

**College of Sciences and Humanities
Promotion and Tenure Document**

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**PROMOTION AND TENURE DOCUMENT
COLLEGE OF SCIENCES AND HUMANITES**

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COLLEGE OF SCIENCES AND HUMANITIES

1. Guidelines for Tenure and Promotion

- 1.1 The evaluation of a faculty member's eligibility for tenure and promotion shall be based on evidence of a continuing pattern of achievement throughout the faculty member's professional career in the following areas:
 - 1.1.1 Teaching;
 - 1.1.2 Scholarship;
 - 1.1.3 Service in a professional capacity.
- 1.2 Work accomplished while a faculty member at Ball State, as well as work accomplished before appointment to Ball State, will be considered in tenure and promotion deliberations. Greater attention and significance will be given to the work accomplished during the appointment at Ball State
- 1.3 Each Department Promotion and Tenure (P&T) Committee will make an annual recommendation to the dean of the college on progress toward tenure for tenure track faculty members. The only exception to this annual review is when a faculty member requests and is granted permission for certain years not to be counted as tenure-creditable. Please see section 1.4 for guidelines.
- 1.4 When a faculty member is employed in a tenure-track position, a probationary period of seven years is ordinarily required before tenure is granted by the Board of Trustees. Generally, the probationary period will not exceed seven full-time years of tenure-creditable service as a faculty member at Ball State University. The exceptions are noted below.
 - 1.4.1 When transferred from one academic area to another, a tenure-track person, in addition to the normal probationary period, may request or may be required to complete an additional probationary period not to exceed two years. The length of the extension of time must be established and stated in writing at the time of the new appointment.
 - 1.4.2 Ball State University is committed to providing a work environment that enables faculty to be successful. The university also recognizes that faculty may encounter life circumstances that can impair or prevent progress toward professional and scholarly achievement. This is true for faculty working toward tenure within a limited and specific timeframe. A faculty member may request that certain years (normally not to exceed two years total) not be counted as tenure-creditable years, and that the tenure clock be stopped for the requested year (s), if any of the following pertain:
 - 1.4.2.1 Birth or adoption of a child;
 - 1.4.4.2 The faculty member is seriously ill;
 - 1.4.2.3 The faculty member is the principal caregiver for a dependent who is seriously ill or incapacitated;
 - 1.4.2.4 The faculty member is the principal caregiver for a family member

who is ill;

- 1.4.2.5 The faculty member will be on leave for at least one semester of the academic year.
- 1.4.2.6 Widespread health crisis or natural disaster that affects a faculty member's progress towards tenure.
- 1.4.3 Within one year of the occurrence of the qualifying event, but before the affected annual Promotion and Tenure review, a request that a year not be counted as a tenure-creditable year (stopped clock) shall be made to the department chair by no later than August 31. The request shall include documentation of the circumstances involved. The request requires approval of the department chairperson, the appropriate dean, and the Provost and Executive Vice President for Academic Affairs.
- 1.4.4 Faculty who receive approval are not required to submit Promotion and Tenure materials during the period approved by the Provost and Executive Vice President for Academic Affairs. The faculty member is also not expected to submit an extra year's worth of research when tenure review resumes.
- 1.5 The College P&T Committee shall review and evaluate the credentials of all collegiate tenure-track persons in the fourth year.
- 1.6 Promotion to Associate Professor and the tenure decision are aligned and occur in year seven. The recommendation will be to grant tenure and promotion to Associate Professor at the end of the academic year or a recommendation to terminate the faculty member at the end of the following academic year.
- 1.7 Tenured assistant professors may apply for promotion to Associate Professor at any time. If approved, the recommendation will result in promotion to Associate Professor at the end of the academic year. If not approved, there is no penalty and reapplication can occur during any following academic year.
- 1.8 A candidate may apply early for tenure and promotion to Associate Professor once in either year five or six without penalty of dismissal if not granted. If approved, tenure and promotion to Associate Professor will be granted at the end of the academic year. If not approved, the faculty member will continue in the tenure and promotion process.
- 1.9 Candidates applying for tenure and for promotion are encouraged to take the time necessary to provide evidence of sustained productivity at Ball State University. Candidates should present a vita that clearly demonstrates excellence in the areas of teaching, scholarship, and service in a professional capacity.
- 1.10 If a faculty member is hired at the rank of Associate Professor without tenure, the tenure process is followed. Promotion to Professor is not tied to the tenure process.
- 1.11 Recommendations for promotion and tenure shall be initiated at the level where the candidate's qualifications can be best identified and evaluated. In most instances this would be the department. Any academic unit, Department and/or College, which initiates a joint appointment, shall include in their Promotion and Tenure documents clear and equitable policies and procedures which identify the

review and evaluation processes associated with that joint appointment.

- 1.12 A request for consideration for promotion to Professor can be made any time after achieving the rank of Associate Professor.
- 1.13 Experiential Learning in all its forms (internships, field trips, practica, student teaching, study abroad, immersive learning projects, etc.) is and has been a hallmark of a Ball State University education. Faculty who lead these types of activities should receive consideration for their involvement as they contribute to the established standards for teaching, scholarship and service.
- 1.14 Vote counts shall accompany any final recommendations.
- 1.15 At Ball State University, we recognize inclusive excellence as an integral endeavor to fulfill our mission and our strategic plan. Faculty members who engage in activities that promote inclusive excellence (training, development, intergroup dialogue, pedagogies and curriculum, community and campus partnerships, mentoring, peer-reviewed research, etc.) will receive credit for their involvement as they contribute to the established standards for teaching, scholarship, and service.

