

Awarding of Promotion and Tenure

FP: 104

Revision Approved:	Faculty Senate	February 16, 2011
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**I. Introduction to This Policy**

National Louis University’s ability to accomplish its mission depends on the quality of the teaching it delivers to students and on the research and other contributions that the University as a whole makes to the disciplines, professions, and communities in which it engages. This quality of performance depends in turn on the quality of the University’s faculty. This Policy is intended to support the recruitment and development of a University full-time faculty that will accomplish the institution’s goals and will distinguish National Louis University in the 21<sup>st</sup> century.

This Policy defines the criteria and procedures for initial assignment of rank, for promotion in rank, and for the awarding of tenure. (Faculty Policy 105 governs rank, promotion, and faculty status for Library faculty.) Every member of the University’s full-time faculty receives both rank and appointment to either a tenure-track or non-tenure-track position (with the exception of Distinguished Professor of Practice, which is a non-tenure-track, non-ranked appointment). All full-time, non-tenure-track faculty members are eligible for promotion in rank as appropriate. Tenure-track faculty, in addition to being eligible for promotion in rank, may be awarded tenure (continuing full-time employment with the University, subject to the University’s terms and conditions).

**University Expectations Concerning Tenure**

National Louis University understands academic freedom to be a fundamental value of the institution. Moreover, it is useful to consider the Board of Trustees Policy Statement Concerning Tenure and Academic Freedom (most recently approved with revisions on June 19, 2002):

National Louis University supports the pursuit of academic excellence without arbitrary and unnecessary restrictions. The related concepts of academic freedom, tenure and due process are of particular importance.

National Louis University understands academic freedom to mean that a faculty member, tenured or non-tenured, may inquire freely into academic matters and responsibly communicate considered findings in appropriate University classes related to the subject or, as an individual, in publications of the faculty member’s choice.

The faculty member, tenured or non-tenured, may freely and responsibly address the academic governance of the University and institutional affairs directly affecting its academic programs. As a citizen, the faculty member may freely pursue individual interests so long as they do not intrude upon University duties.

This Board of Trustees Policy Statement also defines the University’s technical understanding of the value of tenure:

National Louis University understands tenure to mean only that a faculty member has a continuing full-time appointment within the University subject to the conditions prescribed herein.

As a matter of policy, the University awards tenure selectively. Such awards reflect recognition by the trustees, the administration, and faculty colleagues of a high level of academic achievement and quality of service to the University. In practice such awards are to be considered only after due observance of such procedural standards as may be established by the University through its governance process from time to time.

This revision of National Louis University Faculty Policy 104 expands the University's expectations regarding tenure, recognizing that the long-term institutional commitment that is inherent in the awarding of tenure reflects a mutual expectation between the University and its faculty. Tenure implies not only that a faculty member grounds his or her work in teaching expertise, but that he or she is committed to a formal agenda of research, scholarship, and inquiry. National Louis University embraces an expanded definition of scholarship that appropriately reflects the University's active engagement with the broader society. The University expects that this work will be expansive in scale, will continue over the length of an academic career, and will bring recognition to the faculty member and the institution. In addition, consistent with the values and mission of NLU, each faculty member is required to exemplify a commitment to professional engagement, which may involve collaboration with professional colleagues and/or professional work within non-academic communities. This includes evidence of remaining current in one's profession and activities that reflect community engagement or practice in the profession.

## **II. Definition of Faculty Tracks**

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The University's full-time faculty consists of three tracks: tenured/tenure-track, non-tenure track, and Distinguished Professor of Practice (non-ranked).

**Tenured/tenure-track faculty** are expected to develop and maintain a record of scholarship / research / inquiry that advances the body of knowledge in their discipline and for which both they and National Louis University are recognized. These faculty are required to demonstrate a clear record of accomplishment in each of the following domains:

- a. Teaching excellence (except faculty with non-teaching primary assignments)
- b. Research, scholarship, and inquiry
- c. Professional development and engagement that reflect currency in one's field, discipline, or profession
- d. Service to the institution

**Non-tenure-track faculty** are expected to demonstrate a significant record of accomplishment as practitioners within their profession, as well as a commitment to advance teaching and learning. As NLU faculty members, they are required to maintain activity in each of the following areas:

- a. Teaching excellence (except faculty with non-teaching primary assignments)
- b. Professional development and engagement that reflect currency in one's field, discipline, or profession
- c. Service to the institution

**Distinguished Professor of Practice.** This non-ranked, non-tenure-track appointment is intended to provide a distinguished role for individuals who have a strong record of accomplishment, are revered in their professional communities, have had many years of experience, and bring to National Louis University a level of distinction by virtue of their career accomplishments. Appointments to this track are made mutually by the Chief Academic Officer and the President, and ratified by the Board of Trustees (see Section VI, below). The purpose of these appointments is to enhance the reputation of the institution, and responsibilities are designed accordingly.

### III. Faculty Assignments and Expectations for Promotion and Tenure

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The University's assignment of faculty workload, and accompanying expectations for promotion and tenure, may vary proportionately over time, according to faculty track and according to the demands on any specific faculty position. Faculty members with non-teaching primary assignments, such as Library faculty and research specialists, will demonstrate excellence in their area of academic or professional practice and an appropriate balance of the criteria relevant to the demands of their faculty positions and assigned faculty loads.

In decisions on promotion and tenure, the individual faculty member's professional workload and achievements will be considered in light of the four categories below. Each candidate is responsible for making his or her own case for tenure and/or the promotion applied for, and must use a combination of means in each category to do so.

