# POTTER COLLEGE of ARTS & LETTERS

**WESTERN KENTUCKY UNIVERSITY**

**College Policies Governing Reviews**

**for Continuance, Tenure, and Promotion**

### The challenges facing a public university in the 21st century require a flexible and inclusive approach to the evaluation of faculty work. Potter College recognizes and encourages a broad range of faculty accomplishments in the traditional areas of faculty responsibility—teaching effectiveness, scholarship (research, creative and professional activity), and service to the university, discipline, or community.

### The college expects faculty work in all areas to be excellent in quality, appropriately documented, and a contribution to the major areas of faculty responsibility. The evaluation of faculty work relies heavily on the process of peer review. Faculty receiving tenure and/or promotion will have demonstrated professionalism in their teaching, scholarship, and service, a commitment to working in a mutually respectful and productive fashion with colleagues and students, and active support of the mission and goals of the Department, College, and University. Our tenure and promotion standards and processes are in accord with those in the Faculty Handbook, and they also provide the framework for continuance reviews, annual evaluations, and post-tenure review.

### Academic Qualifications for Appointment to Tenurable Positions\*

### The College sets the following academic standards for appointment to a tenure-track position in its departments.

### Art

#### Art History--Ph. D. in Art History Art Education--Ph. D./Ed. D. in Art Education Studio--Ph. D./MFA in Art

### Communication

Communication--Ph. D. in Communication

### English

Literature--Ph. D. in English or Comparative Literature   
Linguistics/ESL--Ph. D. in English, Linguistics, and/or ESL

Composition or Professional Writing--Ph. D. in English, Composition & Rhetoric, or

Professional Writing   
Creative Writing--Ph. D. in English and/or Creative Writing; MFA in English

+substantial publications in the field

English Education--Ph. D. or Ed. D. in English or English Education

### Folk Studies and Anthropology

Folk Studies--Ph. D. in Folklore   
Anthropology--Ph. D. in Anthropology

### History

History--Ph. D. in History

### Journalism and Broadcasting

Ph. D. in Journalism, Advertising, Public Relations, or Mass Communication + 3 years of appropriate professional experience

Master’s in Journalism, Broadcasting, Communication, Advertising, Public Relations, Photojournalism/Visual Communication, or Mass Communication + 5 years of appropriate professional experience

### Modern Languages

Languages--Ph. D. in Language or Linguistics

#### Music

Music History--Ph. D. in Music History   
Musicology--Ph. D. in Musicology   
Music Education--Ph. D., Ed.D., or DME in Music Education

Music Theory/Composition—DMA, DM, Ph. D.  
Studio--DMA, DM, or MM in Music + 10 years of appropriate professional experience

### Philosophy and Religion

Philosophy--Ph. D. in Philosophy   
Religion--Ph. D. in Religious Studies

### Political Science

Political Science--Ph. D. in Political Science   
Public Administration--Ph. D. in Political Science or Doctor of Public Administration

### Sociology

Sociology--Ph. D. in Sociology

### Theatre and Dance

Theatre--Ph. D. or MFA in Theatre   
Technical Theatre- Ph. D./MFA in Theatre or MA in Theatre + 10 years of appropriate professional experience   
Dance--MFA in Dance or MA in Dance + 10 years of appropriate professional experience

\*Exceptions can be made for those with clearly exceptional academic or professional qualifications.

### The Tenure Review Process

Full-time faculty members appointed to tenure-track positions at the rank of Assistant Professor, Associate Professor, or Professor are appointed with the understanding that there will be a probationary period. Faculty members appointed at the rank of instructor are employed on an annual or multi-year contract and are not eligible for tenure.

In addition to the regular annual evaluations of all faculty, untenured faculty will undergo continuance reviews in the second through fifth years of their probationary period. At the beginning of each fall semester department heads will submit to the dean of the college a cumulative evaluation of these faculty. The purpose of this evaluation is to determine whether there has been sufficient progress toward tenure to justify continuation of the faculty member. In making the evaluations on progress toward tenure, department heads shall consult with the tenured faculty in the department and shall evaluate the faculty member specifically in the areas of teaching, research/creative activity, and public/university service. Any deficiency in performance will be clearly stated, and the faculty member under review will be given a copy of the evaluation with an opportunity to respond.