2. Definitions

- 2.1 Department and departmental refers to the departments housed within the College.
- 2.2 College and collegiate refers to the College of Sciences and Humanities.
- 2.3 Reconsideration is the act whereby a candidate may request that an initial adverse decision by the department, college, or Provost be reexamined. Reconsideration provides an opportunity for the candidate to clarify content of materials. A decision in favor of the candidate does not guarantee tenure and/or promotion.
- 2.4 Appeal is the act whereby a candidate alleges that a violation of existing procedure, or unfair treatment, or discriminatory treatment by the department, college, or Provost has resulted in an adverse decision. An Appeal may be filed without following the reconsideration process. Appeals examine the process followed and not the content of materials. A decision in favor of the appellant does not guarantee tenure and/or promotion.
- 2.5 Working days are those days when Ball State University administrative offices are open.
- 2.6 Calendar days are the days which appear on a calendar, including Saturday, Sunday, and holidays. They do not relate to the Ball State academic schedule or calendar.
- 2.7 Tenure-track faculty are those who are currently in the seven-year probationary tenure period.
- 2.8 Tenured faculty are those faculty who have been granted tenure.
- 2.9 Joint appointments are when a faculty member holds two or more regular

instructional, research, or clinical instructional appointments in two or more units such as schools, colleges, departments/programs or between an academic unit and another unit on campus.

- 2.10 An external reviewer is an individual from outside the university who has demonstrated expertise in the candidate's area.
- 2.11 Scholarship is the process of attaining new knowledge, creating a new work, or re-creating/interpreting existing works, and disseminating the results. Generally, this takes the form of appropriate peer reviewed publications, presentations or exhibits, performances, other creative endeavors, and grant proposals. Scholarship can occur in four areas: discovery, integration, application, and teaching
 - 2.11.1 The scholarship of discovery is traditional research and creative endeavors that pursue and contribute to new knowledge for its own sake.
 - 2.11.2 The scholarship of integration makes connections across disciplines bringing together isolated knowledge from two or more disciplines or fields to create new insights and understanding.
 - 2.11.3 The scholarship of application applies knowledge to address significant societal issues.
 - 2.11.4 The scholarship of teaching studies the development of knowledge, skill, mind, character, and/or ability of others.
- 2.12 At promotion and tenure committee meetings where candidate decisions are made, all committee members (or their alternates) must be present. A quorum for these meetings therefore means a committee of the whole.

3. Policy for Evaluation of Scholarship

- 3.1 Ball State University recognizes the importance of providing a climate in which professors pursue independent or collaborative scholarly activities or creative endeavors.
 - 3.1.2 Departments will recognize and reward the four areas of scholarship: discovery, integration, application, and teaching.
 - 3.1.3 Each department or school shall define its own emphases and the appropriateness of each faculty member's scholarly productivity and creative endeavors.
 - 3.1.3.1 Faculty shall NOT be required to participate in each of the four areas of scholarship.
 - 3.1.4 Each faculty member shall communicate clearly to the chairperson or director their goals and accomplishments, which contribute to the departmental goals and emphases.
 - 3.1.5 Each faculty member shall communicate clearly to the chairperson or director the appropriateness of their creative endeavors and means of disseminating results of scholarly productivity. The traditional methods of

dissemination through refereed publications, presentations, exhibitions, productions, concerts, and other recognized professional formats currently evolving will be considered.

4. Policy for the Evaluation of Teaching

- 4.1 Ball State University recognizes the importance of its teaching mission. Evaluation of teaching plays a primary role in providing students with the best possible educational experience and in allowing faculty to develop to their full potential as teachers. Therefore, faculty must annually evaluate their teaching by a variety of means.
- 4.2 Each department shall devise procedures, to be approved by its college, for regularly conducted evaluation of teaching, including student ratings. Ratings by students shall be conducted each academic year on a regular schedule that meets departmentally approved standards, suitably administered, summarized, and available for review during promotion and tenure decisions.
- 4.3 In addition, each faculty member's teaching must be evaluated by at least one of the following means, and all of the following means must be available to the individual faculty member:
 - 4.3.1 Peer review of teaching, such as classroom visitation, evaluation of syllabi, examinations and other classroom materials;
 - 4.3.2 Chairperson review of teaching, such as classroom visitation, evaluation of syllabi, or evaluation of examinations;
 - 4.3.3 Peer and chairperson review of the teaching portfolio.
- 4.4 Departments are encouraged to use as many other means of evaluation as they see fit. Examples may include evidence of significant involvement in curriculum development; significant contribution to the pedagogy of the field; personal statement describing teaching goals.
- 4.5 Annually, each department chairperson must make each faculty member aware of the departmentally approved methods that will be used for the evaluation of teaching.

5. Policy for the Evaluation of Service

- 5.1 Ball State University recognizes the importance of providing a climate in which professors can remain active in their professional activities and organizations and can provide service to the University, community and state. Such activities can include consulting; officer of/membership in professional organizations; officer of/membership in departmental, school, college, or University committees; and advising, etc.
 - 5.1.1 Each department shall define its own emphases and the appropriateness of each faculty member's professional citizenship and outreach activities.
 - 5.1.2 Each faculty member shall communicate clearly to the chairperson

or director their goals and accomplishments which support the departmental goals and emphases.

5.1.3 Each faculty member shall communicate clearly to the chairperson or director the appropriateness of the service and how it enhances their teacher/scholar role.

6. Qualifications for Tenure-track or Tenured Faculty Academic Rank

6.1 There are three basic ranks for tenure-track or tenured faculty: Assistant Professor, Associate Professor, and Professor. Advancement in rank is based on a continuing pattern of achievement throughout the faculty member's professional career in: Teaching, Scholarship, and Service in a professional capacity. The qualifications for each rank are as follows.

6.1.1 Assistant Professor

6.1.1.1 Evidence of effective teaching performance or evidence of potential for excellence as a teacher

6.1.1.2 Evidence of effective scholarship, or evidence of potential for excellence in scholarship

6.1.1.3 Evidence of effective professional service, or evidence of potential for excellence in professional service

6.1.2 Associate Professor

6.1.2.1 Evidence of consistently excellent teaching

6.1.2.2 Evidence of excellence in scholarship

6.1.2.3 Evidence of excellence in professional service

6.1.3 Professor

6.1.3.1 Evidence of a continuing record of excellence as a teacher

6.1.3.2 Evidence of a continuing and significant record of excellence in scholarship, including at least two evaluative letters from external reviewers who have reviewed and commented upon the evidence of excellence.

