, official positions in professional organizations, etc.