

University Committee on Academic Rank and Tenure (UCART) Standard Operating Procedures

Approved by the Provost: October 30, 2023

General Principles

- The procedures below supplement the general procedures described in the *Faculty Manual*. The *Faculty Manual* takes precedence if these procedures are in conflict with the current *Manual*.
- All UCART representatives and the UCART chairperson should strive for objectivity when considering the merits of a dossier.
- When presenting a dossier, each UCART representative strives for objectivity.
- All dossiers are reviewed by UCART representatives and the UCART chairperson. Dossiers that are not approved for the consent agenda are presented to UCART by the UCART representative from the home college/school. The UCART representative from the home college/school, and all UCART representatives who are present and not recused, make a recommendation for or against promotion, promotion with tenure, or tenure only.
- Votes are based on the merits of a dossier relative to the standards, relative weightings, and interpretations described that are pertinent to each applicant. As needed, UCART may seek additional information to make an informed recommendation.
- UCART discussions, votes, and recommendations related to dossier are confidential.
- To consider promotion/tenure dossiers, a majority of UCART representatives, excluding the UCART chair (e.g., a quorum) must be present.
 - Applications submitted to the Office of the Provost after December 1st will normally not be reviewed until spring of the next academic year. Extraordinary circumstances will be handled at the Provost's discretion.
- UCART provides the Provost with the vote totals and a written summary of findings for each dossier.

UCART Composition

- The chairperson is a tenured Professor appointed by the Provost for a three-year term, renewable once, from a list of at least three names recommended by the Faculty Senate Executive Committee (FSEC). Re-appointment is made by the Provost on the recommendation of the FSEC, following the Provost's consultation with current UCART members. The chairperson may be removed by the Provost only for good cause shown. (Per the 2023 *Faculty Manual*)
- The remainder of the Committee is composed of one member of the faculty of each College or freestanding School and of the University Libraries, elected by their respective faculty assemblies or equivalent group. (Per the 2023 *Faculty Manual*)
 - Members are ordinarily tenured Professors. Exceptions are permitted should a unit not have eligible faculty at the time of an election; in such cases, Associate Professors and/or non-tenure track Associate Professors or Professors may serve. (Per the 2023 *Faculty Manual*)
 - Members serve three-year terms, renewable once. (Per the 2023 *Faculty Manual*)
 - Additionally:
 - ❖ If a member is completing an unfilled term for some reason, that term will not count toward the member's full terms.
 - ❖ A UCART member's term will be extended for one year when they take a sabbatical or other official leave during their term (whether semester or year). The extension will not count as part of their three-year term, allowing them to serve the full three years, or six, if on a second term.
 - ❖ Faculty serving as substitutes during sabbaticals or other official leaves will serve only for that limited time.

Definitions

- Consent Agenda: Eligible dossiers, in cases of requests for promotion only, when there are no dissents at prior levels of review. If UCART approves the dossier for the consent agenda, the dossier is not presented by the UCART representative and vote totals are recorded as all voting members approving promotion, with any recusals noted. The figure at the end of this document outlines the process for the consent agenda.
 - Dissent: Not recommending promotion, promotion with tenure, or tenure only
 - Dossier: The material presented to UCART. These materials typically* include:
 - Promotion And Tenure Cover Sheet & Vote/Support Summary provided by the UCART secretary.
 - Evaluations from prior levels of review.
 - Evaluations from colleagues within the University.
 - Evaluations from individuals external to the University.
 - Submissions by the faculty member such as CV and personal statement.
 - The applicable processes and standards.
- *Departmental/College/School/Library procedures and standards may vary.
- Provost Summary: A written summary of UCART findings for each dossier.
 - Recommendation: Based on the vote totals, UCART recommends or does not recommend promotion, promotion with tenure, or tenure only.
 - Representative Summary: The written summary of the findings and evidence from prior levels of review prepared by the unit's UCART representative. The Representative Summary becomes the basis of the Provost Summary. Representative Summaries are deleted at the end of the spring semester.
 - UCART Secretary: The manager of the Office of Faculty Affairs in the Office of the Provost.
 - Votes: UCART representatives and, in the event of a tie, the UCART chairperson, vote:
 - For recommending promotion, promotion with tenure, or tenure only
 - Against recommending promotion, promotion with tenure, or tenure only