6.1.3.3 Evidence of significant contribution and a continuing record of excellence in professional service

6.2 Departmental promotion and tenure documents must specify the earned degrees, professional training, professional experiences and/or other appropriate certifications that the department requires for each academic rank. A department may require an appropriate earned doctorate for the ranks of associate professor or professor.

6.3 Departmental promotion and tenure documents may provide more specific articulations of the qualifications for academic rank as appropriate to the department's disciplines.

- 6.4 For new hires, academic rank will be recommended by the department and approved by the Dean of the College and the Provost and Vice President for Academic Affairs.

7. Annual College Procedures

- 7.1 Each academic year the College Promotion and Tenure Committee will review and approve college procedures including the vita form and the evaluation form. Once approved, the procedures and forms will be distributed to department chairpersons and will be placed on file in the Office of the Dean.

8. Department and College Promotion and Tenure Committees

- 8.1 The College P&T Committee shall consist of tenured faculty only. The full-time faculty (tenure-track and tenured) of each department in the College of Sciences and Humanities will elect a Department P&T Committee by anonymous ballot by the end of each spring semester for service during the following academic year to be reported to the College Dean's Office by the second Friday in May. The Department of Women's, Gender and African-American Studies, an interdisciplinary department currently without tenure-line faculty, will not have representation on the College P & T Committee and this policy will be evaluated annually. The Department P&T Committees shall consist of tenured faculty members of the department. However, by unanimous consent of the full-time faculty, one of those serving on the departmental committee may be from another department. If sufficient number of tenured faculty is not available, the Department P&T Committee and Department Chair will propose a solution to the college Dean, including but not limited to, using tenured faculty from other departments. All committee members should be qualified to evaluate the candidate's credentials.

8.1.1 The Department Chairperson shall be an ex officio non-voting member.

8.1.2 No person may serve as a member of a Department P&T Committee who is a candidate for promotion.

8.1.2.1 Once an individual submits a written statement to the department chair indicating the intent to apply for promotion, that person is considered to be a candidate and can no longer serve on the committee.

8.1.2.2 Each department shall establish a date by which the written statement must be submitted. The date must occur in the spring semester prior to review and prior to the election of the department promotion and tenure committee.

8.1.2.3 One exception to provision 8.1.2 involves the Chairperson of the department when they are a candidate for promotion. In that circumstance, they shall not participate in their ex- officio

capacity during the deliberations of promotion to the same rank.

8.1.3 No candidate shall be evaluated by a Promotion and Tenure Committee of fewer than three (3) eligible voting members. The departmental committee shall elect its own Chairperson, but no faculty member who has served as a faculty member for less than one academic year at Ball State University shall be eligible to become chairperson.

8.1.4 The Chairpersons of the Department P&T Committees will generally comprise the Promotion and Tenure Committee of the College of Sciences and Humanities (hereafter referred to as the College Committee). In the event that a member of the College Committee cannot continue their duties for any reason, the approved departmental replacement policy shall be invoked to find an immediate replacement for the college committee. A department committee, for reasons it deems good and appropriate, may be represented on the College Committee by someone other than the chairperson of the department committee.

8.1.5 The Dean and Associate Deans will be non-voting ex officio members, and the college's representative on the University Promotion and Tenure Committee will serve as a non-voting liaison to the College Committee. The one exception is, in the event that the associate dean is serving in an ex-officio capacity on the College Promotion and Tenure Committee, they shall not participate in their ex-officio capacity during the deliberations of promotion to the same rank.

8.1.6 In the event that a member of the College Committee or their spouse is considered for promotion, they must resign from the College Committee.

8.2 The College Promotion and Tenure Committee will elect the following officers:

8.2.1 A Chairperson.

8.2.2 A Secretary. Minutes of all committee actions must be maintained by the secretary through the office of the Dean in a secure and confidential manner.

8.2.3 A Chairperson of the Criteria Subcommittee who will appoint two additional members from the College Committee to the Criteria Subcommittee. The College's representative to the University Promotion and Tenure Committee will serve as a non-voting ex-officio member.

8.2.4 A Chairperson of the Appeals Subcommittee who will organize appeal panels as they become necessary. The Chairperson of the Appeals Subcommittee will serve as the designee of the chairperson of the College Promotion and Tenure Committee.

9. Promotion and Tenure Policies and Procedures (See [Faculty and Professional Personnel Handbook](#)).

10. College Procedures

10.1 Annually, the Chairperson of each Department P&T Committee should forward a copy of the department's current policies, procedures and criteria for promotion and tenure to the College Committee by the established fall semester deadline. Any department approved changes made to this material for use in the following academic year should be noted. These materials will be reviewed by the members of the Criteria Subcommittee, which shall report regarding compliance with the College policies and procedures. The Chairperson of the department committee will be consulted when clarification of the department's documents is needed. Each department's policies, procedures, and criteria must comply with those of the University and the College. Upon approval by the College Promotion and Tenure Committee's Criteria Subcommittee, departmental promotion and tenure documents will be submitted to the University Promotion and Tenure Committee for approval. Documents returned to departments from the University Promotion and Tenure Committee for modification should be sent to the College Promotion and Tenure Committee's Criteria Subcommittee for approval of revisions before being sent to the University Promotion and Tenure Committee for final approval.

10.2 Promotion and Tenure

10.2.1 In accordance with the department's policies, procedures and criteria, the Department Promotion and Tenure Committee Chairperson and the Chairperson of the department will prepare recommendations on promotion and tenure. Recommendations for promotion and tenure will be submitted to the Dean of the College by the date established each academic year by the College Committee.