Appendix I: Potter College Continuance Review Policy outlines the steps departments will follow in conducting continuance reviews.

The department head's evaluation and recommendation will be submitted to the college dean no later than **September 10**. In case of a negative recommendation, the department head will inform the faculty member in writing. The dean's response and recommendation shall be submitted to the Vice President for Academic Affairs no later than **September 20**. The Vice President will submit any negative recommendation to the President by **September 25**. The President will notify any faculty member of his/her non-continuation on or before **October 1**.

The probationary requirement may be satisfied through full-time service as follows:

1. Six years as an Assistant Professor or above at Western Kentucky University.

2. Under exceptional circumstances, tenure may be considered in less than the usual probationary time if the faculty member has had extended service in a professorial position at another institution or has an exemplary record of scholarship and teaching.

3. Authorized leaves of absence will not be credited toward eligibility for tenure unless otherwise specified at the time they are taken.

4. A faculty member may withdraw from the tenure process without prejudice any time before the sixth year of service at Western; in the sixth year a tenure decision must be made.

**The College follows these procedures in making tenure recommendations:**

1. The department head will be responsible for notifying probationary faculty of the date for consideration of mandatory tenure. A faculty member who has been considered for tenure before the sixth year of service at Western may withdraw from the process at any time without prejudice; however, in the sixth year a tenure decision must be made. Faculty members whose initial appointment begins in January do not count the first (spring) semester toward this six-year requirement. Faculty members may extend the probationary period for certain family-care responsibilities as described in WKU Policy and Procedure Document 1.1240: Extension of the Probationary Period at <http://www.wku.edu/policies/academic_affairs.php>.

2. The faculty member being considered will be responsible for providing the department head by **October 1** with any materials which he/she wishes to be considered by the tenured faculty in a tenure decision.

Appendix II: Applications for Faculty Promotion or Tenure Guidelines for Submission of Supporting Materials is an Academic Affairs document describing content and format for these applications.

3. Before **November 1** the department head will convene the tenured faculty and preside at the election of a chair of the tenure committee. The tenured faculty in executive session will discuss the credentials of all faculty eligible for tenure and make appropriate recommendations to the department head. The tenured faculty will vote by secret ballot to recommend tenure or not to recommend tenure. The department head is not eligible to vote. Faculty members who are unable to be present at the meeting must notify the department head in advance and with the consent of the department head may submit a sealed envelope with a separate ballot for each person under review. The committee chair will apprise the tenured faculty confidentially of the faculty vote at the meeting and will report the vote in writing to the department head. This vote will constitute the recommendation of the tenured faculty to the department head. The department head will notify the candidate of the vote of the tenure committee.

4. The department head will submit a written recommendation on each faculty member eligible for tenure to the dean by **November 1**, and will include the results of the tenured faculty vote. The department head will advise the candidate of his/her recommendation in writing before **November 15**. The candidate may provide a written response to the recommendation.

5. The dean will submit a written recommendation to the Vice President for Academic Affairs and forward the department's and the department head's recommendations by **December 1**. The dean will notify the candidate of his/her recommendation in writing by **December 15**. The candidate may provide a written response to the recommendation.

6. The Vice President for Academic Affairs will make a recommendation to the President by **February 1** and will forward the department's, the department head's and the dean's recommendations and any response by the candidate. The Vice President will inform the candidate of his/her recommendation by **February 15**.

7. The President will make recommendations to the Board of Regents at the April meeting. The faculty member will be notified of the final tenure decision by **May 15** and, in case of a negative one, will be allowed an extension of one year only.

### Tenure and Promotion Requirements

Potter College and its departments will normally link tenure and promotion; candidates recommended for tenure should qualify for the rank of associate professor. However, tenure and promotion are separate processes, and departments must act separately on each of them.

The dean’s review will apply the standards established by Potter College in accord with university standards. The dean will also assure that department standards are of equal rigor across the college and comply with college and university standards.

