

**National-Louis University Promotion and Tenure Program
FP: 104**

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	Faculty Senate	Date:	June 19, 2002

EFFECTIVE DATE: June 22, 1995

I. Board of Trustees Policy Statement Concerning Tenure and Academic Freedom

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.

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.

II. Statement on Tenure-Granting Criteria and Procedures

National-Louis University (the "University") adopts the following criteria and procedures to implement the Board of Trustees (the "Board") Policy Statement Concerning Tenure and Academic Freedom (the "Policy Statement"). Such criteria and procedures may be reviewed periodically and modified or supplemented by agreement between the President of the University (the "President") and the Faculty Association, as ratified by the Board.

A. Criteria for Establishing Tenure Eligibility

1. Core Positions

Normally tenure will be granted only to faculty members occupying core positions within the University. A "core position" is an academic position occupied pursuant to regular appointment to the University faculty by the President in which the faculty member carries a full course load or its designated equivalent. Except by specific contractual agreement with the University, a position that is funded more than one-third by one or more specific external grants to the University shall not be considered a core position.

2. Continuous Service

The University normally will require a faculty member to serve in a core position for a continuous period of four to six full academic years before becoming eligible for tenure. 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.

3. Performance

Tenure is earned through effectiveness as a teacher and colleague in the University. The faculty member must demonstrate a high level of performance in the areas of: teaching; creation, initiation and/or implementation of courses or programs; service within the institution; professional contributions beyond the institution; and professional growth and development. It is the candidate's responsibility to make a case for his or her being granted tenure.

The quality of teaching shall be demonstrated through positive student evaluations, appropriate syllabi and assignments for students, testimony by colleagues, and knowledge of the field as indicated by an earned doctorate or other demonstration of an equivalent level of knowledge, expertise and

recognition as attested by experts within the candidate's field. The creation, initiation and/or implementation of courses or programs shall be demonstrated by testimony of one's colleagues as to the contribution made by the candidate. Service within the institution shall be demonstrated by testimonies as to the candidate's collegiality and leadership on councils and committees, or by reports of research, grant writing or other significant projects within the institution. Leadership in appropriate professional organizations, or presentations at professional, community, regional, state and national meetings, or publications, or research or significant work that has contributed to the advancement of the profession. Professional growth shall be presented in a personal statement by the candidate discussing his or her past, present and future professional life.

B. Procedures for Granting Tenure

1. Notification of Process

- a) The University policy, criteria and procedures concerning tenure shall be published in the Faculty Handbook or other appropriate document, which shall be provided to each faculty member immediately upon his or her appointment to the University faculty.
- b) The President or a designee shall advise each core position faculty member annually in the contract letter concerning his or her status with respect to tenure eligibility.

2. Initiation of Tenure Procedures

The process for granting tenure may be initiated by the individual faculty member requesting tenure, by the Institutional Promotion and Tenure Committee (IPTC), or by the President or a designee.

a. Normal Tenure Procedures

The IPTC will initiate tenure review by informing those faculty members who are eligible of the procedures for applying for tenure in the spring of their fifth year in a core position. They will also inform all faculty who have been at a particular rank for at least three years at National-Louis University that they are eligible to apply for promotion. The IPTC shall collect applications from faculty members for both tenure and promotion and make them available to their college committees. Both committees shall review the applications. The IPTC will reach a decision on granting tenure prior to the end of the faculty member's sixth year in a core position, pursuant to the attached timetable (Exhibit A). All deliberations and actions of the Committees shall be confidential.

b. Early Tenure Procedures

A faculty member may submit a letter of intent to apply for early tenure to the IPTC after completing three or four years in a core position. Such application should be made in accordance with the time line shown in Exhibit A. If the faculty member does not receive tenure pursuant to such application, he or she may not renew the application, but must wait for the normal tenure procedure.

c. Presidential Prerogative

The President may request of the IPTC that tenure be granted in conjunction with appointing a well-established professional to a key academic position on the faculty with tenure at the time of his or her appointment.

- d. The dean of a college, in consultation with the Chief Academic Officer, may request of the appropriate college committee and the IPTC that tenure be granted in conjunction with appointing a qualified professional to an academic position on the faculty.

e. Transfer Credit

Upon recommendation of the appropriate dean, faculty members joining the University from other educational institutions may be credited with up to two years of service as equivalent to that served in a core 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 core position. Such credit arrangements will be stated in each such faculty member's initial contract with the University. Any credit granted by an administrative officer towards tenure or promotion to faculty embarking on a tenure track must be approved by the Institutional Promotion and Tenure Committee.

