



SANTA CLARA UNIVERSITY

Tenure & Promotion

Principles, Standards, Procedures & Best Practices

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Principles Underlying R&T Review

- SCU's process for evaluating a candidate's petition for tenure/promotion should be:
 - **Rigorous** – Ensure that the candidate has met or exceeded University standards in teaching, scholarship and service
 - **Well-informed** – Base judgments on strong evidence in the file and the expert opinion of highly qualified scholars in the field
 - **Fair and impartial** – Follow University processes meticulously and conduct deliberations free of bias and potential conflicts of interest
 - **Confidential** – Ensure that deliberations, recommendations, and evaluative materials have confidential status and are not divulged to persons outside the review process.
- Those charged with evaluating a candidate's petition for tenure/promotion should not advocate for a particular outcome but formulate their recommendation after completing a balanced assessment of the evidence.



University Standards for Tenure and Promotion

- “The University evaluates candidates for promotion and tenure under three criteria: (1) teaching, (2) scholarly or artistic work and other professional accomplishments, and (3) service to the University, the profession, and the community.” (3.4.2)
- “It is the responsibility of a candidate to demonstrate superior, not merely competent, performance in the criteria listed.” (3.4.2)
- “In general, advancement in rank and the conferring of tenure are based upon the recognition by a candidate's peers of academic and professional achievement and upon their judgment that such achievement will continue.” (3.4.2)



University Standards for Promotion to Professor

- “The University shall hold to especially high standards for promotion to the rank of Professor. It is expected that candidates for promotion to Professor shall have distinguished themselves in teaching, in scholarship or artistic creativity, or preferably in both, and that they shall have served the University, their profession, or the community in proportion to their experience, their competencies, and their seniority. They shall have demonstrated achievement of high quality in all three Faculty Handbook criteria in addition to what they had attained when tenured or appointed to the rank of Associate Professor, whichever is more recent.” (3.4.2.2)
- A proposal is currently moving through governance to clarify that petition-year evidence not considered in the tenure review would be reviewed in the promotion to Professor petition. **This will not affect AY23-24 tenure and promotion cases.**



Evaluation of Teaching

- “Teaching is to be judged in a teacher's total effect upon the education of his or her students. Teaching includes not only classroom instruction, but also academic advising and curriculum development.” (3.4.2)
- “Those entrusted with evaluating a candidate’s teaching are to consider all evidence of achievement in each of the three components....The candidate’s course materials form part of this evidence.” (3.4.2)



Evaluation of Teaching

- Evaluation of teaching should be based, at a minimum, on two distinct sources of evidence: student evaluations and peer evaluations. (Task Force on the Evaluation of Teaching)
- Best Practice - Evaluation based on multiple sources of evidence, including classroom observations and review of relevant teaching materials.
- For additional resources, see [Sample Teaching Evaluation Template](#).



Student Evaluations of Teaching (SET)

Provost's Office will provide each candidate with a summary SET report

- Summary report includes data from start date of rank to Spring 2023
- Summary SET reports **exclude** class sections taught Winter and/or Spring 2020. This follows the Provost's announcement March 2020:

“Given the extenuating circumstances... [of Covid-19], faculty may opt out of conducting course evaluations in Winter and Spring 2020; however, faculty who wish to proceed with course evaluations are welcome to do so.”

- Faculty also have the option of excluding Winter and/or Spring 2020 narrative evaluations.
- Evaluators will be reminded of the circumstances during these terms.



Discipline-Specific Standards for Scholarship

- “Because the nature of teaching, scholarship or artistic creativity, and service differs in some respects among academic disciplines, the faculty of the college, schools, and division develop, adopt, and publish their respective clarifications of the three criteria. Candidates for tenure or promotion are referred to these publications, as amended from time to time, for a detailed explanation of the standards and procedures by which they will be evaluated.” (3.4.2)



Discipline-Specific Standards for Scholarship

- School- or discipline-specific standards cannot weaken or dilute university standards. Rather they elaborate how the university standards should be applied in the context of the discipline.
- All internal and external evaluators shall evaluate the candidate's scholarly record with regard to the appropriate Discipline-Specific Standards for Scholarship document.