**Tenure**

Decisions concerning tenure will be based on performance in the following categories: instructional effectiveness, research and scholarship (Potter College defines this category as research and creative and professional activity), and service to and for the university. The specific areas of performance are the same as those found in Section III.C of the Rank and Promotion Requirements described in the **Faculty Handbook**. It is understood that the faculty member seeking tenure will cooperate in working with colleagues in carrying out the University’s educational mission. In administering faculty tenure appointment policy, the University follows the 1940 **Statement of Principles on Academic Freedom and Tenure (With 1970 Interpretive Comments)** developed by the Association of American Colleges and Universities and the American Association of University Professors. Faculty receiving tenure will have demonstrated professionalism in their teaching, scholarship, and service, a commitment to working in a mutually respectful and productive fashion with colleagues and active support of the mission and goals of the Department, College, and University.

**Promotion**

University policy requires the following for promotion at every rank: demonstrated achievement appropriate for this rank in teaching effectiveness, scholarship (Potter College defines this category as research and creative and professional activity), and university/public service.

Appendix II: Applications for Faculty Promotion or Tenure Guidelines for Submission of Supporting Materials is an Academic Affairs document describing content and format for these applications.

The procedures for promotion are those outlined in the **Faculty Handbook**.

Demonstrated achievement will be considered only as it is relevant to the individual's area of professional competence. Only contributions since the last promotion will be considered for the next promotion. It is the responsibility of the candidate seeking promotion to provide promotion committees with the appropriate evidence on which to base a decision following submission guidelines provided by the Provost’s Office. Departments will develop specific quantitative and qualitative criteria appropriate to their disciplines, and evaluation of all areas, both at the Departmental and at the College levels, will take these criteria into consideration. The standards for promotion to full professor should be more rigorous than those for promotion to associate professor. Faculty receiving promotionwill have demonstrated professionalism in their teaching, scholarship, and service, a commitment to working in a mutually respectful and productive fashion with colleagues and students, and active support of the mission and goals of the Department, College, and University.

**Potter College Criteria and Guidelines**

# Effective Teaching and Academic Advising

In the evaluation of faculty work, Potter College places its major emphasis on teaching effectiveness and requires excellent teaching for tenure and promotion.All candidates for promotion and tenure must demonstrate the following **characteristics** of effective teaching and academic advising that promote student learning:

* sound, extensive, and current knowledge of area of expertise, and the ability to convey it successfully to students
* superior teaching skills reflected in the quality of student work and in student learning
* excellent planning, preparation, and organization of teaching materials (prepared for class; clearly stated course objectives and assignments; well-organized presentations; challenging student assignments; good use of class time)
* effective presentation in an instructional setting (encourages student questions, comments/discussion and differing points of view; uses a variety of teaching techniques; conveys enthusiasm about the subject; communicates effectively in an instructional setting)
* the ability and willingness to experiment, to develop new instructional techniques and methods, and to revise and improve course materials
* individual initiative, academic responsibility (returning student work in a timely fashion, holding office hours, keeping appointments, meeting classes), and self-evaluation of courses (revising notes, student assignments, and test materials)
* consistent and fair methods of assigning, evaluating, and grading student work
* dependable student advising on curricular and professional matters by faculty members assigned to those responsibilities

The College recognizes that excellent teaching can occur in a variety of settings and that faculty members may promote student learning using a variety of **instructional methods and activities**. These may include but are not limited to

* presentations in instructional settings (lecture, seminar, studio, or other venues)
* collaboration with students in research or in creative or professional activity
* innovative use of technology for instruction and advising
* teaching through alternative delivery such as distance and web-based learning or regional campus instruction
* use of service learning or community-based teaching strategies
* involvement in special academic programs such as Honors, Study Abroad, interdisciplinary teaching, or student retention efforts
* student advising on academic and career matters
* teaching-related grant activity

In that spirit, the College invites evidence of effective teaching and academic advising that promote student learning drawn from a variety of sources.**Documentation** may include but is not limited to

* teaching materials (e.g. syllabi, student assignments, tests, or other course-related documents)
* evidence of innovative teaching or advising methods
* student evaluations
* new courses designed and offered
* participation in workshops and activities designed to enhance instructional skills and improve discipline-based pedagogy
* annual evaluations
* examples of student work (e.g. Honors or graduate theses, scores on Praxis or other standardized discipline-specific instruments, student portfolios, juries, public performances and exhibitions)
* reflective self-evaluation
* formal and/or informal faculty evaluations and peer reviews
* record of student advising and mentoring
* record of participation in university retention efforts and programs designed to promote student success
* successful grant activity related to effective teaching and advising
* college and/or university recognition for teaching and/or advising
* other materials as appropriate

**Scholarship**

Scholarship—which Potter College defines as research and creative and professional activity--is at the heart of a university, and all candidates for tenure and promotion must present evidence of achievement appropriate to their area of expertise. Because the College includes professionally oriented disciplines as well as traditional academic disciplines, it recognizes professional activity by faculty members as well as academic research and creative activity.