All aspects of faculty workload fall under these four categories, as further defined by rank and track:

- (1) Teaching excellence
- (2) Research, scholarship, and inquiry
- (3) Professional development and engagement that reflect currency in one's field, discipline, or profession
- (4) Service to the institution

**Teaching excellence** consists of knowledge of the field and effectiveness of teaching and/or other instructional activities. Knowledge of the field will primarily be determined by holding an appropriate earned degree, or equivalent, as defined in the requirements for each rank, and ongoing professional development. In some cases, candidates for appointment or promotion who do not meet the designated degree requirement for a particular rank may still be considered for that rank when no advanced degree exists for that field (e.g., a Professional Certification might replace a Ph.D.). The College Promotion and Tenure Committee will have primary jurisdiction over whether a candidate holds the appropriate degree. If the CPTC is unable to determine whether a candidate's degree(s) and credentials meet the standard required, they may, in collaboration with the Chief Academic Officer and the Dean, arrange to engage the services of a properly qualified consultant to make this determination.

Teaching excellence may be demonstrated and documented through a combination of a variety of the following required and optional ways sufficient to make a case for teaching excellence:

- Demonstration of excellence in teaching and learning strategies
  - Representative syllabi (required)
  - Representative assignments (required)
  - Representative student work (required)
  - Description of advisory roles in research (theses and dissertations) and copies of completed dissertations, or abstracts thereof
  - Descriptions of other assigned instructional activities
  - Innovative, creative instructional materials
- Student course evaluations (required). (In the absence of five years of course evaluations, evidence of excellence in teaching will be judged in light of the candidate's ability to demonstrate a commitment to quality instruction through additional means, such as instructor-created course evaluations, departmental course evaluations, or attestations from students.) All course evaluation data gathered from students must be anonymous.
- Reports of teaching observations by colleagues or administrators (required); candidates for tenure must present a teaching observation report from an administrator or colleague for each year they are on the tenure track.
- Reflective teaching journals
- Administrative reviews (copies of annual reviews are required for candidates for tenure; all others should submit all administrative reviews since the previous promotion)

- Self-reflection and analysis of teaching and learning, and professional development plans related to instructional growth. Candidates will discuss student evaluations, classroom teaching observation reviews, successful and unsuccessful instructional strategies, and research as they affect personal teaching and learning philosophy in the context of the scholarship of teaching.
- Candidates' professional development plans related to instructional growth (required). Candidates will discuss student evaluations, classroom teaching observation reviews, successful and unsuccessful instructional strategies, and research as they contribute to professional development plans.
- Awards, honors, or distinctions from recognized professional organizations or associations for teaching excellence

**Research, scholarship, and inquiry** involve the creation and dissemination of new knowledge or the application of new knowledge or theory. National Louis University embraces an expanded definition of scholarship that appropriately reflects the University's active engagement with the broader society. Evidence must support a candidate's impact on the profession by disseminating his / her work through a variety of quality professional presentations and publications that include:

- Conference presentations, speeches, and performances
- Publication of books or articles; studies, policy papers, and / or other materials that result from community-based work; musical compositions, software, and other scholarly or academic works in print or other media that reflects the building of new knowledge through research/scholarship/inquiry or interpreting and applying knowledge (e.g., publishing articles, literature reviews, textbooks)
- Supervision of graduate student research

The quality of the contributions will be established in the candidate's dossier and other tenure documents through external recognition (e.g., publication in a peer-reviewed journal, publication by a well-regarded source, published reviews such as book reviews, attestations by qualified experts in the field in letters of recommendation; awards, honors, or distinctions from recognized professional organizations or associations for outstanding scholarship; and by obtaining external funding and grant support, when available, for work that advances the discipline). The quality of a candidate's research, scholarship, and inquiry will not only represent the work of the individual, but also enhance the reputation of National Louis University.

**Professional development and engagement:** Regardless of an individual faculty member's track, tenure status, or rank, National Louis University expects its faculty to remain actively engaged in the work and advancement of their fields, disciplines, and / or professional areas of practice. The University's criteria for evaluating performance and awarding promotion and/or tenure are intended to reflect the arc of the faculty member's career, and he or she will be asked to make the clear case for his or her own progression and cumulative accomplishments as he or she moves through the stages of promotion and/or tenure. Examples of professional development activity could include but are not limited to:

- Academic courses taken beyond the terminal degree
- In-service training
- Attendance at meetings of relevant professional associations and/or academic, professional, or community organizations, and consortia
- Membership in professional organizations
- Attendance at workshops, seminars, webinars, and symposia

Professional development also takes place through professional engagement, which may involve collaboration with professional colleagues and/or professional work within non-academic communities. Professional engagement activities are related to a faculty member's recognized area of disciplinary or professional expertise for purposes such as:

- Providing professionally-related service to individuals or organizations in the public or private sectors
- Developing, maintaining, or enhancing content expertise, skills, or professional standing
- Engagement with professional or community organizations and institutions
- Recognition by a local, state, national, or international professional organization for outstanding leadership or contributions to the field or profession

**Service to the institution** involves taking on roles and responsibilities vital to the operation and advancement of the institution. The quality of a candidate's service to the institution should not only represent the work of the individual, but also contribute to the progress of National Louis University. Evidence of service to the institution must include documentation of active service during the years at NLU leading up to the application for promotion and/or tenure. Evidence must support the impact a candidate has had on the University and his/her College or Library through participation and contributions made. Participation and contributions can be demonstrated through service on various University and College committees. Documentation can include (but is not limited to) the following service-related initiatives:

- Service on College and/or University committees, councils, and task forces
- Participation in College and/or University governance
- Student advising
- Faculty mentoring
- Administrative assignments
- Grant writing

#### **IV. Assignment of Rank and Promotion in Rank: Eligibility and Criteria**

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With the exception of Distinguished Professors of Practice, every full-time faculty member will hold appointment to one of four ranks, as follows. (For Library faculty, see Faculty Policy 105.) Faculty may progress via promotion through these ranks in the order listed here.

