



Standard Administrative Policy and Procedure

Subject: Procedures for Conducting Reappointment, Tenure and Promotion Reviews [for Tenure Track Faculty](#)

Number: 2-7.2

I. PURPOSE

To describe procedures for conducting reappointment, tenure, and promotion reviews.

II. DEFINITIONS

Annual Performance Review *or* Annual Review: A review conducted once per year on all academic personnel, regardless of rank, tenure status or fixed-term status, by their Academic Unit Head and approved by their Dean.

Mid-Probationary Review: A multi-level review conducted on all probationary, tenure-track faculty at the midpoint of their probationary period, generally in their third year, that provides a written evaluation and recommendation regarding their progress toward tenure.

Tenure Review: A mandatory review conducted on all probationary, tenure-track faculty in accordance with the schedule specified in their initial appointment letter or in a subsequent letter from the Office of Academic Affairs modifying their time to tenure that provides a written evaluation and recommendation regarding the award of tenure.

Peer Group: A subset of faculty peers who are responsible for reviewing case files and providing recommendations for reappointment, tenure, and promotion. ~~The composition of the peer group includes faculty in the unit who currently hold the same or higher rank for which the candidate is being considered.~~

Promotion Review: A review conducted on all tenure-track or tenured faculty to evaluate their suitability for promotion from Assistant Professor to Associate Professor, or from Associate Professor to Professor. The promotion review for Assistant Professor to Associate Professor is generally conducted simultaneously with the mandatory tenure review. The promotion review for Associate Professor to Professor may occur at any appropriate time and shall be consistent with the mandatory tenure and promotion review.

III. MULTI-LEVEL REVIEW PROCESS

A multi-level process is used for mid-probationary, tenure, and promotion reviews. The general process (Figure 2-7.1) shows that after the department or college creates the case files in the online review system and candidates submit their materials, reviews begin in the academic unit

of record by the peer group. Then the academic unit head provides a review and recommendation to complete Level 1 (Academic Unit Level) of the review. In the event of a tenure or promotion review, external reviewers are selected and provide their reviews prior to the Level 1 review. If the candidate holds faculty status in the School of Energy Resources (SER), a review will be conducted according to SER protocol and the Executive Director will submit a letter to the faculty member's academic unit for inclusion in the online case file.

At Level 2 (College Level), the college's reappointment, tenure, and promotion (CRTP) committee provide their review, followed by the dean's review. ~~At the University Level (Level 3), the Provost reviews all materials that have come forward from the lower level reviews and provides a recommendation to the President.~~

At Level 3, a review by the University Reappointment, Tenure and Promotion (URTP) committee will be conducted and will inform the Provost's review in the following cases: (a) the votes at the lower levels (i.e., unit colleagues, unit heads, college committee, and dean) are in conflict with that of another, (b) the candidate has requested early consideration for tenure, or (c) the Provost requests a review by the URTP committee. At the University Level (Level 3), the Provost reviews all materials that have come forward from the lower level reviews and provides a recommendation to the President.

The President reviews the materials and, depending on the review, either takes formal action (e.g., reappointment) or provides a recommendation to the Board of Trustees (e.g., tenure and promotion).