UCART Representative Role

1. When Attending Unit-level Dossier Review Meetings Occurring Prior to the UCART Review
 - a. When the UCART representative attends their unit's meetings at any level of review (e.g., department / school), the UCART representative does so as an *ex-officio* member.
 - b. The UCART representative does not contribute to the discussion related to the merits of the dossier.
 - c. The UCART representative does not provide a verbal recommendation.
 - d. The UCART representative does not vote on the dossier.

Rationale: Attendance by the UCART representative at dossier review meetings is valuable, as this enables the UCART representative to listen to the discussion to provide context as needed at the UCART meeting. The UCART representative may also clarify UCART processes for local-level committee members should questions arise. The UCART representative provides their vote only at the UCART meeting. Providing input and/or a vote at an earlier level of review violates the principle of "one vote."

2. When Assisting Faculty Seeking Promotion and/or Tenure
 - a. The UCART representative may answer faculty questions regarding UCART processes.
 - b. The UCART representative should not provide judgements regarding the relative merits of a faculty member seeking promotion and / or tenure to the candidate. Rather, such guidance may be provided by the department chairperson or comparable administrator or by the chair of the unit

rank and tenure committee. Mid-point reviews of tenure-track faculty and third-year reviews of non-tenure track faculty are also a source of guidance for the faculty candidate.

- c. Should the UCART representative provide guidance to a faculty member that goes beyond explaining UCART processes, the UCART representative should disclose the type of guidance provided at the UCART meeting. An example of such guidance includes, but is not limited to, reviewing some or all parts of the dossier (e.g., faculty statement, presentation of teaching materials).

Rationale: The UCART representative is in a unique position to help the unit faculty understand the process of dossier review at the UCART level. Providing information regarding the process adds transparency to one aspect of the promotion and tenure review. In some units, the UCART representative may be the person most able to provide guidance to a faculty member. Informing UCART of such guidance at the UCART meeting adds transparency to the process.

3. Responsibilities Preparing for a UCART Meeting

- a. All UCART representatives and the UCART chairperson familiarize themselves with all dossiers scheduled to be reviewed.
- b. All UCART representatives and the UCART chairperson review the meeting agenda and note any errors or omissions.
 - i. Errors or omissions in the meeting agenda should be communicated to the UCART chairperson who will notify the UCART secretary.
- c. All UCART representatives and the UCART chairperson review the summary of the previous UCART meeting and note any errors or omissions.
 - i. Errors or omissions in the meeting summary of the previous UCART meeting should be communicated to the UCART chairperson who will notify the UCART secretary.

Rationale: All UCART representatives and the UCART chairperson are expected to vote for or against requests for promotion, promotion with tenure, or tenure only (see exceptions related to recusal). The UCART chairperson provides a vote in the event of a tie vote. Review of materials prior to a UCART meeting enables UCART representatives to ask relevant questions related to the dossiers and contribute to discussions of the dossiers. Likewise, when a dossier is eligible for the consent agenda, all UCART representatives are expected to vote for or against approving a dossier for the consent agenda. Review of materials prior to a UCART meeting enables UCART representatives to vote for or against approving a dossier for the consent agenda. The summary of the previous UCART meeting is the documentation of record of the UCART recommendations and is maintained by the UCART secretary.

4. During a UCART Meeting When Their Unit's Dossiers are Presented

- a. The UCART representative prepares a written Representative Summary of the findings from prior levels of review for each dossier from their unit. This is the basis of the written Provost Summary. UCART representatives should use the Provost Summary template to format their Representative Summary document.
 - i. The UCART chairperson assumes the role of preparing and presenting the Representative Summary of dossiers for applicants in units not represented on UCART.
- b. Dossiers that are not approved for the consent agenda are presented verbally by the UCART representative. The UCART representative shares their Representative Summary during the presentation with the committee and provides a copy to the UCART chairperson.
 - i. When presenting a dossier, the UCART representative seeks to be as objective as possible and avoids making value statements during the presentation.
 - ii. When a dossier has one or more dissenting recommendations at prior levels of review, the UCART representative should, to the extent possible, explain the dissenting recommendations and any counters to the dissenting recommendation(s).