10.2.1.1 Recommendations for tenure and/or promotion will be supported by documented and specific evidence in the areas of teaching, scholarship and service pertinent to criteria adopted by the department, college, and university. Each candidate must submit a standard vita and supporting documents through the required digital platform.

10.2.2 The Dean of the College will receive department recommendations and supporting documentation for promotion and tenure and check them for compliance with current college criteria. Any recommendations and documentation not meeting the criteria will be returned immediately to the department for review and resubmission.

10.3 Procedures for Tenure and Promotion to Associate Professor

10.3.1 The Department P&T Committee will make an annual recommendation to the Dean of the college on progress toward tenure for tenure track faculty members. Standard letters, provided by the Provost's Office and/or on the required digital platform, will be used for stating a candidate's progress toward tenure. Lack of satisfactory progress toward tenure should be identified as early as possible in the standard probationary period of seven academic years. It is recommended that if any reasonable doubt exists as to satisfactory progress toward tenure that an unsatisfactory progress toward tenure letter be given as early as the first year of employment.

- 10.3.2 It is mandatory that departments record the nature of any problems along with the dates and the names of those present in meetings in which these problems related to tenure were discussed with the candidates and retain these notes in the department files. The names of tenure-track faculty who are to be dismissed in the first year of their employment are to be sent to the Dean of the College by the established College deadline but not later than February 1 and those to be dismissed at the end of their second year by the established College deadline but not later than November 15. For those employed two or more years, notice of non-reappointment, or intention not to recommend reappointment, shall be given in writing at least twelve months before the expiration of the appointment.
- 10.3.3 Following completion of the standard letter provided by the Provost's Office by the Department P&T Committee and Department Chair, the following will happen:
- 10.3.3.1 In addition to the strengths and weaknesses letter provided to the candidate, the Department P&T Chair will write a recommendation letter to the Dean that reviews the candidate's strengths, weaknesses and areas for improvement with specific emphasis in the areas of teaching, scholarship and service.
 - 10.3.3.2 The letter will be forwarded to the Dean of the college after all departmental deliberations are complete along with the candidate's Credentials.
 - 10.3.3.3 The department chair may agree or disagree with the Department Promotion and Tenure Committee's recommendation. In the case of agreement, the department chair may choose to write a letter of concurrence but is not required to do so. In the case of disagreement with the Committee's recommendation, the department chair shall write a letter stating their recommendation regarding the candidate in question.
 - 10.3.3.4 Upon request from the faculty member, the Department P&T Chair will meet with the faculty member to discuss and clarify the contents of both letters.
- 10.3.4 The Department Chairperson will submit the credentials of candidates eligible for tenure to the Dean in accordance with University, College and Departmental policies. This will include the recommendations of the Departmental Promotion and Tenure Committee and the Department Chairperson.
- 10.3.5 The Dean of the College each academic year will review the department recommendations and supporting vita for each untenured tenure-track faculty. The Dean may consult with and/or solicit additional supporting materials from the faculty member, the Department chairperson, or Departmental Promotion and Tenure committee.
- 10.3.6 During years one (1) through six (6) of the probationary period, the Dean

will recommend satisfactory or unsatisfactory progress toward tenure, or dismissal.

- 10.3.6.1 During year four of the probationary period, the College P&T Committee shall review and evaluate the credentials of all collegiate tenure-track persons and forward those credentials, with recommendations, to the Dean. The credentials of any candidate who is appealing an adverse decision from a departmental committee shall not be forwarded to the college committee until the appeal process has been completed. If a candidate decides not to appeal the adverse decision or the adverse decision remains after the appeal process, the materials are still forwarded to the college committee for fourth-year review.
- 10.3.6.2 Candidates in their fourth year will be reviewed by one of three subcommittees of the College P&T Committee determined by the domain in which a candidate's department is located. The domains are the Natural and Computational Sciences, the Social Sciences, and the Humanities. Non-voting ex-officio members of these subcommittees will include the Dean or the Dean's Designee and the college's representative on the University Promotion and Tenure Committee or their alternate. These subcommittees will represent the College P&T Committee in the fourth-year tenure review.
- 10.3.6.3 Each subcommittee will elect a chair and a secretary from its members. The chair of each subcommittee will serve as the designee of the chairperson of the College P&T Committee. Minutes of all committee actions must be maintained by the secretary through the office of the Dean in a secure and confidential manner.
- 10.3.6.4 The Dean will forward to the appropriate subcommittee the strengths and weaknesses letters (years one through four) and the credentials for each fourth-year candidate for tenure review. The Departments will maintain a candidate's supporting material that can be requested by the College Committee for additional review.
- 10.3.6.5 Following review of each candidate each College P&T domain subcommittee will vote by confidential ballot to recommend one of the following:
 - 10.3.6.5.1 Satisfactory progress toward tenure
 - 10.3.6.5.2 Unsatisfactory progress toward tenure
 - 10.3.6.5.3 Termination
- 10.3.6.6 The College P&T Subcommittee Chair will write a recommendation letter for each candidate and forward it to the Dean. In cases where the College P&T Subcommittee is the first

to make a negative recommendation, the Chair will write a strengths and weaknesses letter that will include an evaluation of their strengths and weaknesses in the areas of teaching, scholarship, and service and forward to the Dean along with the recommendation.