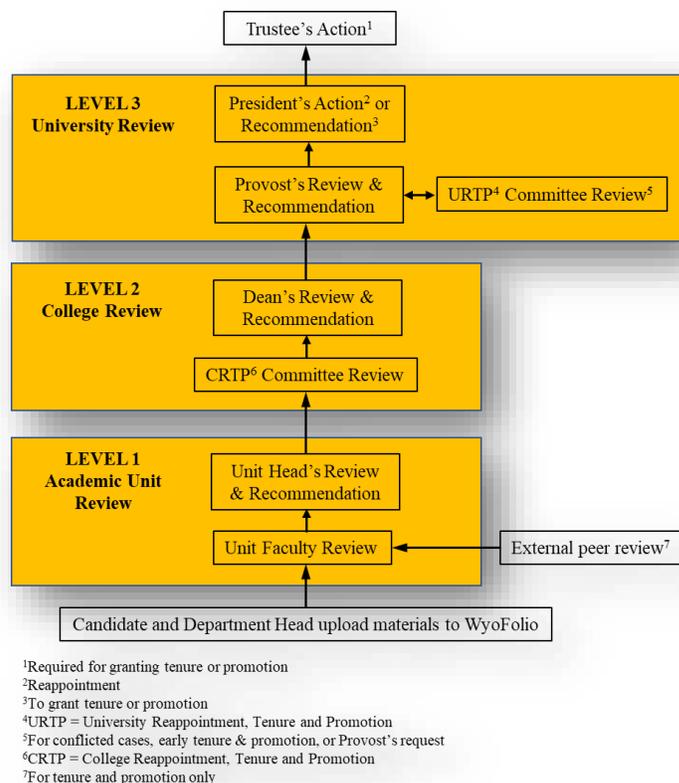


Figure 2-7.1 Multi-Level Review Process

IV. REVIEW SCHEDULE FOR TENURE TRACK PROBATIONARY PERIOD

The typical review schedule for a tenure-track faculty member hired as an Assistant Professor with no credit toward tenure is shown in Table 2-7.1. As indicated in UW Regulation 2-7, this review schedule may vary, depending on the initial appointment letter.

During years when a multi-level review is not conducted, probationary, tenure-track faculty will receive annual performance reviews, as do all academic personnel. Academic units retain the right to conduct peer reviews of probationary, tenure-track faculty in their unit during years when a multi-level review is not conducted, following procedures developed by the academic unit. Peer reviews conducted in years when multi-level reviews are not required will remain at the academic unit level unless college-level peer review is required in the college bylaws or the dean recommends against reappointment.

Table 2-7.1 Typical Six-Year Review Schedule for Probationary, Tenure-Track Faculty Member

Year	Reviewed by:
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1	Annual performance review ¹ by academic unit head and dean.
2	Annual performance review by academic unit head and dean.
3	Mid-probationary review Peers in academic unit, Unit Head, CRTP ² committee, Dean and Provost <i>If conflicted, URTP³ committee reviews before Provost.</i>
4	Annual performance review by academic unit head and dean.
5	Annual performance review by academic unit head and dean.
6	Tenure and Promotion review by peers in academic unit, Unit Head, CRTP committee, Dean, and Provost <i>If conflicted, URTP committee reviews before Provost.</i>

V. ACADEMIC UNIT LEVEL REVIEW

A. Initiating the Review

A case for reappointment, tenure, or promotion will normally be initiated by the academic unit head with concurrence of the candidate. See Section IX.D for procedures on initiating early tenure reviews and Section IX.E. for procedures on initiating reviews for promotion from Associate Professor to Professor.

¹ See Academic Affairs Guidelines and Instructions for Annual Performance Evaluation for procedures.

² College Reappointment, Tenure, and Promotion Committee

³ University Reappointment, Tenure, and Promotion Committee

B. External Reviewers

The candidate and the unit head shall each make a list of at least six possible reviewers for cases involving tenure or promotion. The candidate may delete up to one-third of the names on the department/unit list. The unit shall choose an equal number from each list (excluding the names deleted by the candidate) for a minimum of **four** potential reviewers. In the event the unit head is the candidate, the dean shall identify a delegate to complete this process.

C. Assembling the Materials

The academic unit head, in full consultation with the candidate, will assemble materials for the candidate's case file by the required deadline. In the case of joint appointments, the unit head in the primary tenure home (e.g., unit with largest percentage of appointment) will be responsible for assembling materials. The candidate's complete case file in the online review system will be made available to the peer group sufficiently in advance of the scheduled meeting so that a thorough review may be done by the peer group before the meeting commences.

D. Peer Group

The composition of the peer group includes faculty in the unit who currently hold the same or higher rank for which the candidate is being considered. Each department or academic unit shall determine the general composition of who may be in the peer group by department vote. The peer group must at least include faculty at rank or higher, but may include department or unit tenure track faculty at a lower rank, non-tenure track faculty, or other appropriately qualified members of other departments or units, who will be determined by the college or unit dean or director. The departmental policy must apply consistently across candidates, and individuals may not choose different peer group compositions, aside from augmented peer group members appointed by the college or unit dean or director. Each department or academic unit will reconsider and vote upon the peer group policy at least every three years.