To be considered for promotion, an applicant must have served at least three years at a particular rank, although appointment for five or six years at a particular rank would normally be expected in order to build the candidate's credentials and the case for promotion to the subsequent rank. If promotion is not granted, the candidate may reapply for promotion in any subsequent year, according to that year's timetable.

- The candidate for tenure or early tenure will have achieved the rank of Associate Professor prior to or concurrent with the awarding of tenure.

It is the candidate's responsibility to make the case for his or her being awarded a promotion in rank.

#### **Instructor**

##### a. Quality of Teaching Excellence

(1) Knowledge of the Field: The faculty member will have earned at least a master's degree.

(2) Quality of Instruction: The faculty member will demonstrate effective teaching skills.

##### b. Quality of Professional Development and Engagement

In light of the University's overall expectations for faculty professional development as stated in the Introduction to this Policy, appointment at the rank of Instructor entails, at minimum, the following:

(1) The faculty member will participate in a relevant professional organization at the local, state or

national level.

(2) The faculty member's progress will be demonstrated through the successful completion of professional development goals mutually identified and agreed upon with the faculty member's supervisory administrator.

c. Quality of Service to the Institution

The faculty member will demonstrate professional relations with his/her students, colleagues and administrative officers.

**Assistant Professor**

The faculty member will have achieved and maintained the requirements for the rank of Instructor. Additional requirements for initial appointment at, or promotion to, the rank of Assistant Professor are:

a. Quality of Teaching Excellence

(1) Knowledge of the Field: The faculty member will have demonstrated sustained development of breadth and depth of professional knowledge, AND:

For non-tenure-track appointment: The faculty member will have completed at least 30 semester hours of study beyond, or professional training in addition to, the master's degree; or be able to demonstrate an equivalent level of knowledge, expertise, and recognition as attested to by experts within the field (e.g., professional training, certification, licensure, work experience, or continuing education). If there is not an appropriate expert group, this function will be implemented by a committee of National Louis University faculty members mutually agreed upon by the faculty member and the IPTC.

For tenure-track appointment: The faculty member will have completed at least 30 semester hours (or the equivalent) of study beyond the master's degree toward an appropriate terminal degree, or a terminal degree or an equivalent professional certification.

(2) Quality of Instruction: The faculty member will demonstrate effectiveness in teaching and/or other instructional activities

b. Quality of Research, Scholarship, and Inquiry (Required of tenure-track only)

National Louis University embraces an expanded definition of scholarship that appropriately reflects the University's active engagement with the broader society. To be appointed to a tenure-track Assistant Professor rank, the faculty member must at a minimum have an identified area(s) of research interest and evidence of commitment to a research agenda. Evidence of commitment to a research agenda might include previous conference presentations on the topic, previous publications in the area(s) of interest, research designs or proposals, anticipated publications from a completed thesis or dissertation, publications that are in press or under review, studies, policy papers, and / or other materials that result from community-based work; and grants awarded and / or pending grant applications.

c. Quality of Professional Development and Engagement

The faculty member will have engaged in professional development activities that involve improving, maintaining, or enhancing expertise, skills, or professional standing through academic courses taken beyond degree, in-service training, attendance at professional meetings, membership in professional organizations, attendance at workshops, seminars, symposia, consulting or any professionally-related service activities or engagement with professional organizations or institutions in the public or private sectors directly related to the academic discipline, field, or profession of the faculty member.

#### d. Quality of Service to the Institution

The faculty member will have demonstrated professional relations with his/her students, colleagues and administrative officers; AND:

- (1) The faculty member will perform associated duties according to the standards of the University as published in the Faculty Guidebook.
- (2) The faculty member will have participated in customary and appropriate University functions (e.g., Faculty Association meetings, commencement ceremonies).
- (3) The faculty member will have participated in program and/or curriculum development and/or taken on leadership role(s) in his or her program or department (e.g., program coordinator, department chair).
- (4) The faculty member will have served on College and/or University councils and/or committees.

#### **Associate Professor**

The faculty member will have achieved and maintained the requirements for Assistant Professor. Additional requirements for appointment at or promotion to the rank of Associate Professor are:

##### a. Quality of Teaching Excellence

- (1) Knowledge of the Field: Candidates will have received an earned terminal degree or professional certificate in an appropriate field.
- (2) Quality of Instruction and/or Other Instructional Activities: The faculty member will have demonstrated excellence in assigned teaching and/or other instructional activities.

##### b. Quality of Research, Scholarship, and Inquiry (tenure-track and tenured only)

National Louis University embraces an expanded definition of scholarship that appropriately reflects the University's active engagement with the broader society. The faculty member will have demonstrated scholarship through a combination of some or all of the following ways sufficient to make a case for excellence in scholarship.

- Conference presentations at state, national, or international conferences and professional meetings
- Invited presentations, plenary speeches, and featured presentations at state, national, or international conferences or professional meetings
- Publication of books or articles; studies, policy papers, and / or other materials that result from community-based work; musical compositions, software, or other scholarly or academic works in print or other media that reflects the building of new knowledge through research/scholarship/inquiry or interpreting and applying knowledge (e.g., publishing articles, literature reviews, textbooks)
- Support of graduate student research, scholarship, and inquiry

##### c. Quality of Professional Development and Engagement

The faculty member will have engaged in professional development and engagement activities that involve improving, maintaining, or enhancing expertise, skills, or professional standing through academic courses taken beyond degree, in-service training, attendance at academic or professional meetings, leadership in academic or professional organizations, attendance at workshops, seminars, symposia, or leadership in, consulting, or any professionally-related service activities or engagement with academic or professional organizations or institutions in the public or private sectors that effects significant contributions directly

related to the discipline, field, or profession of the faculty member.

d. Quality of Service to the Institution

The faculty member will have demonstrated professional relations with his/her students, colleagues and administrative officers; AND, in addition to the requirements for Assistant Professor will have done ONE of the following:

- (1) The faculty member will have served on program, department, College, or University councils and/or committees, moving progressively into taking on leadership responsibilities.
- (2) The faculty member will have managed projects that are significant for the institution or assumed leadership responsibilities that are equivalent to managing a governance committee.

