

5-11-1972

FINAL REPORT ON COMMITTEE ON PROCEDURES FOR HIRING, PROMOTION AND TENURE

University of Rhode Island Faculty Senate

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President Werner A. Baum

May 16, 1972

Stephen D. Schwarz, Chairman, Faculty Senate

The Final Report of the Committee on Procedures for Hiring, Promotion and Tenure as approved by the Faculty Senate on 72-5-11 is forwarded for action.

Changes approved by the Faculty Senate are identified by underlining (except one underlining in Recommendation VII Section 7.43.14 previous calendar year which was in original bill).

The Faculty Senate agreed and approved; "that proper section number would be inserted editorially and that alignment of dates would be the responsibility of the committee."

SDS/jp

UNIVERSITY OF RHODE ISLAND
KINGSTON, R. I. 02881

Office of the President

October 13, 1972

RECEIVED

OCT 17 1972

UNIVERSITY OF RHODE ISLAND
FACULTY SENATE

Professor Stephen Wood
Faculty Senate
E. Roosevelt Hall
Campus

Dear Steve:

I am writing in connection with Faculty Senate Bill #71-72-38, entitled "Final Report of Committee on Procedures for Hiring, Promotion and Tenure."

You will recall that this bill was transmitted to me under date of May 15, 1972, but I have delayed action to await the outcome of the initial collective bargaining process.

Procedures for hiring, promotion and tenure are now no longer in the province of the Faculty Senate or the president. Neither of us has a formal voice in establishment of these procedures, as they are now entirely within the domain of the collective bargaining agent and the Board of Regents.

Accordingly, there seems to be nothing further that should be done with this particular Bill. I trust you share my hope that the collective bargaining agent and the Board of Regents will be able to maintain more acceptable and effective procedures than the Senate and the president apparently were able to do.

Cordially,



Werner A. Baum
President

hgo

cc: Vice President Ferrante

FACULTY SENATE

BILL

Adopted by the Faculty Senate

TO: President Werner A. Baum
FROM: Chairman of the Faculty Senate

1. The Attached BILL, titled FINAL REPORT OF COMMITTEE ON PROCEDURES FOR HIRING, PROMOTION AND TENURE

is forwarded for your consideration.

2. The original and two copies for your use are included.
3. This BILL was adopted by vote of the Faculty Senate on 72-5-11 (date).
4. After considering this bill, will you please indicate your approval or disapproval. Return the original or forward it to the Board of Regents, completing the appropriate endorsement below.
5. In accordance with Section 8, paragraph 2 of the Senate's By-Laws, this bill will become effective on 72-8-1 (date), three weeks after Senate approval, unless: (1) specific dates for implementation are written into the bill; (2) you return it disapproved; (3) you forward it to the Board of Trustees for their approval; or (4) the University Faculty petitions for a referendum. If the bill is forwarded to the Board of Trustees, it will not become effective until approved by the Board.

May 15, 1972
(date)

Stephen P. Schwartz /s/
Chairman of the Faculty Senate

ENDORSEMENT 1.

TO: Chairman of the Faculty Senate
FROM: President of the University

1. Returned.
2. Approved _____ Disapproved _____.
3. (If approved) In my opinion, transmittal to the Board of Regents is not necessary.

_____/s/
(date) President

(OVER)

ALTERNATE ENDORSEMENT 1.

TO: Chairman of the Board of Regents.

FROM: The University President

1. Forwarded.

2. Approved.

_____/s/
(date) President

ENDORSEMENT 2.

TO: Chairman of the Faculty Senate

FROM: Chairman of the Board of Regents, via the University President.

1. Forwarded.

_____/s/
(date) _____
(Office)

ENDORSEMENT 3.

TO: Chairman of the Faculty Senate

FROM: The University President

1. Forwarded from the Chairman of the Board of Regents.

_____/s/
(date) President

Original received and forwarded to the Secretary of the Senate and Registrar for filing in the Archives of the University.