- 10.3.6.7 Any recommendation from the College Subcommittee not receiving approval by the Dean shall be returned to the committee with reasons for disapproval. A two-thirds anonymous vote of the committee shall be required to override the disapproval after which the Dean must forward the recommendation.
 - 10.3.6.8 The Dean will communicate the College's final recommendation to the candidate, the Department P&T Chair, and Department Chair following all deliberations. In the fourth year, this information will include a copy of the letter to the Dean from the College P&T Domain Subcommittee containing their recommendation for progress toward tenure for the candidate.
 - 10.3.6.9 The academic Dean shall forward recommendations concerning the tenure credentials, including their evaluations, to the Provost and Vice President for Academic Affairs. The vote counts for each candidate from the College P&T Subcommittee will be included with the Dean's recommendations. If the recommendations are not acceptable, the Provost and Vice President for Academic Affairs shall consult with the academic Dean about the differences.
- 10.3.7 The College P&T Committee (committee of the whole) will evaluate all candidates for tenure/promotion in their tenure/promotion year. This is mandatory in year seven, but only required for candidates in year five or six if a positive recommendation for tenure/promotion has been made by the Department P&T Committee. Tenured assistant professors may apply for promotion to associate professor at any time.
- 10.3.7.1 The Department Chairperson will forward to the Dean the list of candidates and each candidate's tenure/promotion recommendation as determined by the Department Promotion and Tenure Committee by the deadline date set by the college. Included with the list shall be each candidate's credentials, the strengths and weaknesses letters from years one through seven (not required for tenured assistant professors applying for promotion to associate professor), and any supportive supplemental material. Included with the materials presented for promotion and tenure will be the Department Promotion and Tenure Committee's evaluations and recommendations. Materials presented for promotion that are not favorably recommended by the Departmental Committee shall not be

forwarded to the academic dean and shall stop at the departmental level.

10.3.7.2 The recommendations of the Department Promotion and Tenure Committee shall be forwarded to the academic dean. If the Department Promotion and Tenure Committee and the Department Chair agree on the tenure/promotion recommendation of a candidate, a single letter, signed by both the P&T Chair and the Department Chair, explaining the recommendation should accompany the candidate's credentials. If the department chairperson has a dissenting opinion concerning a faculty member's qualifications, the department chairperson shall inform the Department Committee of the bases of this opinion. If the differences between the chairperson and the Department Committee are not resolved, the department chairperson may forward to the academic dean their dissenting opinion and recommendations in a separate letter concerning the faculty member's qualifications. The decision of the department committee will, however, stand.

10.3.7.2.1 The credentials of any candidate who is requesting reconsideration and/or appealing an adverse decision from a departmental committee shall not be forwarded to the college committee until the reconsideration and/or appeal process has been completed. After an adverse promotion decision, if a candidate decides not to appeal the decision, the materials are not forwarded to the college committee.

10.3.7.3 The Dean of the College will distribute the department recommendations for tenure/promotion, the supporting credentials, and the strengths and weaknesses letters from years one through seven (when required) to the members of the College Committee. The Dean will make available to the members of the Committee other documentation that has been submitted with the recommendation for tenure/promotion.

10.3.7.4 The College Committee will study the recommendations with supportive materials from departments for compliance with policies and procedures established for the College. The Committee

10.3.7.4.1 Will request additional evidence to support recommendations if needed;

10.3.7.4.2 Will meet with Department Promotion and Tenure Committees in those instances when in its judgment policies and/or procedures have not been adhered to or some other question exists and request that alterations in recommendations be made;

- 10.3.7.4.3 May hold interviews with recommending officers (i.e., the Department Chair and Departmental Promotion and Tenure Committee) or take whatever action is needed to discharge its evaluation of candidates for tenure/promotion.
- 10.3.7.5 For a candidate reviewed in the seventh year, the College P&T Committee will make the recommendation to grant tenure and promotion to Associate Professor at the end of the academic year or to terminate the faculty member at the end of the following academic year.
- 10.3.7.6 For a candidate reviewed in the fifth or sixth year, the College P&T Committee will recommend to grant tenure and promotion to Associate Professor at the end of the academic year, or they will recommend not to grant tenure and promotion at the end of the academic year. If the recommendation is not to grant tenure and promotion, the faculty member will continue in the tenure and promotion process.
- 10.3.7.7 For tenured assistant professors the College P&T Committee will recommend promotion to Associate Professor at the end of the academic year or they will recommend not to promote. If the recommendation is not to promote, there is no penalty and reapplication can occur during any following academic year.
- 10.3.7.8 The College Committee will vote to tenure/promote or not to tenure/promote, each candidate reviewed. The vote will be by paper ballot unless circumstances dictate an electronic voting mechanism is deemed necessary. The College Committee will submit its recommendations, along with the vote counts, to the Dean.
- 10.3.7.9 If the Dean has a dissenting opinion from the opinion of the College Promotion and Tenure Committee, the Dean shall inform the College Promotion and Tenure Committee of the bases of this opinion immediately. If the differences between the Dean and the College committee are not resolved, the decision shall be returned to the College Promotion and Tenure Committee for another vote. A two-thirds vote of the committee shall be required to override the recommendation, after which the Dean must forward the College committee's final recommendation to the Provost. If a two-thirds vote is not achieved, the College committee's vote is overturned, and the committee's final recommendation is aligned with the Dean's recommendation.
- 10.3.7.10 The Dean of the College is instructed to send letters to all

persons whose names have been submitted for tenure/promotion by their department informing them of the committee's recommendations.

- 10.3.7.11 For tenured assistant professors and those persons in their fifth or sixth year not being recommended favorably for tenure and/or promotion by the College Committee and/or the College Dean, the letter must include written statements delineating the person's strengths and weaknesses in each of the areas of 1) teaching, 2) scholarship, and 3) service in a professional capacity. The College Committee and/or the College Dean may also suggest areas for improvement.

In the case of a department chair being the first negative recommendation, the department chair may send forward a dissenting opinion, but the candidate may not appeal the letter because the decision of the department committee stands. The candidate must see the letter and may include a written response to the letter in the materials to be sent forward.

In the case of a dean being the first negative recommendation, the Dean may send forward a dissenting opinion if the College Promotion and Tenure Committee returns a two-third vote and overturns this recommendation, but the candidate may not appeal the letter because the decision of the committee stands. The candidate must see the letter and may include a written response to the letter in the materials to be sent forward. If the College Promotion and Tenure Committee does not return a two-thirds vote, the recommendation of the Dean stands. In this case, the faculty member may appeal because the recommendation of the College committee and the Dean going forward will be negative.