**Professor**

The faculty member will have achieved and maintained the requirements for Associate Professor and will have become recognized for sustained excellence as a leader in his or her area, within and beyond the institution and/or profession. Additional requirements for promotion to Professor are:

a. Quality of Teaching Excellence

- (1) Knowledge of the Field: The faculty member will demonstrate sustained depth and breadth of knowledge (e.g., work experience, professional workshops, certification, licensure, and/or recognition at the regional, state, national, or international level) in his or her discipline or field.
- (2) Quality of Instruction and/or Other Instructional Activities: The faculty member will have demonstrated sustained excellence in assigned teaching and/or other instructional activities.

b. Quality of Research, Scholarship, and Inquiry (tenured only)

National Louis University embraces an expanded definition of scholarship that appropriately reflects the University's active engagement with the broader society. The faculty member will provide evidence of sustained excellence in scholarship by having published scholarly work that reflects the building of new knowledge through research or interpreting knowledge recognized as a significant contribution to the field.

c. Quality of Professional Development and Engagement

The faculty member will have engaged in professional development and engagement activities that involve improving, maintaining, or enhancing expertise, skills, or professional standing through academic courses taken beyond the degree, in-service training, attendance at professional meetings, executive-level leadership or other substantial activities in academic or professional organizations, attendance at workshops, seminars, symposia, engagement in professional consulting, workshops, or presentations recognized for their high, or recognition at the regional, state, national, or international level for outstanding service to the profession.

d. Quality of Service to the Institution

- (1) The faculty member will have demonstrated professional relations with his/her students, colleagues, and administrative officers.
- (2) The faculty member will perform associated duties according to the standards of the University as published in the Faculty Guidebook (e.g., administrative duties as assigned by the College or University, faculty mentoring, assisting administration in recruitment, advising, and other functions related to increasing enrollment or supporting University mission, representing the College or University in meetings outside the institution).

- (3) The faculty member will participate in customary and appropriate University functions (e.g., Faculty Association meetings, commencement ceremonies).
- (4) The faculty member will have engaged in research, grant writing, or other significant projects that have contributed to the advancement of the institution.
- (5) The faculty member will have exhibited a record of sustained leadership and contributions in faculty governance and other service roles within the institution.
- (6) The faculty member will have demonstrated sustained leadership with evidence of significant contributions within the institution (e.g., committee officer, administrative assignments, program coordination, program development or revision, department chair, grant writing, institutional research, program evaluation and program assessment).

## V. **Awarding of Tenure: Eligibility and Criteria**

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In addition to meeting all the requirements for each rank outlined in Section IV of this Policy, candidates for tenure must meet the following specific criteria.

As noted in the Introduction to this Policy (Section I), National Louis University's policy and practices recognize that the long-term institutional commitment that is inherent in the awarding of tenure reflects a mutual expectation between the University and its faculty. Tenure implies not only that a faculty member grounds his or her work in teaching expertise, but that he or she is committed to a formal agenda of research, scholarship, and inquiry. National Louis University embraces an expanded definition of scholarship that appropriately reflects the University's active engagement with the broader society. The University expects that this work will be expansive in scale, will continue over the length of an academic career, and will bring recognition to the faculty member and the institution. In addition, consistent with the values and mission of NLU, each faculty member is required to exemplify a commitment to professional engagement, which may include community-based work in the discipline or professional area in which he or she practices. This includes evidence of remaining current in one's profession and activities that reflect community engagement or practice in the profession.

**Tenure-Track Appointment:** Normally, tenure will be granted only to a faculty member occupying a tenure-track appointment within the University. A tenure-track appointment is an academic position occupied pursuant to regular appointment to the University faculty by the Chief Academic Officer and designated as tenure-track in the faculty member's annual Letter of Appointment (LOA), and in which the faculty member carries a full load or its designated equivalent. The awarding of tenure under special circumstances is treated in Section VI of this Policy.

**Rank:** The candidate for tenure or early tenure will have achieved the rank of Associate Professor prior to or concurrent with the awarding of tenure.

**Continuous Service:** The University will normally require a faculty member to serve in a tenure-track position for a continuous period of four to six full academic years before becoming eligible for tenure. The applicant must therefore submit his/her dossier and go through the review process no later than the sixth year of appointment. Time spent on leave of absence granted by the University in excess of one quarter will not normally count as service applicable toward tenure eligibility, but such leave will not cause the loss of previously earned applicable service. In certain circumstances (e.g., deployment of military personnel), the Chief Academic Officer may grant an appropriate extenuation of the period of service required for tenure. Additionally, candidates may request a 1-year "family friendly" extension to the six-year maximum for reasons such as pregnancy, birth or adoption of a child, elder care for a family member, major illness of the candidate or immediate family member, etc., with or without taking an official leave of absence from the University. Each such request must be approved by the candidate's Dean and the Chief Academic Officer.

**Midway Review:** The candidate for tenure or early tenure must complete a Midway Review (see Section VI and Appendix A) prior to applying for tenure.

**Criteria:** Tenure is earned through consistent effectiveness in each of four areas of professional endeavor: teaching excellence; research, scholarship, and inquiry; professional development and engagement that reflect currency in one's field, discipline, or profession; and service to the institution. The faculty member must consistently demonstrate a high level of performance in each of these areas during the probationary period, and must continue to do so after having received tenure. Specific criteria for tenure-track and tenured faculty are included as separate sections in the detailed requirements for each rank that are spelled out in Section IV of this Policy.

It is the candidate's responsibility to make the case for his or her being awarded tenure.