“These standards should inform and guide, but not dictate, the professional review of a candidate's portfolio.”

Discipline-Specific Scholarship Standards: Background and Implementation (2015)



Best Practices for Selecting External Evaluators

- Those chosen to serve as External Evaluators should have a “strong record of accomplishment in the candidate’s field” and generally hold a position at or above the rank to which the candidate is being considered for promotion
- “Faculty members who participate in the evaluation of candidates for promotion and tenure must strive to avoid any conflict of interest, real or perceived, in order to ensure a fair and objective evaluation.” (3.4.4.9)
- Department/School should provide an explanatory page on selection and qualifications of external evaluators

Department faculty will have access to all letters available at the time of their review.



Evaluation of Service

- “Service is activity other than teaching and scholarship or artistic creativity that fosters and advances the missions and goals of the department, the college or school, the University, or the profession.” (3.4.2)
- “The service expected of probationary faculty will be appropriate to their expertise and experience and will respect their need to devote most of their energies to teaching and scholarly or artistic work.” (3.4.2)



Evaluation of Service *for promotion to full*

The University shall hold to especially high standards for promotion to the rank of Professor. It is expected that candidates for promotion to Professor shall have distinguished themselves in teaching, in scholarship or artistic creativity, or preferably in both, and that they shall have served the University, their profession, or the community in proportion to their experience, their competencies, and their seniority. They shall have demonstrated achievement of high quality in all three Faculty Handbook criteria in addition to what they had attained when tenured or appointed to the rank of Associate Professor, whichever is more recent. (3.4.2.2)



Collegiality

Collegiality is not a distinct capacity to be assessed independently of the traditional triumvirate of scholarship, teaching, and service. It is rather a quality whose value is expressed in the successful execution of these three functions. Collegiality means that faculty members cooperate with one another in sharing the common burdens related to discharging their responsibilities of teaching, scholarship or creative work, and service, and do so in a conscientious and professional manner. Collegiality is not the same as conformity or intellectual agreement and may not be interpreted in a way that violates the principles of academic freedom. In those rare instances in which lack of collegiality becomes an issue in the evaluation of faculty for promotion and tenure, it may be considered only insofar as it has a negative effect on the functioning of the department, college or school, or University. (3.4.2)



Electronic Submission of Non-Confidential Material and Posting of Confidential Material

- **Submission** - Candidates provide their non-confidential material (CV, personal statement, scholarship to be reviewed, syllabi, etc.) by posting to a restricted Google drive file prepared by the Dean's Office (using template provided by Provost's Office).
- **Confidential Material** - Evaluative materials (e.g., external and internal letters) will be uploaded in a separate restricted Google drive file prepared by the Dean's Office and password protected (following Provost's Office instructions).

Confidentiality in the review process will be addressed on a subsequent slide.



Letters from Tenured Faculty Members in Department

- Chair invites all tenured members of department to participate in review.
- All faculty who participate in departmental discussion shall submit evaluation letter that includes a numerical score.
- Faculty on sabbatical or other leave may choose not to participate in R&T process.
- A faculty member who chooses not to participate shall not be involved in any part of the process.
- A faculty member who is unable for good reason to participate in the departmental discussion may write a letter if they have reviewed candidate's file. The letter must explain why the faculty member could not participate in the discussion.



Ranking of Candidates *(Duggan Report)*

Each member will assign a value, ranging from 5 to 0, to a candidate's petition. Use full integers.

- 5** – The candidate is uniformly excellent in meeting all three Faculty Handbook criteria.
- 4** – A strong “yes” but acknowledges minor weakness in one or two criteria.
- 3** – A weak “yes,” indicating that the candidate has met all criteria but has appreciable though not disqualifying weakness in some.
- 2** – A “no,” indicating that the candidate's record, whatever its strength, is sufficiently weak in one or more of the criteria to justify denial of tenure or promotion.
- 1** – A strong “no” indicating serious weakness in one or more of the three criteria.
- 0** – The strongest “no,” indicates that there is little or no merit in the candidate's record.