- f. In order for a person newly hired to be submitted to the appropriate college and Institutional Promotion and Tenure Committees, a document reflecting his or her work needs to be produced. It is unreasonable to expect that the candidate provide all of the information contained in a typical dossier; however, the following guidelines are needed to offer a consistent document for review. The following items are recommended:

- (1) A complete vita including dates and brief description of primary activities. The committee is particularly interested in committees served on when the candidate has come from another institution of higher education.
- (2) Copies of the letters of recommendation that were received by the selection committee, including letters from the most recent employer.
- (3) Letters of recommendation from both the dean of the prospective college and the selection committee explaining why they believe the candidate should receive the rank or tenure requested.
- (4) Copies of all transcripts from institutions of higher education where degrees were received.

- (5) Selected examples of the published papers or books written by the candidate or other examples of scholarship and/or professional involvement in the field the candidate is being hired into at National-Louis University.
- (6) The candidate should offer an interpretation of his or her vita illustrating the ways he or she has met the expectations set forth in National-Louis University's four areas of examination.

3. Institutional Promotion and Tenure Committee Procedures

When the tenure procedure has been initiated, the following action shall be taken pursuant to the timetable shown in Exhibit A.

Review

The IPTC shall receive information pertinent to the assessment of the performance of the tenure candidate as follows:

- (1) The candidate shall provide information supporting his or her candidacy directly to the IPTC. He or she shall be permitted to submit names of persons who will furnish recommendations, evaluations and evidence of achievement, and to submit such other information as he or she deems appropriate and helpful.
- (2) The senior officer of the college (or academic body) to which the tenure candidate is assigned shall be responsible for appropriate administrative review of the candidate and submission of this review to the IPTC.
- (3) The IPTC shall advise the full faculty of the names of the candidates for tenure and shall invite appropriate written comments or information for consideration. These communications will be sent to the IPTC.
- (4) Both the CPTC and IPTC may make such systematic and uniform inquiry concerning the candidate as is deemed appropriate and helpful.
- (5) The IPTC shall receive the report of the candidate's CPTC along with all documentation and shall review carefully the information provided with regard to the tenure candidate, making every attempt to reach a majority decision. A tie vote is considered a negative decision.

III. Board of Trustees Policy Statement Concerning Promotion

Approved: April 13, 1984
Revisions approved: December 9, 1985 and May 22, 1989
Revisions approved: Faculty Association, May, 1991
Revisions approved: Board of Trustees, October 17, 1992

A goal of the promotion policy is to award each eligible faculty person the initial and subsequent level of collegiate rank that his or her qualifications merit, according to policy standards and procedures. A related goal of the promotion policy is to compensate faculty appropriate to the rank held and at an appropriate level of reimbursement within that rank.

Full-time collegiate-level core and noncore faculty members at National-Louis University are to be appointed and promoted to the various ranks according to the following standards and procedures. In some cases candidates for appointment of promotion who do not meet the designated degree requirements for a particular rank may still be considered for that rank. A minimum of 20 percent of Demonstration School faculty and 20 percent of learning resources faculty should be collegiate core positions governed by tenure and promotion policies. Other learning resources faculty are to be assigned non-core, non-tenured faculty positions ranked according to a supplementary document approved by the Faculty Senate. An appropriate Career Ladder model governs other Demonstration School faculty.

IV. Statement on Promotion-Granting Criteria and Procedures

The principal criteria for initial appointment to a faculty position and subsequent promotion in academic rank are quality of instruction, quality of service within the institution, quality of service to the profession and community and evidence of professional growth. Of these criteria, the most prized quality for teaching faculty is effective teaching. In the case of faculty with non-teaching primary assignments such as professional librarians, media specialists and research specialists, an appropriate balance of the criteria or their equivalent must be met.

A. The faculty shall consist of four ranks.

1. Instructor

a. Quality of Instruction

- (1) Knowledge of the Field: The faculty member will have at least a master's degree.
- (2) Instructional Strategies: The faculty member will demonstrate effective teaching and/or research skills.

b. Quality of Service to the Institution

- (1) The faculty member will demonstrate satisfactory 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 Handbook.
- (3) The faculty member will participate in customary and appropriate University functions (e.g., Faculty Association meetings, commencement ceremonies).

c. Quality of Service to the Profession and Community

The faculty member will participate in a relevant professional organization at the local, state or national level.

d. Evidence of Professional Growth

Progress will be demonstrated through the performance contracting goals identified in consultation with the faculty member's supervisory administrator.