### **Timetable**

Tenure-track faculty may elect to apply for **early tenure** after completing their third or fourth year on the tenure track. Candidates for early tenure must meet the same requirements for tenure as candidates who apply through the normal tenure procedure. Procedures for early tenure are identical to those governing normal application for tenure (see Section VI of this Policy). If early tenure is granted, the tenured faculty member will thereafter have a continuous full-time appointment with the University, subject to the conditions prescribed in this and other applicable University policies. If early tenure is denied, the candidate's employment with the University will continue, with the understanding that he / she may not reapply for early tenure, but instead must apply on schedule under the normal tenure procedure. A second denial of tenure under those circumstances will result in the faculty member's receiving a one-year terminal Letter of Appointment, at the end of which period his/her National Louis University employment will end.

Candidates for **tenure** must apply for tenure no later than the beginning of sixth year on the tenure-track (unless an exception is granted – see above re Continuous Service). If tenure is granted, the tenured faculty member shall thereafter have a continuous full-time appointment with the University, subject to the conditions prescribed in this and other applicable University policies. If tenure is denied, the candidate will receive a one-year terminal Letter of Appointment, at the end of which period his/her National Louis University employment will end.

## **VI. Procedures for Awarding Promotion in Rank and/or Tenure or Early Tenure**

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This Policy assigns to faculty colleagues the primary responsibility for peer review and evaluation of each candidate's effectiveness as an academic and/or practicing professional. It assigns to the Dean the primary responsibility for providing a thoughtful and reflective recommendation on the candidate's effectiveness as an academic and/or practicing professional and within the specific expectations of the College. It assigns to the Chief Academic Officer the primary responsibility for administering the process fairly, equitably, efficiently, and in accordance with this and other applicable University policies. The Chief Academic Officer also has the overall responsibility, in consultation with the President, to consider each candidacy on the bases of both academic merit and strategic contribution, and to make the final recommendation regarding each candidacy to the Board of Trustees, on behalf of the institution. The Board of Trustees has the responsibility and authority to award or withhold promotion and/or tenure. The Board's decision in each case is final and binding upon the individual and the institution, except as stipulated in Faculty Policy 112 on Promotion and Tenure Appeals.

The brief outline below describes the general timeline and procedures that candidates, College and institutional committees, and administration will follow concerning applications for promotion, early tenure, and tenure. The process is described fully in Appendix A to this Policy, "Implementation Guidelines for Awarding Promotion in Rank and /or Tenure or Early Tenure."

Dates in these procedures may be varied slightly by the Chief Academic Officer to allow for weekends, holidays, inclement weather, declared or undeclared emergencies, University special events, or other events

beyond the control of the institution. It is the responsibility of the Chief Academic Officer to notify candidates of changes to any due dates.

**Brief outline of the process for awarding tenure (detailed description is attached to this Policy as Appendix A)**

- Ongoing: The Chief Academic Officer maintains the official timetable for candidacy, which is reflected in the annual Letter of Appointment (LOA). The Chief Academic Officer also maintains official records of all Dean and Committee letters of recommendation and other official documents related to the tenure process, and controls access to dossiers until the process is completed for each candidate.
- Ongoing: During each academic year, the faculty member, department chair, and Dean or Dean's designee work together to ensure appropriate workload assignment, review, and mentoring, in accordance with applicable NLU policies.
- Ongoing: During each academic year, a Midway Review is conducted for each faculty member in the third year on the tenure track.
- April – May: The Chief Academic Officer notifies all candidates in the various stages of the promotion and tenure process of their status and eligibility, and works with IPTC to offer informational workshops for candidates (their attendance is voluntary).
- June 1: All candidates who will apply in September for promotion, early tenure, and / or tenure submit a formal letter of intent to the Chief Academic Officer.
- June 15: The Chief Academic Officer advises the full faculty of the names of all candidates and invites submission of written comments, which must be received by the same deadline as that for receipt of dossiers.
- By July 1: Each candidate will solicit external letters of reference, which must be received by the same deadline as that for receipt of dossiers.
- September 1: Candidates compile and submit dossiers to the Chief Academic Officer. (See Appendix A for notes on dossiers.)
- September 15 – January 15: College and Institutional committees review all candidate materials simultaneously; College committees submit formal written recommendations by November 1 to the Chief Academic Officer, who makes them available to IPTC. IPTC submits its formal written recommendations to the Chief Academic Officer by January 15.
- October 1: Deans submit initial letters of recommendation to the Chief Academic Officer, who makes the Dean's letter and all internal and external letters available to the College and Institutional Promotion Committee members for review.
- January 15 – February 15: Each Dean reviews CPTC / Library and IPTC recommendations and submits a final written recommendation to the Chief Academic Officer. The Chief Academic Officer reviews files and may consult committees for clarification, etc. The Chief Academic Officer submits his/her recommendation and brief rationale on each candidate to the President. The President reviews and submits his/her written recommendation for each candidate to the Board of Trustees.
- Spring Board of Trustees meeting and follow-up: The Board acts on the recommendations submitted. Within 10 days of the Board meeting, the Chief Academic Officer notifies each candidate via formal letter of the Board's action and of action to be taken the following year, pursuant to the granting or denial of promotion and / or tenure. The Chief Academic Officer then announces the names of approved

candidates to the Faculty Senate and the University community.

- 45 working days after Board of Trustees action: Deadline for any candidate wishing to appeal a Board decision to file such appeal, pursuant to Faculty Policy 112 on Promotion and Tenure Appeals. After the 45-day period has passed, the Chief Academic Officer returns the dossier to each candidate who has not filed an appeal. In the case of candidates filing appeals, the Chief Academic Officer retains the dossier and all accompanying materials until the appeal is resolved.