- c. The UCART representative should be familiar with the unit's promotion and tenure processes and standards and their interpretation and application.
- d. The UCART representative should not indicate their vote during the presentation.
- e. The UCART representative answers questions from other UCART members.
- f. During discussion of a dossier, all UCART representatives, as well as the UCART chairperson, may voice their opinions regarding the merits of the dossier (see exception under *recusal*).
- g. Discussions of a dossier are not recorded by video or audio.
 - i. The UCART chairperson may take notes during the discussion (see, Role of the UCART chairperson during a UCART meeting).

Rationale The UCART representative for each unit likely has the greatest insight into the unit's promotion and tenure processes and standards and how they are interpreted and applied at the unit level. Likewise, the UCART representative may have insight into the relative merits of a particular dossier. While insight into the relative merits of a particular dossier is useful to other UCART representatives, it is only one piece of information that UCART considers when voting.

The Voting Process

1. UCART representatives may not abstain from voting.
2. Recusal for cause from voting is allowed. The reason for the recusal is given and recorded but the identity of the recusant is not disclosed.
 - a. All UCART representatives should refrain from voting and writing colleague letters at prior levels of review. Should a UCART representative have already voted or written a colleague letter, they should recuse themselves from consideration of the related dossier.
 - b. Other reasons for recusal for cause include, but are not limited to: existence of a personal relationship between the UCART representative and faculty member seeking promotion, promotion with tenure, or tenure only; existence of a professional relationship between the UCART representative and faculty member, whereby the UCART representative would benefit from a recommendation for or against promotion, promotion with tenure, or tenure only.
 - i. When recused, the UCART representative should not engage in the discussion of the dossier or vote and must leave the meeting for the duration of the discussion.
 - ii. When a UCART representative who would typically present a dossier is recused, the UCART chairperson assumes the role of preparing and presenting the Representative Summary.
3. All UCART representatives vote at the same time.
4. The UCART chairperson votes only in the case of a tie vote.
5. Voting is not by secret ballot, but by show of hands or voice vote at the meeting.
6. The majority of votes for or against recommending promotion, promotion with tenure, or tenure only, represents the UCART recommendation.
7. UCART representatives who cannot attend a meeting do not provide written or verbal input and do not vote.
8. UCART can table a vote on a dossier when additional information is needed.

Rationale: UCART representatives and the UCART chairperson should seek to avoid actual conflict of interest as well as the appearance of conflict of interest.

The UCART representative's votes for their unit's dossiers may have additional salience. Asking all UCART representatives to vote at the same time may limit undue salience.

UCART Chairperson Role

1. Preparing for a UCART Meeting

The UCART chairperson identifies dossiers eligible for the consent agenda and sends this list to the UCART representatives, ideally two days ahead of the meeting.