- 10.3.7.12 The academic Dean shall forward recommendations concerning tenure and promotion, including their evaluations, to the Provost and Vice President for Academic Affairs. The vote counts for each candidate from the College P&T Committee will be included with the recommendations. If the recommendations are not acceptable, the Provost and Vice President for Academic Affairs shall consult with the academic dean about the differences.

10.4 Procedures for Promotion to Professor

- 10.4.1 Supplemental External Review Letters for Promotion to Professor. Candidates who intend to seek promotion to full professor shall declare their intentions no later than April 30th of the spring semester prior to promotion review in the fall. This deadline is set to ensure adequate time for the process of seeking and receiving letters. The external review process will be conducted according to department and college policies and will commence by May of the spring semester in order to guarantee timely receipt of the external reviewers' letters for fall

review. Candidates who declare their intentions after April 30 may not have adequate time for external letters to be received and reviewed by the evaluators, and therefore will not be eligible for consideration if their files are not complete. When seeking promotion to Professor, a minimum of two letters from reviewers external to the University shall be included. Department Chairs shall ask external reviewers to describe their relationship, if any, to the candidate. The supplementary evaluative review letters shall provide the reviewer's evaluation of the quality of the candidate's scholarship, creative endeavors, and other scholarly productivity. The department Chair shall include a copy of the letter soliciting external reviews.

10.4.1.1 To select external reviewers, the candidate will provide the Department Promotion and Tenure Committee Chair the names of at least two external reviewers and explain in writing why each individual was proposed as a reviewer. The candidate will also describe the relationship, if any, between the candidate and each reviewer. The Department Promotion and Tenure Committee will select at least two additional external reviewers and record in writing why each individual was proposed as a reviewer. The candidate and the Department Promotion and Tenure Committee will jointly decide on the reviewers to be contacted for letters. One-half of the contacted reviewers must be from the candidate's list. If an agreement on the reviewers to be contacted cannot be reached, the dean will decide the issue.

10.4.1.2 All letters received from external reviewers will be available to evaluators in the promotion review process. These review letters shall be inserted and retained in the candidate's Promotion and Tenure file for use by the departmental, collegiate, and, in the case of an appeal, University Promotion and Tenure Committee, and by the Provost in promotion deliberations for the current academic year.

10.4.1.3 Not later than one week prior to the beginning of the Departmental Promotion and Tenure Committee's consideration of the candidate's promotion to Professor, the Chair of the committee shall make a copy of the set of external letters received available to the candidate for review. In the set of external letters presented to the candidate, the anonymity of the external reviewers will be protected by blocking out all information in the letter that could be used to identify a reviewer (such as their name, position, letterhead identifying the location of employment, etc.). This set of letters shall be referred to as the redacted file. The candidate may respond in writing to information included in the redacted file for inclusion in the promotion file. Any written responses and all copies in the redacted file must be delivered by the candidate to the chair of the Departmental Promotion and Tenure Committee before the scheduled beginning of the committee's consideration

of the candidate's promotion to Professor.

- 10.4.1.4 At the conclusion of promotion deliberations, the redacted file will be destroyed by the Office of the Dean. The original letters from external reviewers shall be retained in a confidential file in the Office of the Dean. Once letters are placed in this separate confidential file, they cannot be reopened for the purposes of subsequent promotion deliberations at any level of consideration unless requested by the candidate.
- 10.4.2 In accordance with the department's policies, procedures and criteria, the Department Promotion and Tenure Committee Chairperson and/or the Chairperson of the department will prepare recommendations on promotion to Professor documenting the candidate's achievements in the areas of teaching, scholarship and service. Recommendations for promotion will be submitted to the Dean of the College by the date established each academic year by the College Committee. The department Chairperson will forward to the Dean a list of candidates for promotion to Professor, recommended by the department promotion and tenure committee with appropriate supportive evidence and an indication of the department chairperson's endorsement or non-endorsement. The department chair may agree or disagree with the Department Promotion and Tenure Committee's recommendation. In the case of agreement, the department chair may choose to write a letter of concurrence but is not required to do so. In the case of disagreement with the Committee's recommendation, the department chair shall write a letter stating their recommendation regarding the candidate in question.
- 10.4.3 The Dean of the College will receive department recommendations and supporting documentation for promotion and check them for compliance with current college criteria. Any recommendations and documentation not meeting the criteria will be returned immediately to the department for review and resubmission.
- 10.4.4 The Dean of the College will distribute the department recommendations for promotion to Professor, the supporting credentials and the external review letters to the members of the College Committee. The Dean will make available to the members of the Committee other documentation that has been submitted with the recommendation for tenure/promotion.
- 10.4.5 The College Committee will study the recommendations with supportive materials from departments for compliance with policies and procedures established for the College. The Committee
 - 10.4.5.1 Will request additional evidence to support recommendations if needed;
 - 10.4.5.2 Will meet with department promotion and tenure committees in those instances when in its judgment policies and/or

procedures have not been adhered to or some other question exists and request that alterations in recommendations be made;

10.4.5.3 May hold interviews with recommending officers (i.e., the Department Chair and Departmental Promotion and Tenure Committee) or take whatever action is needed to discharge its evaluation of candidates for promotion.

10.4.6 The College Committee will vote to promote or not to promote each candidate reviewed. The vote will be by paper ballot unless circumstances dictate an electronic voting mechanism is deemed necessary. The College Committee will submit its recommendations, along with the vote counts, to the Dean.