### **Special Circumstances**

#### **Distinguished Professor of Practice**

This non-ranked, non-tenure-track appointment is intended to provide a distinguished role for individuals who have a strong record of accomplishment, are revered in their professional communities, have had many years of experience, and bring to National Louis University a level of distinction by virtue of their career accomplishments. Appointments to this track are made mutually by the Dean, the Chief Academic Officer, and the President, and ratified by the Board of Trustees. The purpose of these appointments is to enhance the reputation of the institution, and responsibilities are designed accordingly.

#### **Dean's, Chief Academic Officer's, or President's Prerogative**

The Dean, Chief Academic Officer, and / or President may jointly approve the awarding of tenure and/or the rank of Associate Professor or Professor, in conjunction with appointing a well-established professional to a key academic position on the faculty at the time of his or her appointment. Such awards will be ratified by the Board of Trustees.

#### **Credit for Prior Employment**

Upon recommendation of the department chair and the appropriate Dean, faculty members joining National Louis University from other educational institutions may be credited with up to two years of service as equivalent to that served in a tenure-track position with the University, provided that such faculty members shall not be eligible for early tenure application until completing two years on the University faculty in a tenure-track position. In such cases, the Chief Academic Officer will obtain the approval of IPTC, and will document the credit arrangement in each such faculty member's initial and subsequent Letters of Appointment and/or other hiring documentation. If the IPTC is unable to meet in a timely manner to consider this request, the Chief Academic Office may ask the Chair of the Faculty Senate to appoint a Special Committee, as described above re Prerogative appointments, to consider this request.

#### **Partial-Year Credit**

Upon the request of the candidate and the recommendation of the department chair and the appropriate Dean, the Chief Academic Officer may approve the crediting of a full year of service toward promotion and / or tenure for that academic year for a new full-time faculty member commencing employment with the University no later than the first working day of the second week of the Winter Quarter. Such credit will be noted in the candidate's first-year and subsequent Letters of Appointment and and/or other hiring documentation.

## **VII. Implementation, Review, and Revision of this Policy**

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### **Publication**

This Policy will be published in the Faculty Guidebook and / or other appropriate documents, which will be made available to all faculty on the University's website.

### **Transition to the 2011 Revised Policy**

Full-time faculty hired prior to the adoption of this 2011 Revised Policy will transition to it according to the following schedule. The Chief Academic Officer, in collaboration with the Faculty Senate, may make minor adjustments to the procedures detailed here, in order to ensure a fair, efficient transition.

- Immediately following Board of Trustees approval of this revision (expected March 10, 2011), the Chief Academic Officer and Deans will create a mechanism to allow certain faculty members who are currently in tenure-track positions to move to non-tenure-track status. Such transfers must be appropriate to the nature of the position, and must be approved by the Dean and the Chief Academic Officer by May 1, 2011.
- Candidates who were originally scheduled to apply in fall 2010 for tenure or tenure and promotion, and who accepted the “Grace Year” that defers their application to fall 2011, may elect to follow either the 2002 or the 2011 Policy. Candidates who apply in fall 2011 under the 2002 Policy must achieve the rank of Associate Professor prior to or concurrent with the granting of tenure. Candidates who apply under the 2011 Policy must achieve the rank of Associate Professor under the terms of the 2011 Policy. Candidates must clearly indicate in their letter of intent to apply and in their dossier the version of the Policy under which they are applying.
- Candidates who were originally scheduled to apply in fall 2011 for tenure or tenure and promotion, and who accepted the “Grace Year” that defers their application to fall 2012, may elect to follow either the 2002 or the 2011 Policy. Candidates who apply in fall 2012 under the old Policy must achieve the rank of Associate Professor prior to or concurrent with the granting of tenure. Candidates who apply under the 2011 Policy must achieve the rank of Associate Professor under the terms of the 2011 Policy. Candidates must clearly indicate in their letter of intent to apply and in their dossier the version of the Policy under which they are applying.
- Candidates who were originally scheduled to apply in fall 2011 for tenure or tenure and promotion, and who **did not** accept the “Grace Year” that would defer their application to fall 2012, may elect to follow either the 2002 or the 2011 Policy. Among these candidates for early tenure or tenure, those who apply under the 2002 policy must achieve the rank of Associate Professor prior to or concurrent with the granting of tenure. Candidates must clearly indicate in their letter of intent to apply and in their dossier the version of the Policy under which they are applying.
- Candidates for promotion and tenure who accept a “family-friendly” leave of absence, approved by the Dean and the Chief Academic Officer, under the 2011 Policy may continue to apply for tenure and/or promotion under the Policy that is in effect during the year they normally would have applied.
- Candidates who were originally scheduled to apply in fall 2012 and thereafter for tenure or tenure and promotion will follow the 2011 Policy. During years 2012-2017, the Promotion and Tenure committees will consider that candidates may have been in transition between Policies and adjust expectations accordingly.
- Candidates applying for promotion (but not tenure) in fall 2011 may choose to apply under either the 2002 or the 2011 Policy. Candidates applying for promotion (but not tenure) in fall 2012 and thereafter will follow the 2011 Policy. During these years, college and institutional Promotion and Tenure committees will consider that candidates may have been in transition between Policies and adjust expectations accordingly.

### **Review and Revision of This Policy**

This Policy may be reviewed periodically at the request the President, the Chief Academic Officer, the Faculty Association, or the Faculty Senate, and shall be reviewed no less frequently than every 7 years. For each review, the Chief Academic Officer and the Faculty Senate will mutually agree upon a review process. This Policy may be modified or supplemented by mutual agreement between the President of the University and the Faculty Senate, as ratified by the Board of Trustees.