Candidates for tenure and promotion must present evidence of an ongoing scholarship presented in appropriate, peer-reviewed, and professionally recognized forms.

The College recognizes that scholarship may take different forms. Scholarship may focus on new knowledge, ideas, or methods for the discipline, or it may focus on teaching and learning in the discipline. Scholarship may also be community based, addressing the problems and needs of a public beyond the campus. Scholarship may be inter-disciplinary, drawing from diverse sources. On-line scholarship that meets these standards may be considered.

As the concept of scholarship broadens beyond traditional definitions of research, the peer-review process becomes even more important in evaluating faculty work in this area. Candidates for tenure and promotion must present evidence that their work is shared with colleagues in a forum appropriate to the discipline, is reviewed by peers, and contributes to a discipline or a community. Successful grant activity related to scholarship may also constitute evidence of achievement in this area.

The College recognizes different levels of accomplishment in scholarship. For additional information about scholarship expectations for tenure and promotion, see departmental documents.

# Service

The service responsibilities assumed by faculty members are central to the work of the university, and the college requires faculty members to have an ongoing involvement in service. Candidates for tenure and promotion must present evidence of constructive participation in the work of the department, the college, and the university. Candidates must also present evidence of the use of academic expertise for the benefit of off-campus constituencies or professional colleagues.

The effective operation and collegial governance of the institution depend on the willing and active participation of faculty in its processes. Faculty members may provide service to their discipline or professional organizations**.** They may also use their expertise to address regional issues and to support public constituencies beyond the campus in keeping with the university’s commitment to serve as a regional steward. Service activities to public constituencies should be connected with the faculty member’s discipline. Faculty members may assume differing service roles at various points in their career.

The following list provides examples of service activities. It is neither an exhaustive nor a prescribed list. The College recognizes that service needs and expectations may differ from department to department. See departmental documents for additional informationabout service expectations. Effective service work could include but is not limited to evidence of

* active participation in university governance, including service on department, college, or university committees or serving in a leadership position such as University Senate Chair or Faculty Regent
* active participation in student recruitment and retention efforts
* active participation in development or institutional advancement efforts
* holding an office in a discipline or professional organization
* serving as a manuscript reviewer for a press or a journal or a funding proposal reviewer for a grants agency
* work in support of students at other universities, such as reviewing student research or serving on dissertation committees
* involvement in community activities in which the faculty member is acting as an academic professional
* work with P-12 teachers, students, or administrators through workshops or professional development projects
* successful grant activity related to service responsibilities
* efforts in support of economic development activities
* work in support of cultural programming for the community such as plays, concerts, lectures, workshops, or continuing education
* work on behalf of community-related grant applications
* serving on local, state, or national boards related to professional expertise
* active participation in department, college, or university initiatives such as building diversity or community relations

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**APPENDIX I**

**POTTER COLLEGE CONTINUANCE REVIEW POLICY**

As stipulated by the **Faculty Handbook**, Potter College conducts continuance reviews of faculty members who are in the second through fifth year of progress toward a tenure review. The purpose of the review is to mentor junior faculty and to provide them with constructive professional advice for successful career development. The university requires that department heads consult with faculty before making recommendations for continuance. With that requirement in mind, departments in Potter College will conduct continuance reviews according to these procedures.

**TIMELINE**

Department heads must provide the dean with their recommendation by September 10. The dean in turn must make a recommendation to the provost by September 20. A faculty member who is denied continuance must be notified by the president by October 1.