10.4.7 If the Dean has a dissenting opinion from the opinion of the College Promotion and Tenure committee, the Dean shall inform the committee of the bases of this opinion immediately. If the differences between the Dean and the committee are not resolved, the decision shall be returned to the College Promotion and Tenure Committee for another vote. A two-thirds vote of the committee shall be required to override the recommendation, after which the Dean must forward the College committee's final recommendation to the Provost. If a two-thirds vote is not achieved, the College committee's vote is overturned, and the committee's final recommendation is aligned with the Dean's recommendation. The Dean of the College is instructed to mail letters to all persons whose names have been submitted for promotion to Professor by their department informing them of the committee's recommendations.

10.4.8 For those persons not being recommended favorably for promotion to Professor by the College Committee and/or the College Dean, the letter must include written statements delineating the person's strengths and weaknesses in each of the areas of 1) teaching, 2) scholarship, and 3) service in a professional capacity. The College Committee and/or the College Dean may also suggest areas for improvement.

10.4.9 The academic dean shall forward recommendations concerning the promotion to Professor, including their evaluations, to the Provost and Vice President for Academic Affairs. The vote counts for each candidate from the College P&T Committee will be included with the recommendations. If the recommendations are not acceptable, the Provost and Vice President for Academic Affairs shall consult with the academic dean about the differences.

11. Right of Reconsideration

11.1 Reconsideration is the act whereby a candidate may request that an initial adverse decision by the department, college, the Dean, or the Provost be reexamined. Reconsideration can take place before an appeal. Reconsideration

provides an opportunity for a candidate to clarify content of material. A decision in favor of the appellant does not guarantee tenure and/or promotion. The candidate may ask for a reconsideration only at the level at which the initial adverse recommendation was made. Refer to the University P&T document in the Faculty and Professional Personnel Handbook for procedures if the initial adverse recommendation has been made by the Provost.

- 11.2 If the initial adverse recommendation has been made by the Department Promotion and Tenure Committee, then the candidate may ask for a reconsideration of that recommendation by the Department Committee before the candidate proceeds further. However, an appeal may be filed without following the reconsideration process. Refer to the Department P&T document, section 11 in this document, and the Faculty and Professional Personnel Handbook for procedures.
- 11.3 If the initial adverse recommendation has been made by the College Committee or the Dean, then the candidate may ask for reconsideration at the collegiate level. However, an appeal may be filed without following the reconsideration process (refer to the university P&T document in the Faculty and Professional Personnel Handbook for appeal procedures).
 - 11.3.1 In the case of reconsideration, the candidate must ask, in writing, for the reconsideration within ten (10) calendar days following the date of the faculty member's receipt of the written recommendation adversely affecting them. For example, if a College Dean or College Promotion and Tenure Committee advises a faculty member in writing that it is recommending against awarding tenure to such member, the period to request reconsideration would run from the date of receipt of that communication, rather than from the date on which the Board of Trustees subsequently announces the names of faculty members who have been awarded tenure. Any request for reconsideration not filed within this time limit will be denied automatically, unless the academic dean determines that good cause has existed for the delay.
 - 11.3.2 There are two permissible reasons to request reconsideration: 1) the College Committee's or Dean's incomplete review of; or 2) misinterpretation of the promotion and tenure file. The candidate's written request must address the specific examples of the submitted materials potentially not reviewed or misinterpreted. The written request for reconsideration shall be filed in the office of the college dean and forwarded to the college promotion and tenure committee.
 - 11.3.3 After receiving a request for reconsideration, the Collegiate Committee must meet to reconsider its initial adverse recommendation or in cases when only the college dean reviews the candidate, the Dean must reconsider the initial adverse recommendation. The Collegiate Committee or Dean must meet with the candidate if they so request. The candidate may provide an oral presentation of the request for promotion or tenure. No additional materials may be introduced or added to the documents or the process.

- 11.3.4 After meeting to reconsider the candidate's materials in cases where the College Committee made the initial adverse decision, the College Committee shall vote to overturn or affirm the previous decision. This vote supersedes the previous vote. If the decision is to affirm the initial adverse recommendation, the College committee shall address, in writing, either in a detailed summary or by specific points, the reasons to affirm the initial adverse recommendation regarding the candidate's written request. The letter will be a part of the promotion and tenure file.
- 11.3.5 In instances where the Dean makes the initial adverse decision, the Dean will inform the candidate of their decision following reconsideration. If the decision is to affirm the initial adverse recommendation, the Dean shall address, in writing, either in a detailed summary or by specific points, the reasons to affirm the initial adverse recommendation regarding the candidate's written request. The letter will be a part of the promotion and tenure file.
- 11.3.6 In cases where the dean makes the initial adverse decision, the candidate's materials for promotion and/or tenure shall be held in the files of the dean where the initial adverse recommendation was made and shall not be forwarded to the Provost until the requests for reconsideration have been completed.

12. College Appeals Policies and Procedures

- 12.1 Tenure-track full-time faculty may appeal promotion and/or tenure decisions that adversely affect such individuals. Appeal refers to actions taken by the appellant when the outcome of the department, college or Provost reconsideration is the same as the original recommendation. Appeals examine the process not the content. An appeal may be filed without following the reconsideration process. A decision in favor of the appellant does not guarantee tenure and/or promotion. Please contact the Dean's Office if you have questions related to the College Appeal Process. Refer to the University P&T document in the Faculty and Professional Personnel Handbook for procedures if the initial adverse recommendation has been made by the Provost.
- 12.2 Appeals regarding promotion or tenure will be based upon
 - 12.2.1 Allegation of violation of approved departmental, collegiate, and/or University Policies and/or procedure, including those set forth in the Faculty and Professional Personnel Handbook;
 - 12.2.2 Allegation of unfair treatment on the part of the decision makers;
 - 12.2.3 Allegation of discriminatory treatment on the part of the decision makers.
- 12.3 The Appeals Subcommittee will adhere to the University Promotion and Tenure Committee Policies.
- 12.4 In all cases, the appellant has the burden of proving their allegations.
- 12.5 The academic dean is responsible for preparing an appeal file that will consist of

(a) the formal request for hearing and any other materials submitted by the appellant; (b) the response and any other materials submitted by the Department Committee or Department Chair. The appeal file will be forwarded to the chairperson of the hearing panel who will make certain that it is made available to all parties to the hearing.