## Appendix A

### Implementation Guidelines for Awarding Promotion in Rank and /or Tenure or Early Tenure

**Ongoing:** The Chief Academic Officer maintains the official timetable for candidacy, which is reflected in the **annual Letter of Appointment (LOA)**. The LOA is issued annually to each full-time faculty member, and indicates the faculty member's rank, tenure status (tenured, non-tenured tenure track, or non-tenure track), and year of required candidacy for tenure, as appropriate. For candidates on the tenure track who have been hired without a completed terminal degree or appropriate certification, the LOA will also indicate the institution's understanding of the candidate's intended terminal degree and expected date of completion.

The **Chief Academic Officer also maintains official records** of all Dean and Committee letters of recommendation and other official documents related to the tenure process, and controls access to dossiers until the process is completed for each candidate.

**Each academic year:** The faculty member, department chair, and Dean or Dean's designee work together to ensure appropriate **workload assignment, review, and mentoring**, in accordance with applicable NLU policies. Each academic year the Dean or Dean's designee (usually a department chair or program coordinator) will observe the teaching of each tenure-track faculty member and discuss the observation with the candidate. The Dean or designee will prepare a written observation report signed by both parties and indicating that they have discussed the observation and the report.

**Each academic year:** Faculty members in the third year on the tenure track (or second year on tenure track for candidates attending to apply during their third year for early tenure) will complete a **midway review, in addition to the administrative review that is required by existing Faculty Policies 103a and 103b**. The administrative review will take place prior to the midway review, and is the responsibility of the Dean to complete. For candidates whom the Dean recommends to continue toward tenure, the midway review will provide an additional means of mentoring by faculty colleagues.

- A subcommittee of three members of the Institutional Promotion and Tenure Committee (one from the candidate's college and two from other colleges or library) will conduct a Midway Review for readiness for tenure application. This review is in addition to the administrative review that Faculty Policy 103a requires in the third year of candidacy.  
**March 1:** The candidate for promotion and/or tenure will prepare a dossier consisting of a vita, a tenure document similar to that prepared by tenure candidates, and a representative sample of supporting documentation the candidate might include in his or her dossier (diploma and/or transcripts documenting progress toward a terminal degree, student evaluations, copies of publications, copies of teaching observation reports, and copies of annual reviews). The dean or dean's designee will furnish a written letter of recommendation, with rationale, for each candidate.  
**May 1:** The Subcommittee will review the information submitted and meet with the candidate to discuss the candidate's progress toward promotion and/or tenure/early tenure, including progress toward earning a terminal degree, if relevant. If the candidate is not demonstrating sufficient progress toward earning promotion and/or tenure during the third year review, the Subcommittee must provide clear recommendations to the candidate. The Subcommittee will summarize the review and recommendations in a letter signed by both parties, and furnish a copy to the candidate.

**April – May:** The Chief Academic Officer confirms status with all candidates in the various stages of the promotion and tenure process, and **informs eligible faculty** members of the procedures and timelines / deadlines for applying for promotion and / or tenure. In cases where timelines for candidacy may be disputed, the Chief Academic Officer will determine the correct timeline. The Chief Academic Officer also works with IPTC in offering informational **workshops for candidates** (candidates' attendance is voluntary).

**June 1:** Deadline for all promotion and / or tenure candidates who will apply in September to submit a formal **letter of intent** to the Chief Academic Officer.

**June 15:** The Chief Academic Officer advises the full faculty of the names of all candidates for early tenure, tenure, and / or promotion (indicating whether early tenure, tenure, and / or promotion in rank is being applied for) and **invites submission of written comments** to the Chief Academic Officer. These comments must be received by the same deadline as that for receipt of dossiers.

**By July 1:** Each candidate will solicit **external letters of reference**, to be submitted directly by each writer to the Chief Academic Officer, from at least three professional colleagues outside National Louis University who the candidate believes can attest to the candidate's academic preparation, qualifications, professional accomplishments, and experience. Candidates should take care to solicit references from colleagues who can address the criteria required for tenure and / or the rank applied for, and, if relevant, the quality of the candidate's publications, conference presentations, and so on. It is the candidate's responsibility to ensure that these letters are sent directly to the Chief Academic Officer, and that they are received on time. These letters will be forwarded, along with dossiers, to the College and Institutional Promotion and Tenure committees.

**September 1, or first working day of the academic year:** Each candidate wishing to be considered for promotion, early tenure, and/or tenure will **submit a dossier** to the Office of the Chief Academic Officer.

#### **Notes on Dossiers:**

- **It is the candidate's responsibility to make the case on his/her own behalf for early tenure, tenure, and/or promotion.** Although the College and Institutional committees may request that the Chief Academic Officer obtain further documentation from individuals other than the candidate, they are not required to do so. Each candidate must assume that his/her dossier is the only means of representing his/her effectiveness as a faculty member and an academic and/or practicing professional. Candidates are urged to assemble a dossier and compose a promotion/tenure narrative document that clearly illustrates their progression and continuing development of professional knowledge and competencies using a mixture of the required and optional items described throughout this Policy. Candidates and committees should bear in mind that any given professional activity may count as evidence toward more than one of the categories of teaching, scholarship, professional development, and service, provided the candidate makes a sufficient case in his/or her dossier and application materials. For example, a candidate's service on a task force could simultaneously demonstrate service to the institution and professional growth.
- Typically, a dossier will contain:
  - A complete vitae (required)
  - A tenure and/or promotion narrative document prepared by the candidate that presents the candidate's case for meeting the requirements for tenure and/or the rank requested (required)
  - Letters of reference from at least three reviewers from outside the institution (required)
  - Evidence of completion of a terminal degree, or its equivalent as described in this Policy, if completed subsequent to the candidate's appointment to a tenure-track position (required)
  - Copies of the candidate's performance reviews from the faculty member's supervisory administrator (required). For candidates for tenure, an annual review should be submitted for each year the candidate was on the tenure track. For all other candidates, copies of all administrative reviews conducted since the previous promotion should be submitted. If performance reviews were not conducted, candidates are urged to include in their dossiers brief explanatory comments as to why the reviews were not conducted. Non-performance of performance reviews by administrators will not be considered as prejudicial to a candidate's eligibility for promotion and/or tenure.
  - Annual teaching review reports by a department chair, program coordinator, or colleague (required for tenure candidates). If teaching reviews were not conducted, candidates are urged to include in their dossiers brief explanatory comments as to why the reviews were not conducted. Non-performance of teaching reviews by administrators will not be considered as prejudicial to a candidate's eligibility for promotion and/or tenure.
  - A copy of the Midway Review report or recommendations (see above) (required)