_____/s/
(date) Chairman of the Faculty Senate

RECOMMENDATION I

SELECTION AND APPOINTMENT OF NEW FACULTY MEMBERS

(To replace Section 4.61.10, 4.61.11 and 4.61.12
of the University Manual)

All members of a department at the rank of instructor and above shall be informed of vacancies and new positions within their departments by the department chairman.

Unless circumstances prohibit, a department meeting shall be held to determine the basic specifications of each position to be filled, including academic credentials and experience in teaching and research.

The chairman will review all applications received with all those members of his (her) department who have full-time regular and continuing university appointment and shall report to the dean of the college candidates to be personally interviewed.

When candidates are brought to the campus, department members shall be informed and arrangements shall be made for the candidate to meet with as many department members as possible. The candidates schedule of visits shall also include the dean of the college involved and normally the Dean of the Graduate School. The Vice President for Academic Affairs and the President of the University shall at their request be included in the interview.

The chairman shall seek the opinions of all those members of his (her) department who have full-time regular and continuing university appointment on their choice of candidates before his (her) final recommendation for appointment is submitted to the dean of the college. The chairman's recommendation shall include a report of the comments of those members of the department who were consulted.

The question of teaching effectiveness shall be one of the principle factors in deciding faculty appointments (except where research is to be the sole assignment). Those responsible for recommending the appointment of new faculty members shall make a reasonable effort to determine a candidate's teaching effectiveness.

Each candidate shall be informed by the chairman of the personnel policies of particular importance of new staff members and on the specific official duties of the candidate if he (she) were to join the University faculty.

If the appointment is approved by the dean of the college, he (she) shall recommend the appointment of the candidate to the Vice President for Academic Affairs who, if he (she) approves, makes a recommendation to the President.

When the majority of a department judges that the size of their department makes it difficult for all members to participate in the selection procedures, the department may form a selection committee to act in its behalf. Departmental selection committees shall be elected from members of the department and shall be representative of all academic ranks in the department. It shall assume the powers and duties of the department in the selection procedure. The department chairman shall serve as chairman of the selection committee.

RECOMMENDATION II

DURATION OF CONTRACT

4.61.XX Duration of Initial Contract. Normally, the duration of the initial contract for a faculty member (instructor through professor) shall be two years; subsequent contracts may be for one, two or three years provided the contract does not obligate the University beyond the mandatory tenure decision date or the date for mandatory decision for promotion from instructor to assistant professor. Initial contracts for periods less than two years may be awarded in the event of faculty leave replacements, research arrangements, and similar limited-service arrangements. Contractual arrangements discussed here relate exclusively to faculty status and do not apply to any administrative appointment such as chairman, dean, etc. Each contract issued will explicitly indicate the duration of that contract. Multiple-year contracts shall in no way invalidate or affect the requirements and procedures for annual salary review or promotion and tenure considerations. Dismissal of a faculty member for cause prior to the expiration of his (her) multiple-year contract will be administered in the same manner as any dismissal for cause.

RECOMMENDATION III

THE BOARD OF REVIEW ON RANK AND TENURE

DELETE current sections 5.12.30-31 and REPLACE with new sections as follows:

5.12.30 The Board of Review on Rank and Tenure shall comprise five faculty members, the Dean of the Graduate School, and the Vice President for Academic Affairs and three alternate faculty members.

5.12.31 The five faculty members and the three alternate faculty members shall be elected during the month of November by the general faculty by a mail ballot from a list of nominees chosen by the Faculty Senate. The Secretary of the Faculty Senate shall administer the election and the ballots shall be counted by the Executive Committee of the Senate. The nominees shall be selected from the general faculty who are engaged full-time in duties that are primarily non-administrative. Department chairmen shall not be eligible to serve.

5.12.32 Initially, each of the faculty members shall be elected to serve terms as follows: one for a term of one year, two for a term of two years, and two for terms of three years. Initially, the three alternate members shall be chosen for one, two and three year terms, respectively. Thereafter each faculty member and alternate shall serve three years. No college shall be permitted to have more than one of its members on the Board at the same time.

5.12.33 Faculty members on the Board, by request, shall be relieved of all standing committee (university, college, or senate) assignments during the second semester of each year.