12.5.1 The academic dean will assist the chairperson on the hearing panel in arranging the hearing at the collegiate level.

12.5.2 The College Committee must hold the hearing within thirty (30) calendar days of its receipt of the request for the hearing. Days outside the regular academic year will not be counted in the thirty-day computation. The chairperson of the College Committee may, with good cause, extend the thirty-day deadline.

12.6 The Appeals Subcommittee Chairperson will review the appeals documents to determine whether the appeal specifies a criterion established in 12.2. Documents that do not specify any of these criteria will be returned immediately to the appellant for review and resubmission. The appellant must resubmit or withdraw the appeal within five (5) working days from the date of notification by the Appeals Subcommittee Chairperson. Upon resubmission the Appeals Subcommittee Chairperson will form an appeal panel to hear the appeal.

12.7 Persons who will be involved in an appeal hearing:

12.7.1 The appellant who has the prerogative of being accompanied by a full-time tenured or tenure-track Ball State faculty or professional personnel member to serve as faculty colleague for the appellant and/or a recording secretary;

12.7.2 The Department Chairperson and the Department Promotion and Tenure Committee Chairperson (unless the Chairperson of the Appeals Subcommittee appoints a different individual or individuals to represent the department) who would present the case for the department including such material as minutes of promotion and tenure meetings involving the appellant;

12.7.3 Witnesses who may be called by the appellant, the department and/or the chairperson of the appeal panel. Each witness will be present at the appeal hearing only during their testimony;

12.7.4 The Dean or the Dean's designee who will be an ex officio non-voting attendant at the hearing;

12.7.5 The appeal panel who will hear the appeal.

12.8 Persons who will serve on the appeal panel:

12.8.1 The Chairperson of the Appeals Subcommittee or their designee who will chair the appeal panel;

12.8.2 Four additional faculty members who will be appointed by the chairperson of the Appeals Subcommittee, at least two (2) of whom must also be members of the College Promotion and Tenure Committee. Appointed

members must be from four departments other than that of the appellant. The appeal panel must be in accordance with University Promotion and Tenure policy as described in the Faculty and Professional Personnel Handbook. The chairperson of the appeal panel will appoint one member of the appeal panel as the panel's recording secretary. When the appellant is from the same department as the chairperson of the Appeals Subcommittee or the chairperson of the Appeals Subcommittee has a conflict of interest, the chairperson of the College Promotion and Tenure Committee will organize the appeal panel in accordance with the policies and procedures established by the College.

- 12.9 Appeals will be conducted only when all members of an appeal panel are present.
- 12.10 Preparation for and conduct of the appeal hearing:
 - 12.10.1 At least five (5) working days prior to the date of the hearing, the appellant must submit a written statement clearly detailing the basis (bases) of the appeal along with copies of all pertinent related documents to the chairperson of the appeal panel;
 - 12.10.2 At least five (5) working days prior to the date of the hearing, the appellant's department (department chairperson and/or chairperson of the Promotion and Tenure Committee) must submit a written statement clearly detailing responses by previous committees that have heard the appeal along with copies of all pertinent related documents to the chairperson of the appeal panel;
 - 12.10.3 At least (5) working days prior to the date of the hearing, both the appellant and the departmental representatives must submit a list of witnesses (if applicable) to the chairperson of the appeal panel;
 - 12.10.4 The materials listed above in Sections 11.10.1, 11.10.2 and 11.10.3 will be distributed for review to all parties participating in the hearing, excluding witnesses, at least three working days prior to the hearing;
 - 12.10.5 The Chairperson of the appeal panel will open the hearing by outlining the procedure to all participants;
 - 12.10.6 The procedure will include the following steps:
 - 12.10.6.1 The appeal panel and the College Dean or a designee will have reviewed all materials previously submitted;
 - 12.10.6.2 The appellant and faculty colleague will make a presentation not to exceed thirty (30) minutes (the time used by witnesses will be included within the thirty (30) minutes);
 - 12.10.6.3 At the close of the appellant's time period, members of the appeal panel may question the appellant and witnesses;
 - 12.10.6.4 After the panel's questions have been answered, the departmental representatives may give a rebuttal not to exceed five (5) minutes;

- 12.10.6.5 Following the rebuttal, members of the appeal panel may ask questions;
 - 12.10.6.6 The departmental representatives will make a presentation not to exceed thirty (30) minutes (the time used by witnesses will be included within the thirty (30) minutes);
 - 12.10.6.7 At the close of the department's time period, members of the appeal panel may question the departmental representatives and witnesses;
 - 12.10.6.8 After the panel's questions have been answered, the appellant may give a rebuttal not to exceed five (5) minutes;
 - 12.10.6.9 Following the rebuttal, members of the appeal panel may ask questions;
 - 12.10.6.10 The Chairperson of the appeal panel will ask both parties if they believe the hearing was conducted fairly (responses will be recorded in the minutes of the hearing);
 - 12.10.6.11 The Chairperson of the appeal panel may extend the time limitations with the approval of the majority of the panel.
- 12.11 The Chairperson of the appeal panel shall call a separate meeting of the appeal panel only to deliberate the appeal. Before the final decision, both the appeal panel and the Dean, or the Dean's designee, may request a meeting with each other. Decisions will be made by anonymous written ballot, unless circumstances dictate an electronic voting mechanism is deemed necessary, and will require a simple majority. The chairperson of the appeal panel will orally notify the appellant, the department, and the Dean's Office of the decision and will provide written confirmation to the parties with copies provided to the proper College and University officials for appropriate action. When the appeal panel upholds an appeal, it must specify a remedy for the situation or specify a recommended course of action to the appropriate parties.

Approved by the College Promotion & Tenure Committee: **August 25, 2023**