2. Assistant Professor

The faculty member will have maintained the requirements for the rank of instructor. Additional requirements for promotion to this rank are:

a. Quality of Instruction (Knowledge of the field)

The faculty member:

- (1) will have at least 30 semester hours of study beyond, or professional training in addition to, the master's degree, or
- (2) can 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.

b. Quality of Service within the Institution

The faculty member will have served on institutional or college committees.

c. Quality of Service to the Profession and Community

The faculty member will do one or more of the following:

- (1) The faculty member will have served on professionally related councils or committees.
- (2) The faculty member will have participated in program development, curriculum development or research in his or her field of study.
- (3) The faculty member will have demonstrated professional leadership through presentations, publications and/or serving as a consultant in his or her area(s) of expertise.

3. Associate Professor

The faculty member will have maintained the requirements for the previous ranks. Additional requirements for promotion to this rank are:

a. Quality of Instruction (Knowledge of the field)

Knowledge and contributions must be demonstrated by:

- (1) The completion of a terminal degree; or
- (2) Demonstration of an equivalent level of knowledge, expertise, and recognition as attested to by experts within the field. 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. Such equivalencies may be demonstrated by a number of means such as:

- a) the conceptualization of a problem within a profession, organization, or clinical practice;
- b) the demonstration of a solution of the problem, through program development and articulation, applied research, artistic productions, presentation of a case study, or written curriculum materials; and
- c) the demonstration of sustained depth and breadth of knowledge in his or her field, e.g., work experience, professional workshops, certification, licensure, or a terminal degree.

b. Quality of Service within the Institution

- (1) The faculty member will have demonstrated leadership through effecting significant contributions within the institution.
- (2) He or she will have engaged in research, grants or other significant projects that have contributed to the advancement of the institution.

c. Quality of Service to the Profession and Community

The faculty member will do one or more of the following:

- 1) He or she will have demonstrated leadership in appropriate professional organizations or through effecting significant contributions to the profession or the community.
- 2) He or she will have engaged in professional activities through consulting or presenting at the state or national level.
- 3) He or she will have published articles in appropriate journals or books pertaining to his or her field.

- 4) He or she will have engaged in research, grants or other significant projects that have contributed to the advancement of the profession.

4. Professor

The faculty member will have maintained the requirements for previous ranks and will have become recognized for sustained excellence as a leader in his or her area, within and beyond the institution and/or profession.

Requirements for promotion to this rank are:

a. Quality of Instruction (Knowledge of the field)

The faculty member will have exhibited depth and breadth of knowledge in an area of concentration and have shown evidence of outstanding teaching or other instructional activities.

b. Quality of Service within the Institution

The faculty member will have demonstrated leadership in faculty governance or other service roles within the institution.

c. Quality of Service to the Profession and Community

The faculty member will do one or more of the following:

- (1) He or she will have shown a high level of commitment toward advancing the profession through executive-level leadership or other substantial activities in appropriate organizations.
- (2) He or she will have engaged in professional consulting, workshop or presentation activities recognized for their high quality.
- (3) He or she will have published scholarly work recognized as a significant contribution to the field.
- (4) He or she will have been recognized at the state, regional, or national level for outstanding service to the profession or community.

B. Procedures for Promotion

1. Any candidate wishing to be considered for promotion shall submit application materials to the IPTC, pursuant to the attached timetable (Exhibit A). To be considered for promotion an applicant must have served not less than three years at a particular rank. Five or six years at a particular rank would normally precede application for promotion to the subsequent rank.
2. Recommendations and documentation in support of a candidate shall contain evaluations including performance contract data from the faculty member's supervisory administrator. Additional documentation may include letters from

- colleagues, copies of and/or reviews of publications, records of committee activities, and other appropriate evidence.
3. The IPTC shall receive the report of the candidate's CPTC along with all documentation. The IPTC shall review carefully the information provided with regard to the promotion candidate and make every attempt to reach a majority decision. A tie vote is considered a negative decision.

V. Report and Recommendation on Promotion and Tenure

The IPTC shall prepare a report summarizing the qualifications for each candidate for tenure and/or promotion. Recommendations for all candidates under consideration by the IPTC shall be submitted simultaneously to the Chief Academic Officer.

VI. Administration Review

Upon receiving the report and recommendation of the IPTC for all candidates under consideration, the following action shall be taken within the period shown in the timetable (Exhibit A).