5.12.34 Any faculty member of the Board shall be disqualified from serving when the Board is concerned with a case involving decisions in which he (she) has previously participated (except in those cases when the Board is asked to reconsider a decision it had made) or in which his (her) own department is involved. In such cases, and whenever regular members are unable to serve for other reasons, the Chairman of the Board shall select an alternate member to fill the vacancy.

5.12.35 The Vice President for Academic Affairs shall serve as Chairman of the Board. In case the Vice President is unable to serve for whatever reason, the President shall select an alternate, in which case the Dean of the Graduate School shall serve as Chairman.

5.12.36 The Board shall hear cases, involving promotions as stipulated under Section 7.20.10 and tenure as stipulated under Section 7.XX.XX (see footnote). The Board shall act on promotion cases during the first two weeks in February and on tenure cases during the first two weeks in April. In all such cases the faculty member, the department chairman, and the dean involved, shall be required to submit written statements setting forth their respective positions. Each of the parties involved shall receive copies of the written statements of the others involved, and shall have the right to testify before the Board.

5.12.37 The Board shall submit a written report and its decisions on promotion cases to the President by February 25 and on tenure cases by April 25. If the President does not concur, he (she) may request the Board, once for each case, to reconsider its decision in a particular case. The decision that occurs as a result of the Board's reconsideration shall normally be accepted by the President. In those instances in which the Review Board is asked by the President to reconsider the Board's decision, the spirit and intent of this phase of the appeal procedure is as follows. The President will normally accept and support the reconsidered decision of the Review Board. However, rare situations may occur in which the circumstances surrounding the situation are so extraordinary that, acting in his (her) capacity as executive officer of the University, the President judges that it is in the best interests of the University for him (her) to reject the decision of the Review Board. In such a situation his (her) decision is final and binding. In the rare instance that a reconsidered decision is rejected by the President, he (she) will explain the reasons for his (her) decision to the Chairman of the Board of Review on Rank and Tenure, the Dean and Department Chairman concerned, and the individual faculty member concerned. Upon the request of the faculty member, the President's explanation will be made in writing. Copies of this letter will be sent to the Chairman of the Board of Review on Rank and Tenure, the Dean and Department Chairman concerned, and the individual faculty member concerned.

**The Senate voted to insert proper sections editorially.

RECOMMENDATION IV

THE ANNUAL REVIEW

7.XX.XX THE ANNUAL REVIEW. The annual review, which shall be the basis for recommendations for promotion, tenure, and salary adjustments, shall be conducted by the department chairman for each faculty member in his (her) department and shall be submitted to the dean of his (her) college in writing by December 1 of each year. Access to the annual review will be limited to the faculty member, his (her) chairman, dean of the college, Vice President for Academic Affairs, and the President. In the event of a hearing before the Review Board, the Board also shall have access to the annual reviews.

For promotion and tenure, the review shall be comprehensive and cover the faculty member's entire professional career; for salary adjustments, the review shall emphasize but will not be limited to the period of time since the last review. The review will include the following:

1. A broad assessment by the chairman considering the qualities and contributions of the faculty member.
2. A tabulation of accomplishments. This tabulation shall include applicable items of but not be limited to the following:
 - a) A list of contributions to the instruction program including new course designs, new or altered programs, or other efforts which have enhanced the instructional program.
 - b) A list of journal articles and books published or accepted for publication.
 - c) A list of papers presented.
 - d) A list and discussion of research accomplishments.
 - e) A summary of funded and non-funded research programs with which the faculty member has been affiliated.
 - f) A list of services to the University and professional services for the community.
 - g) A list of offices held in and services rendered to professional societies. A list of memberships in professional and honor societies.
 - h) A list of special services such as journal editor, agency research review board, etc.
3. For the teaching faculty, the annual review shall include a list of teaching assignments, and an instructor evaluation by students under such procedures as is authorized by the Faculty Senate. A copy of the evaluation results plus an assessment of the evaluation by the department chairman and by the faculty member concerned if he (she) so wishes will become a part of the annual review.

