Progress Toward Tenure Review for the College of Liberal Arts & Sciences

Purpose: To serve as the official statement on matters related to the progress toward tenure review for tenure-track faculty members in the College of Liberal Arts & Sciences.

Applies to: Tenure-track faculty within the College of Liberal Arts & Sciences

Pre-Tenure Matters. As part of its procedures for promotion and tenure, each unit in the College shall incorporate a plan for mentoring faculty prior to tenure. Such plans should provide appropriate information and guidance to assist faculty members in the development of successful careers in teaching/advising (or professional performance), scholarship, and service, and in documenting a record of their careers for purposes of the tenure process. Before the end of the first semester following the initial appointment, each unit shall provide faculty members with information concerning the standards and procedures for award of tenure and promotion in rank, including copies of the written criteria and procedures approved by the unit, the College, and of the Provost's guidelines and forms. Working with the faculty member, each unit shall, on an ongoing basis, generate and compile the documentation necessary to evaluate teaching/advising (or professional performance), research or other scholarly productivity, and service.

Progress Toward Tenure Review. Each unit must periodically review its "Annual Faculty Performance Evaluation Plan," as approved by the Office of the Provost. This document is to be made available to all tenure-track and tenured faculty.

The progress toward tenure review is intended to provide faculty members with a meaningful appraisal of their progress toward tenure and orient them toward basic aspects of the tenure process. Neither the progress toward tenure review nor its results shall be included in a faculty member's promotion and tenure record, and recommendations for or against promotion and tenure should not be influenced by favorable or unfavorable results of the progress toward tenure review. This limitation does not prevent consideration, during the promotion and tenure review, of the same documents and information considered for purposes of the progress toward tenure review.

In the spring semester, approximately midway between a faculty member’s appointment and mandatory review year (usually the third year), a non-tenured faculty member will receive a progress toward tenure review. A faculty member's years of prior service (as recognized and determined by the Office of the Provost) will be counted in calculating years of service. For example, a faculty member who has been given credit by the Provost Office for one year of prior service will be reviewed in the spring semester of his/her second year at KU; a faculty member with two years of prior service will be reviewed in the spring semester of his/her first year at KU.

A faculty member may be exempt from the progress toward tenure review process; if he or she has received credit for three years prior service, the hiring process will be considered the progress toward tenure review. During a progress toward tenure review, the unit shall review the teaching/advising, research, and service record of the faculty member with a view to assessing the probability of subsequent tenure and promotion in the College. The Progress Toward Tenure Review form is to be used for this purpose and can be found on the Provost's Office website (http://facultydevelopment.ku.edu/pttr) along with guidelines and instructions. Each unit must provide a separate evaluation of the candidate’s performance in the unit. The unit must submit the following documentation:

- Candidate PTTR CV
- Candidate PTTR Statement
- Candidate PTTR Verification and List of Supplemental Materials. The required Initial Level Review Evaluation Document—this document includes the candidate’s position description and the initial review unit’s recommendation on progress toward tenure.
These materials shall be forwarded electronically to the College Dean’s Office no later than the first Friday in February. External evaluator reviews are not required for the progress toward tenure review. Additionally, Supplemental Materials/supporting documentation that accompanies the Progress Toward Tenure Review form at the department level is not required to accompany it at the College level, but should be retained at the unit level. CCAPT does not review Supplemental Materials for Progress Toward Tenure Review. NOTE: No materials, supplemental or otherwise, can be added to the PTTR dossier after the candidate submits materials at the unit review level.

The College Committee on Appointments, Promotion, and Tenure (CCAPT) will review the evaluation and report the Committee’s recommendation on the progress toward tenure of the faculty member to the Dean of the College. The Committee’s evaluation is then shared with the faculty member and the department chair/director in a letter addressed to the faculty member prepared by the Dean and the Chair of the CCAPT. After the letter has been received, the chair/director and the faculty member are to meet and discuss the evaluation. The chair/director will then notify the College Dean's Office of the date that the Progress Toward Tenure Review discussion occurred with the faculty member.