A. Positive IPTC Recommendation

For each candidate, if the IPTC recommends granting tenure and/or promotion, the President and Chief Academic Officer shall review the IPTC report and recommendation and may gather such additional information as they deem necessary. The President shall then consider whether tenure and/or promotion should be granted.

1. If the President agrees that tenure and/or promotion should be granted, he or she shall inform the IPTC of his or her agreement decision.
2. If the President has reservations toward granting tenure and/or promotion, he or she shall so notify the IPTC. Thereupon the President and the IPTC shall consult and attempt to reach agreement. After conducting such consultation, the President shall formally issue his or her decision to the IPTC.
3. If the decision is negative, such decision shall be final.

B. Negative Committee Recommendation

1. For each candidate, if the IPTC recommends against granting tenure and/or promotion, the President may consult with the IPTC and request that it conduct a further review based upon such additional information as the President may provide to the IPTC.
2. A subsequent negative recommendation by the IPTC shall be final and binding to the University.

C. Report to Board

When the President and the IPTC have reached agreement regarding all candidates for tenure and/or promotion under consideration, the President shall submit to the Board a written report of all such recommendations.

VII. Board Confirmation of Promotion and Tenure Recommendations

A. Board of Trustees Action

After receipt of the President's report, tenure and/or promotion shall be granted to each candidate approved by the President and the IPTC by confirmation of the Board of Trustees. The Board may review the IPTC report and the President's recommendations and may gather such additional information as it deems necessary. As part of its review, the Board or its representatives shall consult with the President and a representative selected by the IPTC. If after such a meeting the Board decides that tenure and/or promotion should not be granted, the Board shall advise the President, the IPTC, and the faculty member concerned in writing of the reasons for such a negative decision. A negative decision by the Board shall be final and binding.

B. Announcement of Decision

1. Promptly after the Board has taken action concerning tenure and/or promotion grants, the President shall notify the IPTC and each of the candidates in writing of the decisions. If tenure and/or promotion was granted, the notification shall indicate the effective date thereof. The tenured faculty member shall thereafter have a continuous full-time appointment with the University, subject to the conditions prescribed in this policy statement.
2. If tenure was not granted, the President shall advise the candidate of the IPTC report and recommendation, of his or her own decision, and also of the Board action. If such negative decision was made pursuant to an Early Tenure Application, the letter shall advise the candidate that he or she will have another opportunity to be considered for tenure, pursuant to the Normal Tenure Procedure. If the negative decision is made pursuant to the Normal Tenure Procedure, the letter shall notify the candidate that he or she will not receive tenure at the University and shall specify the conditions of any additional appointment. The President shall offer the candidate an additional terminal appointment for a period of one year, if such notification is given after December 15, and may, at his or her discretion, offer a longer term, not to exceed three years.

If promotion was not granted, the President shall advise the candidate of the IPTC report and recommendation, of his or her own decision, and also of the Board action. The candidate may reapply for promotion according to the timetable for the next academic year.

EXHIBIT A**Promotion and Tenure Procedures:**

1. Academic Affairs with Human Resources creates a list of eligible faculty for tenure.
2. The list is sent to the dean(s) for approval and corrections.
3. Academic Affairs notifies Institutional Promotion and Tenure Committee (IPTC) and faculty eligible for tenure with procedures, due dates and workshop plans (May 1). Academic Affairs notifies all full-time faculty about early tenure and promotion options, due dates, and May workshop plans. (May 1)
4. Candidates send letter of intent to IPTC c/o Academic Affairs Office (for 1997, Friday, May 30, 1997)
5. Faculty submit dossiers to IPTC in care of Human Resources in Wheeling where files will be kept for review by college and institutional committees. (September 1)
6. Roles and responsibilities orientation for committee(s) conducted by Academic Affairs and Human Resources.
7. College and Library Promotion and Tenure Committees (CPTC) make recommendations to Institutional Promotion and Tenure Committee. (November 1)
8. Institutional Promotion and Tenure Committee makes recommendations to the Chief Academic Officer. (February 15)
- *9. Chief Academic Officer of each College (Deans) and Chief Academic Officer of the Institution send recommendations to President.
10. President sends recommendations to Board of Trustees (BOT). (April 15)
11. President notifies dean(s), IPTC, CPTC and Human Resources of BOT decision.
12. Dean(s) and President notify faculty of decisions. (letter under President's signature, May 10)
13. A copy of the letter is sent to Human Resources.

* Please note: Procedure Step 3a (2) of the Promotion and Tenure Program has changed in that the senior officer of the college will no longer be part of the peer review process. Under review of Senate 1997-98.