RECOMMENDATION V
PROMOTION PROCESS

Delete the following passages from the Manual: 5.12.30-31; 7.20.10-12; 7.21.10-13; and 7.23.10 and 7.23.12.

Add the following sections to the Manual:

7.21.10 Promotion Process. The department chairman shall be responsible for initiating formal proposals for promoting the members of his (her) department. He (she) shall prepare a report annually in which he (she) shall recommend every member of his (her) department for retention of his (her) rank, or promotion to a higher rank, or for non-renewal of his (her) contract. Where, through promotion, if granted, the faculty member becomes eligible for tenure because of the higher rank, tenure and promotion shall be considered at the same time. Prior to preparing the report he shall consult with all full time and continuing members of his department at current or higher rank than the faculty member being considered. This report shall be in the hands of the dean of his (her) college by December 15 of each year, and the views of the department faculty members shall be summarized anonymously and communicated to the Dean in this report. Each faculty member shall upon request to his (her) chairman, be given the privilege of reading the chairman's report concerning him (her).

7.21.11 After receiving the written report, the dean shall meet with the department chairman to discuss the status of each member. Following this conference, the dean, by January 15, shall state in writing to the department chairman his (her) decision concerning each person. It shall be the responsibility of the department chairman to notify each faculty member in writing by January 20 of the dean's decision. Reasons for the decision need not be stated in writing unless the faculty members position with respect to promotion, tenure, or retention is in jeopardy.

7.21.12 If the department chairman and the dean agree that an individual should be promoted, their decision will be sent to the Vice President for Academic Affairs for transmittal to the President no later than January 20. Unless the President decides to refer the decision to the Board of Review on Rank and Tenure, he (she) shall take the appropriate steps to promote the individual and to so notify all parties concerned.

7.21.13 If disagreements between the department chairman and the dean cannot be reconciled, the individual will be informed promptly and the case will be submitted by the dean to the Board of Review on Rank and Tenure (cf 5.12.30, 5.12.37) unless the faculty member asks that his (her) name be removed from consideration. Cases to be referred to the Board should be submitted to the Chairman of the Board no later than February 1. The Board will send its recommendation on to the Vice President for Academic Affairs for transmittal to the President by February 25.

7.21.14 Any individual has the right, at any stage in the promotion process after he (she) has reviewed the written recommendation of the department chairman and the dean (referred to in 7.21.11 above); and before February 1, to request his (her) case be considered by the Board of Review on Rank and Tenure when it meets.

7.21.15 The faculty member, at any time in the promotion process, may ask that his (her) name be removed from consideration.

7.21.16 Final decisions on promotion for the ensuing academic year will normally be made in March and notification to faculty members involved will normally be made on or about March 15 by the President.

RECOMMENDATION VI

TENURE PROCESS (Insert between 7.42.13 and 7.43.10)

The Process for Granting Tenure: The department chairman shall be responsible for initiating formal proposals for granting tenure to members of his department. He shall prepare an annual report, after consulting with all tenured members of his department, in which each member of his department eligible for tenure is recommended for tenure or denied tenure at that time. This report shall be in the hands of the dean of his college by April 1, and the views of the department faculty members shall be summarized anonymously and communicated to the Dean in this report. Each faculty member shall upon request to his (her) chairman, be given the privilege of reading the chairman's report concerning him (her). For cases for which mandatory tenure decisions (see Sec. for definition) are necessary, the report relating to tenure to become effective July 1, shall be submitted to the dean by April 1 of the previous calendar year.

After receiving the written report, the dean shall meet with the department chairman to discuss each proposal. After the meeting, the dean, by April 15, shall state in writing to the department chairman his decision concerning each proposal. It shall be the responsibility of the department chairman to notify the faculty member in writing by April 20 of the dean's decision.

If the department chairman and the dean agree that an individual should be granted tenure, their decision will be sent to the Vice President for Academic Affairs for transmittal to the President no later than May 1. Unless the President refers the case to the Board of Review on Rank and Tenure, he shall take the appropriate steps to present the case to the Board of Regents for final granting of tenure.