**Joint Appointments and the Progress Toward Tenure Review.** The progress toward tenure review will be initiated within the primary unit and in consultation with the secondary unit in compliance with relevant College and University policies. Candidates who hold joint appointments prepare only one set of progress toward tenure review materials for review by both units in which they hold appointments. The primary unit is responsible for:

1. All administrative protocols pertinent to the process, including initiation of the process.
2. Ensuring that the candidate has completed all the necessary sections of the Candidate Documents form.
3. Collecting the evaluation materials from the candidate and secondary unit.
4. Forwarding the candidate’s dossier to the College Dean’s Office.

Candidates will be asked to review and endorse a position description by each unit in which they hold an appointment. The materials that are required of each unit for the progress toward tenure review are the same as the points listed above in the section entitled, Progress Toward Tenure Review.

In addition to this formal progress toward tenure review, units are required to make internal, annual performance evaluation reviews of faculty on tenure-track appointments in order to provide ongoing, constructive advice and direction to the faculty member seeking tenure and promotion in the College. Please refer to a unit's particular "Faculty Performance Evaluation Plan."

Tenure-track faculty members are entitled to sound advice and guidance concerning their prospects for promotion and tenure at the University. The progress toward tenure review should document that guidance.

The CCAPT review is designed to be a check to determine whether departmental standards of evaluation and assessment of the individual are in line with those of the College and University promotion and tenure committees. Of special concern is to identify any cases in which a department judges that a tenure-track, faculty member is doing well, but the CCAPT would evaluate the candidate more critically. It is far better that any such discrepancies be discovered in the tenure-track period while there is still ample time for consultation and change.

**Non-reappointment.** Prior to tenure, a faculty member is considered to be serving a probationary period and the unit or College may decide not to reappoint the faculty member. Non-reappointment may be justified by a faculty member's poor performance of the responsibilities of his/her position, including teaching/advising (or professional performance), research or scholarly productivity, or service; by criteria based upon unit or College plans for future faculty development; by budgetary considerations; or by a unit or College decision that its needs should be filled with a different individual.

The normal procedure for forwarding recommendations for non-reappointment shall be from the chair/director of the unit to the Dean of the College, and from the Dean to the Provost. Prior to forwarding any recommendation of non-reappointment to the Chancellor, the Provost shall notify the faculty member in writing of the recommendation and the reasons for it. The notification shall also inform the faculty member of the right to appeal the recommendation to the Faculty Rights Board. Such an appeal should be filed with the Office of University Governance within 14 days of
receiving notification and shall be considered pursuant to procedures established by the board pursuant to section 6.8.3 of the Faculty Senate Rules and Regulations. Following the Chancellor's decision, the legally effective notice of non-reappointment shall be issued over the signature of the Provost and shall include a statement of the reasons for the decision.

Pursuant to Board of Regents policy (adopting the American Association of University Professors statement of 1964), written notice of non-reappointment shall be provided to a faculty member as follows:

a. Not later than March 1st of the first year of service, if the appointment expires at the end of that academic year; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination.

b. Not later than December 15th of the second year of service, if the appointment expires at the end of that academic year; or, if the appointment for a second year of service terminates during an academic year, at least six months in advance of its termination.

c. At least 12 months before the expiration of an appointment after two or more years of service at the University. This places the notification deadline on the last day of the academic year for faculty on nine-month appointments, and on June 30 for those on 12-month appointments.

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**Review, Approval & Change History:**
02/05/2016: Strengthened the language regarding supplemental materials to make it clear that materials are not to be forwarded to CCAPT. Also, added statement that no materials can be added by to the dossier after it has been reviewed at the unit level.
09/28/2015: Updated procedures to be in line with University Guidelines
9/23/2011: Approved by Erin Spiridigliozzi

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**Approved by:**
The Dean of the College of Liberal Arts & Sciences

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**Review Cycle:**
Annual (As Needed)

**Related Policies:**
Provost Office's Faculty Evaluation Policy