EXHIBIT B**Protocols for College and Institutional Promotion and Tenure Committees Approved by the Faculty Senate 4/21/99
(Revised 8/23/02)**

Membership and participation in the College and Institutional Promotion and Tenure Committees are serious responsibilities. As stated in FP104 in the Faculty Guidebook:

Tenure is earned through effectiveness as a teacher and colleague in the University. The faculty member must demonstrate a high level of performance in the areas of: teaching; creation, initiation and/or implementation of courses or programs; service within the institution; professional contributions beyond the institution; and professional growth and development. It is the candidate's responsibility to make a case for his or her being granted tenure (page 3).

As part of the peer review process, both the College (CPTC) and the Institutional Promotion and Tenure Committees (IPTC) review the applications and make recommendations as to whether the candidates meet the criteria for promotion and/or tenure. Before the committee begins its discussion and deliberations the following items should be reviewed and discussed at a joint meeting of all CPTCs and the IPTC at the Fall Connection:

1. The role of the CPTC is to make recommendations to IPTC.
2. The role of IPTC is to make recommendations to the Chief Academic Officer.
3. The role of the Chief Academic Officer is to make recommendations to the President, who then in turn makes recommendations to the Board of Trustees.
4. As stated in the Faculty Guidebook, all deliberations and actions of the Committees shall be confidential.

This means that:

- All reviewing of documents is confidential.
- All discussions of the committee are confidential.
- As a member of the committee, you may not discuss tenure issues with anyone outside the committee meetings.
- The committee's progress may not be discussed with other faculty, staff or administrators.
- Committee members cannot discuss tenure or promotion issues outside of the committee meetings.

5. The only communication from the committee should be official and from the chair of the committee representing the committee.
6. The Committees may request additional information on candidates from the candidates, supervisors, members of the University community, expert information, or additional evaluation by an outside expert.

(Provost's Note: The committees may request information from the deans/University Library Director about applicants and invite them to meet with the committees. The deans/University Library Director are free at such meetings to answer or not answer questions. However, the deans/University Library Director may not write recommendations for any applicants. This is because the Policy 104 limits dean/University Library Director involvement in the Promotion and Tenure process until the recommendations have reached the Chief Academic Officer consideration and recommendation phase.)

7. The committees are judging the performance of the candidate based on the documented evidence.
8. In reviewing letters in the candidate's file, please look for evidence that documents exactly how the candidate meets specific criteria for tenure or promotion.
9. The IPTC must request joint meetings between the CPTC and IPTC when the recommendations of the CPTC and IPTC are in opposition. The purpose of the meeting shall be an attempt to reach agreement.

(Provost's Note: If committee recommendations are in opposition, two actions will be required. First, the committees must meet in joint session. Second, the results of that meeting, such as minutes, should be submitted with the decisions in writing to the Provost.)

10. Personal notes distributed during the process become official communications of the committee and therefore become Official University documents. Personal notes of committee members are discoverable evidence during an appeal process.

(Provost's Note: Personal notes that are shared among committee members must be retained and submitted to the Provost's Office at the end of the process. Personal notes written by individual committee members and which still remain in existence after the committee work is completed should also be submitted for archival purposes.)

11. When the CPTC communicates the recommendation to IPTC, please do not communicate the vote of the decision on a specific candidate. This also applies to the IPTC's recommendations to the Chief Academic Officer.
12. The official communication of the recommendation from the CPTC and the IPTC should use language that relates directly to the criteria as written in the Faculty Policy #104, Faculty Promotion and Tenure Program.

(Provost's Note: Letters written by the committees should address each of the four areas for each decision. As such they should have some detail. In particular, when the decisions are negative, specific reasons addressing the criteria should be cited.)

13. Committee members may write letters of recommendation for candidates.
14. After final decisions are communicated, candidates have access to all internal letters received as part of the promotion and tenure process. They may also have access to external letters, if release is obtained.

15. Recusals from the Process

(Provost's Note: Strong advocacy of a particular candidate without regard for the written criteria would, of course, be highly inappropriate. Further, it is the Provost's opinion that committee members need not recuse themselves from deliberations on colleagues. The requirements for adherence to written criteria and for confidentiality mean that faculty members may make decisions regarding their colleagues, despite any particular relationships.)

Please refer any policy or procedural questions and/or investigation of any issues or concerns raised by the committees to Vice Provost Kathryn Tooredman at extension 5516. The role of the Provost's Office is to maintain and update the records for the committees' use, offer clerical and other support, as well as consultation regarding employment issues.