If disagreements between the department chairman and the dean cannot be reconciled, the individual will be informed promptly and the case will be submitted by the dean to the Board of Review on Rank and Tenure, unless the faculty member asks that his name be removed from consideration.

Any individual eligible for tenure has the right, at any stage in the tenure process after he has received the written recommendation of the department chairman and the dean (referred to in above), and before May 1, to request his case be considered by the Board of Review on Rank and Tenure.

Where, through promotion, if granted, the faculty member becomes eligible for tenure because of the higher rank, tenure and promotion shall be considered at the same time.

The faculty member may, at any time in the tenure process, ask that his name be removed from consideration.

7.21.15 The faculty member, at any time in the promotion process, may ask that his name be removed from consideration.

7.21.16 Final decisions on promotion for the ensuing academic year will normally be made in March and notification to faculty members promoted will normally be made on or about March 15 by the President.

CORRECTED COPY

RECOMMENDATION VII

ELIGIBILITY FOR TENURE

Delete the following sections from the Manual: 7.43.10-16 and 7.43.18

Replace with the following:

7.43.10 Instructors (and those of equivalent rank) shall not be eligible for tenure.

7.43.11 Assistant Professors (and those of equivalent rank) who have accumulated five years of service, credited as follows: years of service in the rank of instructor (or its equivalent) at the University of Rhode Island; years of service in the rank of assistant professor (or its equivalent) at the University of Rhode Island; years of service at another accredited four-year academic institution in the rank of assistant professor or above, to a maximum of three years of credit shall be eligible for tenure. The amount of credit to be allowed toward tenure for service at other institutions shall be indicated in the initial contract.

Tenure may be awarded to become effective beginning with the sixth, seventh, or eighth year. An individual must be considered when he first becomes eligible and each year thereafter. A tenure decision relating to the eighth year shall be a mandatory tenure decision (see 7.43.14).

7.43.12 Associate Professors (and those of equivalent rank) who have completed a minimum of two years of full-time service at this institution shall be eligible for tenure. Tenure may be awarded to become effective beginning with the third, fourth, or fifth year. A tenure decision relating to the fifth year shall be a mandatory tenure decision (see 7.43.14).

7.43.13 Professors (and those of equivalent rank) shall be eligible for tenure beginning with the first year of full-time service. Tenure may be awarded to become effective beginning with the first, second, third, or fourth year. A tenure decision relating to the fourth year shall be a mandatory tenure decision (see 7.43.14).

For initial appointments with tenure, the department chairman shall consult with all tenured members of the appointing department and report on the recommendations to the college dean for his consideration prior to offering the appointment to an individual.

7.43.14 Mandatory Tenure Decisions. Whenever a faculty member, in accordance with 7.43.11, 7.43.12, and 7.43.13, preceding, has accumulated sufficient years of service that a mandatory tenure decision is required, one of the following decisions must be made: 1) award tenure to the faculty member; 2) terminate the affiliation of the faculty member with the University. For cases in which mandatory tenure decisions are necessary, the recommendation relating to tenure to become effective July 1 shall be submitted to the dean by April 1 of the previous calendar year (i.e., 15 months in advance of the effective date).

If in the instance of a mandatory tenure decision, it is determined that a faculty member will be denied tenure, he shall be notified in writing by the President of the University at least 12 months in advance of the date he is required to terminate his affiliation with the University.

7.43.15 Credit toward tenure. A full academic year of service (dating from the beginning of the academic year) shall accrue credit of one year toward tenure. Service begun after the start of the academic year will not normally accrue credit toward tenure. Time spent on leaves of absence, sabbatical leaves, or education leaves shall not accrue credit toward tenure.

7.43.18 Research Associates and Research Assistants shall not be eligible for tenure. However, should a person who has held the position of Research Associate at this University be employed by the University at some later time in the rank of instructor or above on a full-time basis, he shall be credited with one year toward tenure for each two years of prior employment under such title, to a maximum of two years of credit.

E. James Archer
Calvin Brainard
Charles James
Robert Lepper
Walter Mueller

Edward Pauley
Elton Rayack
Barbara Tate
William Ferrante, Chairman