**RESPONSIBILITIES OF THE CANDIDATE**

Candidates for continuance must provide reviewers with sufficient materials and documentation to provide a basis for a recommendation. These must include the following:

* a faculty activities report (PCAL Digital Measures) plus any supplemental reporting required by departments
* a current vita, including membership in professional organizations, citations for publications, work under review, grants, and awards
* adequate and appropriate documentation to support teaching effectiveness.  
  Documentation must include course syllabi and SITE reports (student evaluations of teaching) on all classes. Additional documentation may include samples of course handouts, exams, student work, letters from students, and professional development activities related to teaching effectiveness. Individual departments may stipulate additional documentation.
* copies of paper or electronic publications, conference presentations,   
  manuscripts in progress or under review, evidence of creative work, along with any comments, reviews or evaluations if available. Candidates should be aware of peer review expectations as discussed in college and departmental promotion and tenure documents.
* brief descriptions of professional service activities, including dates, names of   
  events, and level of activity (documentation may include thank-you letters, etc.).

These materials are primarily for use in department reviews but may be reviewed at the college or university level as needed. Departments may establish additional written criteria of their own, and faculty members may submit any evidence they believe documents their progress toward a successful promotion and tenure review. Department heads should give candidates timely notice of the continuance process to allow them adequate time to prepare their materials for review. All tenure-track faculty members should receive copies of all college and departmental documents outlining continuance review procedures.

**ROLE OF THE CONTINUANCE REVIEW COMMITTEE**

The department head will convene the Continuance Review Committee. The Committee will be composed of all tenured faculty members in the department. The committee will elect its chair. The Department Head serves as an ex-officio, non-voting member of the committee. The committee will review the candidate’s materials and discuss each person to be considered for continuance. Following discussion, the chair of the committee will call for a secret ballot vote on each person under consideration. If a member of the Continuance Review Committee cannot be present for the discussion and vote, that member may send the Department Head or the chair of the committee comments to be shared with the other committee members along with a confidential written vote. The committee chair will prepare and send the Department Head a written statement summarizing the discussion and indicating the results of the ballot. The Committee should provide a separate statement for each candidate. The statement should indicate any deficiencies in the candidate’s performance and make recommendations to improve such deficiencies. The Department Head will write a separate statement and forward both statements to the Dean. The Department Head will provide each candidate with a copy of both statements, and the candidate will have the opportunity to respond in writing. The Department Head will forward any responses from candidates to the Dean.

For additional information about the tenure review process, see the Potter College Tenure and Promotion policy ([www.wku.edu/pcal/faculty-staff-information](http://www.wku.edu/pcal/faculty-staff-information)) and the **Faculty Handbook** ([www.wku.edu/Dept/Support/AcadAffairs/WKUfachandbook.htm](http://www.wku.edu/Dept/Support/AcadAffairs/WKUfachandbook.htm))

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**APPENDIX II**

**APPLICATIONS FOR FACULTY PROMOTION OR TENURE**

**GUIDELINES FOR SUBMISSION OF SUPPORTING MATERIAL**

Office of Academic Affairs

Faculty members who wish to be considered for promotion in rank or for tenure should do the following:

* be well informed about the formal procedures, timetables, and criteria outlined in the **Faculty Handbook**
* be well informed about current departmental policy and criteria relating to qualifications for promotion and tenure in that department
* prepare and submit appropriate supporting materials according to the following standards:
  1. submit no more than a single three ring binder containing all printed material (other than SITE results) that the candidate wishes to have reviewed by the department faculty, department head, college dean, Provost, and president
  2. the three ring binder, when complete, should be no more than two inches thick, excluding SITE results
  3. the binder should include, at a minimum, a letter of application, a current curriculum vita, and sections on teaching effectiveness, research and scholarship, public/university service, and such related areas as collegiality and academic advising--in addition to documenting teaching effectiveness by other relevant measures, candidates are expected to submit SITE student appraisal results for all classes taught during the preceding five years
  4. in selecting materials for inclusion in the binder, candidates should be selective and always emphasize quality over quantity in the documentation of achievements
  5. if clear plastic sleeves are used in the binder, each should contain no more than one duplexed sheet (printed on both sides) or two printed sheets (printed on one side and presented back to back)
  6. include books, articles, CDs, DVDs, slides, creative work or other materials related to scholarship

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