Evaluative Letters from Tenured Faculty in Department

Good practices:

- Refer to specific evidence in the file, and evaluate it objectively.
- Informed by the reviews of the external evaluators, assess the candidate's scholarship in reference to the appropriate Discipline-Specific Standards for Scholarship document.
- Use multiple sources of evidence in evaluating teaching.
- When evaluating candidates for promotion to professor, judge whether the candidate's record has reached the level of "distinguished" in teaching and scholarship, and whether their service is of high quality and in proportion to their rank, competencies, and seniority.
- End your letter with an overall score (0-5 from Duggan Report) and a brief summary of the candidate's strengths and weaknesses.

Cautionary notes:

- Do not advocate for a candidate to be tenured or promoted.
- Do not ignore one of the external letters, even if you disagree with the letter's contents.
- Do not argue that the candidate should be evaluated against a lower set of standards because of personal circumstances.
- Do not average a candidate's performance in teaching, scholarship, and service. Rather, judge whether the candidate has met the standard in each area of evaluation.



Extensions of Tenure Clock

The **Faculty Handbook (3.4.1.1)** allows candidates to apply for an extension of the tenure clock under certain circumstances. In 2020 the deadline for requesting an extension was made more flexible and the disruptions caused by COVID-19 were identified as a legitimate cause for a request for an extension.

Tenure candidates who have been granted an extension of the probationary period will be reviewed under the same academic standards as candidates who have not had an extension. (3.4.1.1)



Confidentiality

- Deliberations, recommendations, and evaluative materials shall have confidential status and shall not be divulged to persons outside the review process. (3.4.6)
- Committee conversations should be conducted in person or on zoom; no discussion should take place on email.



Recusal for Committee members from a candidate's department

- Current Faculty Handbook
 - Rank and Tenure Committee members from a candidate's department may participate in the committee's discussion of the candidate's case, but they cast a ballot only at the department level. (3.4.4.4)
 - Practices vary among committees
 - Practices range from full participation in discussion (without vote) to full recusal from participation in discussion
 - Faculty Handbook does not address this issue in the context of petitions for reconsideration
- Pending Revision
 - Department colleagues serving on school or University rank and tenure committees are entirely recused from viewing colleagues' cases and participating in deliberations.
 - Passed Faculty Senate vote May 19, pending decision by President and Board of Trustees; **will impact AY23-24 cases if approved**



Policies, Procedures, & Timeline for Rank and Tenure Processes

<https://www.scu.edu/provost/faculty-affairs/evaluation-promotion/>



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Evaluation, Reappointment & Promotion

Home > Office of the Provost > Faculty Affairs > Evaluation, Reappointment & Promotion

Evaluation

[Faculty Handbook](#) 3.3 describes the standards and processes for the periodic evaluation of faculty. Periods of review and forms and requirements for the Faculty Activities Report (FAR) may differ by rank and school.

Faculty Activities Reporting >

Reappointment

Adjunct Lecturer Reappointment >

Lecturer Reappointment >

Mid-Probationary Review (MPR) and Junior Faculty Development Leave (JFDL) >

Promotion

Promotion to Senior Lecturer >

Tenure and Promotion Policies and Procedures for Tenure-Track Faculty >

Faculty Senate Rank, Tenure & Promotion Committees >

Faculty Affairs

Faculty Handbook

Recruitment & Appointment

Evaluation, Reappointment & Promotion

Standards

Interfolio

Other Policies & Procedures

Compensation & Support

Contact Us

Upcoming Events

MAY 2 [Faculty180 / Interfolio Training](#)

2:00pm • Learning Commons, Lab 203
An event for faculty to learn how to use Faculty180 software to enter activities for evaluation and promotion.

MAY 5 [Faculty180 / Interfolio Training](#)

1:00pm • Learning Commons, Lab 203
An event for faculty to learn how to use Faculty180 software to enter activities for evaluation and promotion.

View the full [Faculty Affairs Calendar](#)