The college or unit dean or director may direct a department or academic unit to include appropriately qualified members of other departments or units in the voting protocol if circumstances, such as department size, warrant such inclusion.

E. Academic Unit Meeting

The academic unit head will call a formal meeting of the peer group to discuss each candidate's case. The academic unit head may or may not be present at the department meeting, depending upon departmental policy as determined by departmental vote, customs and the wishes of the faculty. If present, the academic unit head will not participate in the deliberations.

Each academic unit shall have a documented set of meeting protocols consistent with guidelines provided by the Office of Academic Affairs. As with all discussions and actions on personnel matters, participants in the meeting with will hold all discussions and materials in confidence.

F. Completing the Academic Unit Review

1. After the meeting, each member of the peer group will provide their recommendations within 72 hours of the end of the meeting (excluding weekends and holidays).
2. A tally of the recommendations and the comments will be recorded and included in the candidate's case file. A summary of the discussion may be requested by the Unit Head, Dean or Provost and Executive Vice President.
3. The unit head will review the case and provide an independent recommendation, which shall be communicated to the candidate along with the peer group recommendations. It is the duty of every unit head to make such recommendations irrespective of the tenure status or academic rank of the unit head.
4. Before the case file is moved to the next level of review, the candidate shall acknowledge having seen the recommendations from the peer group and unit head. The candidate may insert a personal statement of response, which may include an update to the record as well as clarifications and corrections. See Section IX.C.

VI. COLLEGE⁴ LEVEL REVIEW

A. Reappointment, Tenure and Promotion Committee

Each college will establish a standing committee that will review mid-probationary, tenure, and promotion cases. Members of the committee are to be elected by the faculty of the college, and normally be members of that college's faculty. Membership may also be augmented by the Dean in accordance with college bylaws. College reappointment, tenure, and promotion committee members should represent as broadly as possible all the divisions and academic areas of that college, and, where practicable, serve a staggered three-year term, with no member serving consecutive terms.

B. College Meeting

Mid-probationary, tenure, and promotion case files will be made available in [the](#) on-line system by the dean's office sufficiently in advance of the scheduled meeting so that a thorough review may be done by the college committee before the meeting commences.

If the committee deems it necessary, a candidate may be invited to present a written and/or oral statement. If the candidate appears before the committee, the academic unit head shall also be requested to address any questions that the committee has regarding the case. Should the committee wish to discuss the case with the academic unit head, the candidate shall have the right to be present and to respond to any presentation made by the unit head.

⁴ The term 'college' refers to academic colleges and college-like units, such as the Haub School of Environment & Natural Resources, the University Libraries, the American Heritage Center, etc. In some cases, depending on unit structure, there may be only one level of review.

The dean or delegate shall have the prerogative of sitting in on the deliberations of the college reappointment, tenure, and promotion committee.

C. Completing the College Level Review

1. After the meeting, each member of the college committee will provide their recommendations within 72 hours of the end of the meeting (excluding weekends and holidays).
2. A tally of the recommendations and the comments will be recorded and included in the candidate's case file. A summary of the discussion may be requested by the Dean or Provost and Executive Vice President.
3. The dean will review the case and provide an independent recommendation, which shall be communicated to the candidate along with the college committee's recommendations.
4. Before the case file is moved to the next level of review, the candidate shall acknowledge having seen the recommendations from the college committee. The candidate may insert a personal statement of response, which may include an update to the record as well as clarifications and corrections. See Section IX.C.

VII. UNIVERSITY LEVEL REVIEW

A. University Reappointment, Tenure, and Promotion Committee

The composition and procedure for forming the University Reappointment, Tenure, and Promotion Committee shall be as indicated in the Faculty Senate Bylaws. The University Reappointment, Tenure, and Promotion Committee shall deliberate and provide a recommendation and comments when the recommendation from one of the lower units is in conflict with that of another or the case is for early tenure. In addition, the committee shall deliberate and provide a summary of the discussion when the Provost and Executive Vice President or President recommends additional cases for review, including but not limited to early tenure and promotion cases.