- Representative student evaluations (required) and other documentation of teaching effectiveness, such as departmental course evaluations, self-studies or teaching journals (all student evaluation data must be gathered anonymously)
- Course syllabi, course assignments, University Course Outlines (UCOs), or other documentation of course/program development (required)
- Additional documentation, such as letters from colleagues, letters from students, copies of and/or reviews of publications, records of committee activities, and other appropriate evidence
- Candidates may include in their vitas and dossiers relevant information and documentation of experience prior to their service at NLU, with clear indication that the material predates service at NLU. This information is particularly valuable in demonstrating “sustained excellence,” but for applications for tenure, such documentation will be considered secondarily to evidence of achievement during the candidate’s time of employment by National Louis University.

September 1, or first working day of the academic year:

- **Deadline for receipt of external letters of reference** by the Chief Academic Officer
- **New faculty members receive orientation** by their Dean / Dean’s designee, the Chief Academic Officer or designee, and other University officers on expectations, requirements, and procedures for faculty employment, including promotion and tenure.

September 15: The Chief Academic Officer makes dossiers and all letters of recommendation / reference, except those of the Deans, available for **confidential review by the College and Institutional Promotion & Tenure committees**.

October 1: Each **Dean will submit to the Chief Academic Officer a written letter of recommendation**, with rationale, concerning each candidate for promotion and/or tenure from their College or Library. The Chief Academic Officer makes these letters available for **confidential review by the College and institutional Promotion & Tenure committees**.

September 15 – January 15:

- College and Institutional committees conduct separate, simultaneous **reviews of each dossier**. Committees may request the Chief Academic Officer to make such systematic and uniform inquiring concerning a candidate as is deemed appropriate and helpful to the Committee. NOTE: Although IPTC may use this time to review candidate materials, IPTC will not meet as a committee to develop its recommendations until its Chair has received the formal written recommendations of the CPTC(s) from the Chief Academic Officer.
- November 1: Each College / Library **CPTC Chair submits that Committee’s formal written recommendation** for each candidate, including a brief rationale, to the Chief Academic Officer. A tie vote is considered a negative decision.
- November 5: The Chief Academic Officer forwards all CPTC recommendations to the Chair of IPTC, and continues to make all dossiers and letters available in confidence to IPTC members. IPTC works as a committee to carefully consider all information provided concerning each candidate, and to develop its recommendations.
- January 15: **IPTC Chair submits that Committee’s formal written recommendation** for each candidate, including a brief rationale, to the Chief Academic Officer. A tie vote is considered a negative decision.

January 15 – February 15:

- When the recommendation of IPTC differs from that of a College / Library committee, **IPTC will meet**

**with the relevant College / Library committee** to review both recommendations. There is no requirement that in such cases either Committee's recommendation must be changed, or that the College / Library and Institutional committees must reconcile their recommendations or submit identical recommendations to the Chief Academic Officer.

- Each **Dean reviews** CPTC / Library and IPTC recommendations and submits a final written recommendation to the Chief Academic Officer. The **Chief Academic Officer reviews** files and may consult committees for clarification, etc. The Chief Academic Officer submits his/her recommendation and brief rationale on each candidate to the President. **The President reviews and submits** his/her written recommendation for each candidate to the Board of Trustees. The written recommendation to the Board will include a brief record of the final recommendations of the Dean, of the College or Library Promotion and Tenure Committee, of the Institutional Promotion and Tenure Committee, and of the Chief Academic Officer and the President.

Spring Board of Trustees meeting and following:

- The **Board acts on the recommendations** submitted. The Board's decision is final and binding on the institution and the individual, except as stipulated in Faculty Policy 112 on Promotion and Tenure Appeals.
- Within 10 days of the Board meeting, the **Chief Academic Officer notifies each candidate via formal letter** of the Board's action and of action to be taken the following year, pursuant to the granting or denial of promotion and / or tenure:
  - If tenure and/or promotion are granted, the letter will indicate the effective date.
  - If promotion is not granted, the letter will indicate the Board's action and will also note that the candidate may reapply for promotion in subsequent years, according to the Policy timetable.
  - If tenure is granted, the tenured faculty member will thereafter have a continuous full-time appointment with the University, subject to the conditions prescribed in this and related University and Faculty Policies.
  - If tenure is not granted, the Chief Academic Officer will advise the candidate of the Board's action. If the decision was made pursuant to an Early Tenure application, the letter will advise the candidate that he or she will have another opportunity to be considered for tenure, pursuant to the normal tenure procedure. If the decision was made pursuant to the normal tenure procedure, the Chief Academic Officer will offer the candidate a terminal appointment for the following academic year, at the end of which period the faculty member's employment by National Louis University will end.
- The Chief Academic Officer **announces names of approved candidates** to Faculty Senate and to the University community.

Within 45 working days after Board of Trustees action:

- **Any candidate wishing to appeal a Board decision must do so**, pursuant to Faculty Policy 112 on Promotion and Tenure Appeals.
- After the 45-day period has passed, the **Chief Academic Officer returns the dossier** to each candidate who has not filed an appeal. In the case of candidates filing appeals, the Chief Academic Officer retains the dossier and all accompanying materials until the appeal is resolved.