2. During a UCART Meeting

- a. The primary role of the UCART chairperson during a meeting is to facilitate discussion.
- b. The UCART chairperson records attendance.
- c. The UCART chairperson takes meeting notes that summarize the discussion. These notes are used, in conjunction with Representative Summaries, when writing the Provost Summary (section *UCART Recommendation and Rationale*). Meeting notes are deleted at the end of the spring semester.
- d. The UCART chairperson asks for approval of the summary meeting notes for the previous meeting. Corrections are noted and conveyed to the UCART secretary.
- e. The UCART chairperson asks UCART representatives to affirm that the dossiers eligible for the consent agenda are approved.
 - i. The vote total for dossiers approved for the consent agenda is recorded as the number of UCART representatives present voting for promotion, with any recusals noted.
- f. For dossiers not eligible or not approved for the consent agenda, the UCART chairperson records the vote totals, and the UCART recommendation. The UCART chairperson also states the vote totals and the UCART recommendation. A second UCART representative confirms the vote totals and the UCART recommendation.
 - i. The vote is recorded as the number voting for promotion, promotion with tenure, or tenure only, the number voting against recommending promotion, promotion with tenure, or tenure only, and the number of recusals.
 - ii. After the vote, the UCART chairperson offers all UCART representatives an opportunity to state their rationale for voting for or against recommending promotion, promotion with tenure, or tenure only.
 - iii. After the vote, the UCART chairperson verbally summarizes the discussion.
- g. When the UCART chairperson must be absent for a meeting or may have a conflict of interest with an applicant for promotion and/or tenure, a UCART representative who is in the second or third year of their first term or in any year of their second term assumes the duties of the UCART chairperson for that meeting/dossier discussion. The identification of a substitute chairperson is made by the UCART chairperson in consultation with the UCART secretary prior to the start of the spring semester.

Rationale The Provost requests a rationale for the UCART recommendation. When the UCART vote is split, or unanimous against recommending promotion, promotion with tenure, or tenure only, the UCART rationale is especially useful. Hence, UCART representatives are encouraged to share reasons for their vote.

3. After a UCART Meeting

- a. The UCART chairperson provides the UCART secretary with a written summary of the attendance, the vote totals, and UCART recommendations.

- b. The UCART chairperson and the applicable UCART representative work with the relevant unit and the UCART secretary when additional information is needed to resolve issues related to a tabled dossier.
- c. The UCART chairperson prepares a draft Provost Summary using the Representative Summary and meeting notes.
- d. The UCART chairperson notifies UCART representatives when draft Provost Summaries are ready for review and provides a deadline for review and comment.
 - i. Each UCART representative is expected to review draft Provost Summaries for their unit.
 - ii. All UCART representatives are encouraged to review all draft Provost Summaries.
 - iii. As needed, feedback from each UCART representative is incorporated into the Draft Provost Summaries.
- e. After the deadline for review, the UCART chairperson notifies the UCART secretary that the Provost Summaries are ready.

Review of New and Revised Evaluation Processes and Standards for Promotion and Tenure

1. New and revised evaluation processes and standards for promotion and tenure from units within the University, along with initial comments from the UCART secretary, are provided to UCART.
2. UCART representatives and the UCART chairperson provide recommendations for the new or revised evaluation processes and standards for promotion and tenure. The recommendations are not put up for a vote.
3. The UCART chairperson provides the UCART secretary with a summary of the recommendations for new or revised evaluation processes and standards, which are next submitted to the Provost for their review and approval.
4. Review of new or revised evaluation processes and standards for promotion and tenure normally occurs in the fall semester, and may be continued in the spring semester if UCART meeting time is available.

Revisions to the UCART Standard Operating Procedures

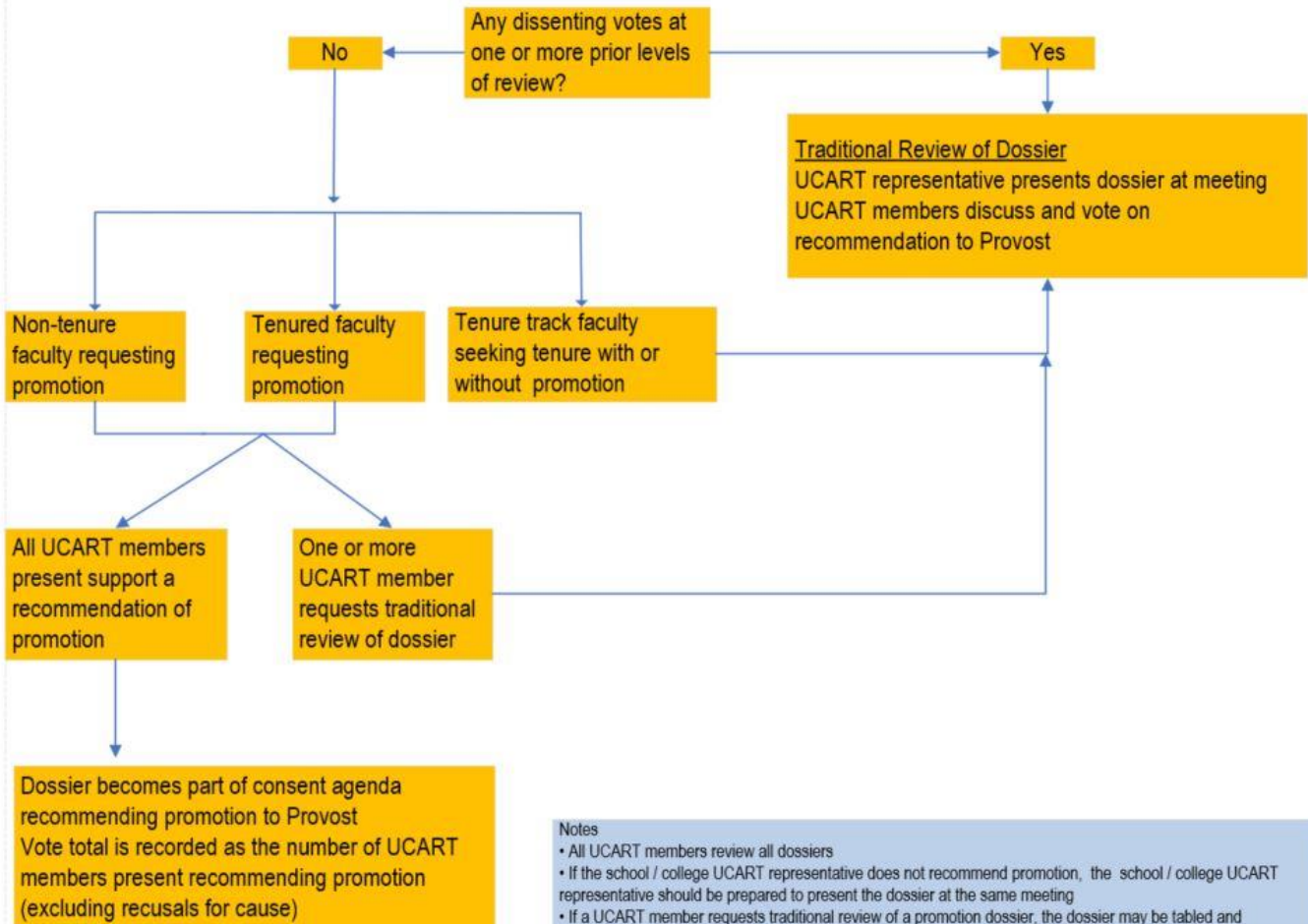
1. As needed, UCART may revise the UCART Standard Operating Procedures in consultation with the UCART secretary.
2. Revisions are subject to review by the Provost.

UCART Meetings

1. UCART meets on Tuesdays from 2:00pm to 4:00pm during the fall and spring semesters.
 - a. Fall Semester meetings may include, but are not limited to:
 - i. Review of new and revised evaluation processes and standards for promotion and tenure.
 - ii. Review of UCART Standard Operating Procedures
 - iii. Orientation meeting for all UCART representatives.
 - iv. Training of new UCART representatives, by the UCART secretary.
 - b. Spring Semester Meetings.
 - i. The dossiers of individuals seeking promotion, promotion with tenure, or tenure are reviewed only during spring semester meetings. UCART representatives should plan to meet weekly during the spring semester except for spring break and holidays.

- ii. Review of new and revised evaluation processes and standards for promotion and tenure may be continued.

The Consent Agenda Process



Notes

- All UCART members review all dossiers
- If the school / college UCART representative does not recommend promotion, the school / college UCART representative should be prepared to present the dossier at the same meeting
- If a UCART member requests traditional review of a promotion dossier, the dossier may be tabled and discussed at a subsequent meeting