B. University Meeting

The Office of the Provost and Executive Vice President will make the case files available sufficiently in advance of the scheduled meeting so that a thorough review may be done by the university committee before the meeting commences.

~~If the committee deems it necessary, a candidate may be invited to present a written and/or oral statement.~~ The committee will extend an invitation to candidates to present written and/or oral statements. If the candidate chooses to appear before the committee, the academic unit head and dean shall be requested to appear also to answer any questions that the committee may have about the case. Should the committee wish to discuss the case with the dean or the academic unit head, the candidate shall have the right to be present and to respond to any presentation made by the dean or the academic unit head.

The President, the Provost and Executive Vice President for Academic Affairs or delegate, and the Chairperson of the Faculty Senate shall have the prerogative of sitting in on the deliberations.

C. Completing the University Level Review

1. After the meeting, each member of the university committee will provide their recommendations and rationale within 72 hours of the end of the meeting (excluding weekends and holidays).
2. A tally of the recommendations and the comments will be recorded and included in the candidate's case file. A summary of the discussion may be requested by the Provost and Executive Vice President.
 - a. Committee members must provide their recommendations/comments at the department or college level, depending on College Bylaws.
 - b. Committee members shall abstain from voting in cases where they have voted at a lower level or in accordance with University regulations and policies.
3. The Provost and Executive Vice President shall deliberate each case and make his/her recommendation to the President of the University. The recommendations of the University Reappointment, Tenure, and Promotion Committee and the Provost and Executive Vice President for Academic Affairs shall be made available to the candidate.
4. The candidate shall have the right to add a final statement of response for any case where the Provost and Executive Vice President recommends against promotion and tenure, or reappointment following the mid-probationary review. In all cases reviewed by the University Reappointment, Tenure, and Promotion Committee, the candidate shall provide an acknowledgement indicating having seen the final compilation of recommendations.
 - a. A copy of the recommendations and comments from the University committee and any candidate response shall be inserted by the department or college in subsequent review cases (e.g., Mid-probationary reviews are uploaded to the subsequent tenure review case).
5. The Provost and Executive Vice President will forward his/her recommendations on all cases, including those not reviewed by the University Reappointment, Tenure, and Promotion Committee, to the President.
6. The Chairperson of the University Reappointment, Tenure, and Promotion Committee will be invited to accompany the President and Provost and Executive Vice President when making recommendations for tenure and promotion (and 5-year fixed-term rolling contracts) to the Board of Trustees.
7. The Provost and Executive Vice President will provide a written notification to all candidates and their respective deans and academic unit heads of the nature of the final decision. Candidates who are not recommended for reappointment, tenure, or promotion shall be informed by the dean and the rationale for the recommendation will be discussed with the candidate.

VIII. WITHDRAWING CASE FROM CONSIDERATION

Candidates not recommended for reappointment, tenure, or promotion shall be notified following the decision. Case files will be forwarded for next level review, up to and including review by the Provost and Executive Vice President, unless the candidate concerned requests otherwise. If the candidate makes such a request, the decision will be final. A person turned down for reappointment or tenure will have the right at this time to resign and the personnel file will state only that he/she resigned. For cases involving early tenure, candidates will remain on the review cycle outlined in their offer letter unless there is a decision to not reappoint. [Candidates for full professor may withdraw their application at any time and may be considered for that promotion at a later date.](#)

IX. ADDITIONAL PROCEDURES RELATED TO TENURE AND PROMOTION

A. Procedures for Stopping the Tenure Clock

In exceptional cases, it is possible to increase the length of the probationary period from that specified in the offer letter, via a *clock stop*. A clock stop postpones, by one year, (1) the next scheduled reappointment review and (2) the latest date for the tenure decision. Generally, a clock stop postpones the *next* scheduled review.

1. In the case of childbirth or adoption in the employee's immediate family, the Office of Academic Affairs will notify the employee that the clock has stopped. In the absence of such notification, the clock has not stopped.
2. In all other cases, stopping a clock requires an explicit request from the affected employee. The employee submits the request through the Office of Academic Affairs' website portal. Prior to submitting the request, written approvals from the department head and dean must be obtained and uploaded to the online request form. After review at that level, the employee will receive written notice of the decision, copied to the dean and unit head. More details can be found on the Academic Affairs website.

B. Procedures Seeking External Review

External letters of reference are critical in cases involving tenure or promotion or both. Their purpose is to provide independent, convincing appraisals – from outside the University – of a candidate's national or international scholarly stature. It is in UW's clear long-range interest to insist on rigorous peer review by nationally or internationally prominent referees. College deans, faculty tenure and promotion committees, and administrators in Academic Affairs will insist on high standards in the evaluation of external letters. Unit heads and candidates should do so as well. Cases have failed for want of enough high-caliber letters.

It shall be the responsibility of the Provost and Executive Vice President to announce a reasonable deadline for the solicitation of these outside reviews.

A tenure or promotion case file should contain at least *four letters* from referees **who have no personal connection to the candidate**. Examples of personal connections are serving as a dissertation advisor or advisee, previous or pending co-authorship, sharing of research funding, and family relationships. Guidelines for external reviewers, including the disclosure of potential conflicts between the candidate and reviewers, and the maximum time frame for the relationship to be considered a conflict, as well as specific procedures for conducting the external review shall be provided by the Office of Academic Affairs.

C. Procedures for Adding and Removing Material from Case Files

Once the candidate has submitted review materials for Level 1 (Academic Unit) review, the following additional material may be added:

1. Recommendations and written comments, including any summaries provided by the committees and administrators at the different levels of review.
2. Statements of response by the candidate to recommendations and comments from each level of review. These statements may be rebuttals to comments, they may include material to correct factual errors, and they may include updated information at any level that was not available prior to the review. These statements are not mandatory and must be clearly identified and dated to indicate they are additions.
3. Material specifically requested by the University Reappointment, Tenure, and Promotion Committee or the Provost and Executive Vice President.

Once the candidate has submitted review materials for Level 1 (Academic Unit) review, other materials shall not be added or removed without approval by and notification from the Office of Academic Affairs.

D. Procedures for Seeking Early Tenure

~~An individual may initiate candidacy for early tenure and/or promotion with the written concurrence of the majority of peer group selected to evaluate this request.~~ This action occurs prior to and separately from the formal tenure review. Requests for consideration for early tenure must be made and evaluated prior to the deadline for requesting external reviewer letters, as specified annually by the Provost and Executive Vice President. Requests received after that deadline will be denied. Guidelines for this process shall be provided by the Office of Academic Affairs.

E. Procedures for Seeking Promotion to Professor

A candidate may request consideration for promotion from Associate Professor to Professor. ~~That request can proceed only with the written concurrence of the majority of the peer group selected to evaluate this request.~~ This action occurs prior to and separately from the formal promotion review. Requests for promotion from Associate Professor to Professor must be made and evaluated prior to the deadline for requesting external

reviewer letters, as specified annually by the Provost and Executive Vice President. Requests received after that deadline will be denied. Guidelines for this process shall be provided by the Office of Academic Affairs.

X. ADMINISTRATIVE PROCEDURES

- A. The Provost and Executive Vice President shall have the authority and responsibility to initiate directives to deans and academic unit heads providing for the procedures necessary for the complete and uniform implementation of the reappointment, tenure, and promotion procedures specified in University Regulations and outlined in this Standard Administrative Policies and Procedures.
- B. Confidentiality protects and ensures honest, thorough, and robust discussion of the merits of each candidate. All faculty members, administrators, and other parties involved in the tenure and promotion review process will complete a confidentiality acknowledgment that confirms their understanding that candidate dossiers and related personnel documentation as well as committee discussions and deliberations are to be kept confidential.

Responsible Division/Unit: Academic Affairs

Source: None

Links:

Associated Regulations, Policies, and Forms: University Regulation 2-1, 2-7

Approved: