

TENURE POLICY AND PROCEDURES OF BAYLOR UNIVERSITY BU-PP 704

The purpose of a tenure system is to establish a bond of integrity between the faculty and other constituencies of the University and between the University and the larger society which it serves. Tenure protects faculty members in their lectures, research, publication, and other scholarly presentations from pressures to alter their best professional judgment. It allows faculty members to fulfill their professional calling and the University to fulfill its mission. The long-term interest of the University is served by attracting a competent and principled faculty. Tenure allows the building and maintenance of a community of learning marked by stability and trust.

Tenure assures faculty members of the offer of continuous employment in their academic positions, unless adequate cause for dismissal is demonstrated after due process pursuant to BU-PP 705, or unless extraordinary circumstances occur because of financial exigencies or because of the faculty member's medical condition. At Baylor University, this tenure system has the following components:

I. Tenure Consideration

A. Tenure may be granted only to those holding faculty rank. No person has tenure in an administrative position, including departmental chairpersons.

B. Incoming faculty members may be allowed to transfer prior teaching and/or research experience toward tenure at Baylor University as determined by the tenured faculty, the departmental chairperson, and the dean; and as approved by the Provost and Vice President for Academic Affairs and the President.

C. Appropriate full-time service as a faculty member teaching and/or conducting research at upper undergraduate and graduate levels in fully accredited institutions of higher education may be evaluated for application to the tenure probationary period. This criterion is subject to the provision that if a faculty member appointed by Baylor University has served a probationary term of more than three years in one or more institutions, his/her probationary period at Baylor University shall not be more than four years.

D. Years of service for tenure consideration are not generally accorded in the following cases: (1) Lecturer appointments; (2) Part-time teaching or any combination of part-time teaching and research for a graduate or professional degree; (3) Leaves of absence including those granted for research or professionally related work in government, business, or industry.

E. All new faculty at Baylor University shall receive a written agreement from the University. This agreement shall specify such items as rank, salary, years of professional service, tenure status, and any special prerequisite.

F. A full-time research tenured faculty member holding a position funded by grants is subject to severance from the University if such grants are not renewed and if other positions in his/her field of competence are not available in the University,

II. Non-reappointment Considerations

For tenure-track faculty members, notice of non-reappointment, or of intention not to reappoint a faculty member, shall be given in writing in accord with the following standards:

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

B. Not later than December 15 of the second year of probationary service at Baylor, if the appointment expires at the end of that year; or, if an initial two-year appointment terminates during an academic year, at least six months in advance of its termination.

C. At least twelve months before the expiration of a probationary appointment after two or more years in the institution.

III. Tenure Process

The tenure process for tenure-track faculty not transferring prior research or teaching credit toward tenure is as follows. (NOTE: For faculty transferring prior experience in accordance with Section I.B., the review will be the same but the scheduling of the tenure process shall be determined by the tenured faculty, the departmental chairperson, the dean; and be approved by the Provost and Vice President for Academic Affairs and the President.)

A. Annual Review

The tenure-track faculty member, all available tenured departmental faculty, the departmental chairperson, and the dean (or the dean's designee) shall participate in a review of the tenure-track faculty member's progress and performance on an annual basis. The tenure-track faculty member must demonstrate that he/she should be continued on toward tenure. If the tenure-track faculty member fails to do so during the first- or second-year of employment at Baylor, the faculty member will not be issued a letter of appointmentcontract for the following year. If the tenure-track faculty member fails to do so after the second year of employment at Baylor, a terminal letter of appointmentcontract will be issued for the succeeding year.

1. The responsibilities of tenure-track faculty members are as follows:

Prepare an annual report containing data and statements in support of continuation toward tenure. This report shall be submitted to the departmental chair and dean by prior to February 1 for first-year faculty, by November 15 for second-year faculty and by March 1 for third-through-fifth-year faculty. The University Tenure Committee reviews sixth-year faculty (see Section III.C.).

Maintain a notebook that follows the guidelines of the University Tenure Committee (see section III.C.1.b.). This notebook should be available for review by the available departmental tenured faculty members during January of each annual review year, except that the notebook should be made available for review during October for second-year tenure-track faculty members.

Meet with available tenured departmental faculty, the departmental chairperson, and the dean or the dean's designee.

Acknowledge receipt of the summary letter provided by the dean or dean's designee by his/her signature on the letter. Should the tenure-track faculty member question any portion of the summary letter, he/she should provide a written response to be attached to the summary letter.

2. The responsibilities of available tenured departmental faculty members are as follows:

Review the tenure-track faculty member's notebook.

Meet with the tenure-track faculty member, the departmental chairperson, and the dean or the dean's designee.

Complete and sign the colleague evaluation form on the tenure-track faculty member and submit it to the departmental chairperson. The departmental chairperson shall maintain the confidentiality of the evaluation forms, which shall not be available for review by the tenure-track faculty member. In addition to the chairperson, only the President, Provost and Vice President for Academic Affairs, the dean or dean's designee, and the Tenure Committee upon the Committee's request will have access to the evaluation forms.

3. The responsibilities of the departmental chairperson are as follows:

Provide colleague evaluation forms to available tenured faculty members within the department.

Schedule a meeting with the tenure-track faculty member, the tenured departmental faculty members, and the dean or dean's designee to discuss and review the tenure-track faculty member's progress and performance.

Prepare a summary report of the colleague evaluations by the available tenured departmental faculty members and submit the report to the dean.

4. The responsibilities of the dean or dean's designee are as follows:

Meet with the tenure-track faculty member, the available tenured departmental faculty members, and the departmental chairperson.

Prepare a summary letter to the Provost and Vice President for Academic Affairs, which documents the review, including feedback from the colleague evaluations, and recommends whether or not the faculty member be continued on tenure-track. This letter is to be signed by the departmental chairperson and, the dean or dean's designee, and the faculty member is to acknowledge the content by his/her signature on the document. The tenure-track faculty member will receive a copy of the summary letter.

Submit not later than February 20, December 5, and March 20 for first-, second-, and third-through-fifth- year faculty, respectively, this summary letter to the Provost and Vice President for Academic Affairs for review.

5. The Assistant Provost for Academic Services will maintain a permanent file on the professional performance and years of service of each faculty member.

B. Pre-Tenure Review

The third year of service at Baylor, or the second year if the tenure-track faculty member was granted credit toward tenure from prior employment at another institution, will be treated as the halfway point to tenure, and is designated the Pre-Tenure Review year. The tenure-track faculty member must demonstrate that he/she should be continued on toward tenure; otherwise, a terminal letter of appointment contract will be issued for the succeeding year. The tenure-track faculty member, all available tenured departmental faculty members, the departmental chairperson, and the dean shall participate in the pre-tenure review.

1. The responsibilities of tenure-track faculty members are as follows:

Prepare an annual report containing data and statements in support of continuation toward tenure. This report shall be submitted to the departmental chair and dean by March 1.

Prepare and submit to available tenured departmental faculty members by the end of the fall semester a pre-tenure notebook that follows the guidelines of the University Tenure Committee (see section III.C.1.b.).

Meet with the available tenured departmental faculty members, the departmental chairperson, and the dean or dean's designee.

Acknowledge receipt of the summary letter provided by the dean or dean's designee by his/her signature on the letter. Should the tenure-track faculty member question any portion of the summary letter, he/she should provide a written response to be attached to the summary letter.

2. The responsibilities of available tenured departmental faculty members are as follows:

a. Review the tenure-track faculty member's pre-tenure notebook.

Meet with the tenure-track faculty member, the departmental chairperson, and the dean.

Complete and sign the colleague evaluation form and submit it to the departmental chairperson. The departmental chairperson shall maintain the confidentiality of the evaluation form, which shall not be available for review by the tenure-track faculty member. In addition to the chairperson, only the President, Provost and Vice President for Academic Affairs, the dean or dean's designee, and the Tenure Committee upon the Committee's request will have access to the evaluation form.

3. The responsibilities of the departmental chairperson are as follows:

Provide colleague evaluation forms to available tenured faculty members.

Schedule a meeting with the tenure-track faculty member, the available tenured departmental faculty members, and the dean to discuss and review the tenure-track faculty member's performance and progress toward tenure.

Submit a summary report of the colleague evaluations to the dean, along with copies of the signed colleague evaluations.

4. The responsibilities of the dean or dean's designee are as follows:

Meet with the tenure-track faculty member, the available tenured departmental faculty members, and the departmental chairperson.

Prepare a summary letter which documents the review. The summary should identify any areas of weakness which need improvement in order for the tenure-track faculty member to be recommended for tenure. This letter is to be signed by the chairperson and the dean or dean's designee, and the faculty member is to acknowledge receipt by his/her signature on the document. The tenure-track faculty member will receive a copy.

Submit the summary letter and any response by the tenure-track faculty member to the Provost and Vice President for Academic Affairs for review not later than March 20.

C. Tenure Review

Tenure will not be awarded by default; it is the responsibility of the tenure candidate to demonstrate conclusively why he/she should be given tenure at Baylor. If the tenure candidate fails to do so during the Tenure Review year, a terminal letter of appointment will be issued for the succeeding year. The sixth year of service at Baylor (or equivalent prior credit granted for employment at another institution and service at Baylor) is designated the Tenure Review year.

The tenure-track faculty member, all available tenured departmental faculty, the departmental chairperson, the dean, and the University Tenure Committee, the Provost and Vice President for Academic Affairs, and the President participate in the review process. The following are the responsibilities of each participant in this process:

1. The responsibilities of the tenure candidate are as follows:

a. Return the "Receipt of Tenure Review Notice" acknowledgment form to the University Tenure Committee Chairperson by the date designated on the form.

b. Prepare a credentials notebook that supports the request for tenure. Choose a three-ringed notebook large enough to hold all materials. Print the candidate's name on the outside of the front cover. Subdivide and index the material into the categories set forth below:

(1) A letter to the Tenure Committee (see Section III.C.1.c.).

(2) Curriculum Vita.

(3) Annual review summary letters (all years) from the dean to the Provost and Vice President for Academic Affairs (see Section III.A.4.b.).

(4) Student evaluation summary reports for the previous six semesters. (The summary reports are the sheets which compare the faculty member's evaluations to those of colleagues in similar courses. Please include the first two pages which contain the class comparison data. Also, include any summaries and analyses of student evaluations that were prepared for the departmental chairperson or dean.)

(5) A bibliography of published articles:

(a) Refereed publications;

(b) Non-refereed publications;

(c) Three or four representative samples of the above.

(6) A bibliography of published book(s), including reviews, and/or critiques of the text(s).

(7) Any other scholarship that is germane to the candidate's field of study.

(8) A list and a description of artistic performances (if applicable).

(9) All current course syllabi.

(10) A five-year plan for teaching, research, publication, artistic performance, or other professional development.

(11) Any other categories of the candidate's choosing, including any reviews or evaluations of the candidate's scholarship the candidate should choose to submit.

c. Set forth in the tenure letter reasons why tenure should be granted. Discuss each of the following that is relevant.

(1) An explanation of any special conditions of your appointment which would relate to a tenure determination.

(2) Teaching effectiveness.

(3) Scholarship and/or professional performance.

(4) Service to the department, the university, and the larger academic community.

(5) Community and religious service.

(6) Interpersonal relationships with students, colleagues, and other members of the university community.

(7) A statement of how the candidate supports the goals and mission of the university.

d. Provide a copy of the credentials notebook by November 15, for review by the available tenured departmental faculty members, the departmental chairperson, and the dean.

e. Meet with the available tenured departmental faculty members, the departmental chairperson, and the dean prior to December 1.

f. Provide a copy of the credentials notebook to the University Tenure Committee Chairperson as directed.

2. The responsibilities of available tenured departmental faculty members are as follows:

Review the candidate's credentials notebook.

Meet with the tenure candidate, tenure-track faculty member, the departmental chairperson, and the dean.

Complete, sign, and return the tenure evaluation form to the University Tenure Committee Chairperson as directed. The Chairperson of the Tenure Committee shall maintain the confidentiality of the evaluation form, which shall not be available for review by the tenure candidate, tenure-track faculty member. In addition to members of the Tenure Committee, only the President, the Provost and Vice President for Academic Affairs and the dean will have access to the evaluation form.

3. The responsibilities of the departmental chairperson are as follows:

Schedule a meeting of the available tenured departmental faculty members and the tenure candidate to be held prior to December 1. The principal purpose for this meeting will be to allow the tenure candidate to answer any questions that might exist regarding the candidate's credentials.

Meet with the tenure candidate, tenure-track faculty member, the available tenured departmental faculty members, and the dean.

Provide the University Tenure Committee with departmental expectations for tenure. These expectations should also be communicated to the tenure-track faculty member at the time of her/his initial appointment. Any change in the expectations that occurs during the tenure-track faculty member's probationary period should also be promptly communicated to the faculty member.

A tenured departmental chair shall submit an evaluation form as described in Section III.C.2.c. above; however, an untenured departmental chair may also submit an evaluation form.

4. The responsibilities of the dean are as follows:

Provide the University Tenure Committee Chairperson a list of tenured departmental faculty members to receive tenure evaluation forms.

Meet with the tenure-track faculty member, the available tenured departmental faculty members, and the departmental chairperson.

The dean may attend the departmental meeting with the candidates.

Confer with the President and the Provost and Vice President for Academic Affairs to review each case.

The tenure candidate's dean or the dean's designee will meet with the tenure candidate to inform him or her of the tenure decision and to deliver personally to the candidate a letter from the President officially notifying the candidate of the tenure decision, along with the tenure candidate's letter of appointment for the coming academic year. The dean or dean's designee will also inform the department chair of the decision.

If the candidate has completed a successful tenure review, the dean or the dean's designee will discuss with the faculty member at the meeting (or at a meeting scheduled prior to the end of the academic year) the strengths and weaknesses in his or her performance noted during the review process and communicated by the Provost and Vice President for Academic Affairs. In addition, the dean or the dean's designee will discuss with the candidate the ongoing expectations of tenured faculty members in the areas of teaching, scholarly activity, service, and personal conduct, and, in general, with respect to the distinctive mission of Baylor.

The dean or dean's designee will prepare a statement documenting the content and date of this meeting and the fact that these procedures have been followed. This statement will be included in the tenure candidate's official personnel file maintained in the Office of the Assistant Provost for Academic Services.

5. The responsibilities of the University Tenure Committee Chairperson are as follows:

Secure a list of tenure candidates from the Assistant Provost for Academic Services at the beginning of the Fall semester.

Secure from the deans a list of the tenured departmental faculty members from the deans to receive tenure evaluation forms.

Send appropriate documents to the candidate and the tenured departmental faculty members.

Monitor the return of acknowledgment forms, departmental faculty member evaluation forms, and receipt of credential notebooks.

Arrange for and conduct meetings of the University Tenure Committee. Obtain appropriate additional information requested by the committee members. Make any personal contacts with the candidates as required to obtain additional information.

Complete a summary report for each candidate and forward the Committee recommendations to the Provost and Vice President for Academic Affairs with a copy to each Tenure Committee member.

Forward all tenure documents, including ballots, to the Assistant Provost/Dean for Academic Services.

6. The responsibilities of Tenure Committee members are as follows:

a. Review all material related to the candidate using relevant evaluation criteria, including but not limited to the departmental expectations provided by the departmental chairperson.

(1) Teaching effectiveness as determined by student evaluation summary reports, self-report, annual review summary letters, departmental colleague evaluations, and other supporting evidence, such as student/alumni professional accomplishments.

(2) Scholarship and/or professional performance as determined by self-report and supporting evidence, annual review summary letters, departmental colleague evaluations, and any evaluations by external reviewers.

(3) Service to the department, the university, and the larger academic community as determined by self-report, annual review summary letters, departmental colleague evaluations, and other supporting evidence.

(4) Community and religious service as determined by self-report, annual review summary letters, and other supporting evidence.

(5) Interpersonal relationships as determined by student summary evaluation reports, annual review summary letters, departmental colleague evaluations, and other supporting evidence.

(6) Contribution to the overall goals and mission of Baylor University as determined by the candidate's five-year plan and personal statement, departmental colleague evaluations, and annual review summary letters.

b. Participate in the discussion and vote by secret ballot. Committee members may excuse themselves in cases in which they feel they cannot fairly evaluate a tenure candidate's qualifications.

c. Refrain from making personal contact with the tenure candidates regarding tenure matters during deliberations of the Tenure Committee. Make requests for additional information through the committee chairperson.

d. Maintain the confidentiality of the tenure process.

7. The responsibilities of the Provost and Vice President for Academic Affairs are as follows:

Review each case and make a recommendation to the President.

Submit all relevant material and Tenure Committee recommendations to the President.

Report the President's decision regarding the granting or denial of tenure to the Chairperson of the Tenure Committee.

Report the President's decision regarding the granting or denial of tenure to the appropriate dean and departmental chairperson. After final tenure decisions have been made, the Provost and Vice President for Academic Affairs will communicate to each dean the tenure decision made for each faculty member within the dean's academic unit, and, in the case of successful tenure candidate(s), will provide the dean a summary of the conclusions reached during the review process regarding strengths and weaknesses of the candidate.

8. The responsibilities of the President are as follows:

Consult with the Provost and Vice President for Academic Affairs and make the final decision regarding the granting or denial of tenure. The decision of the President shall be final and binding.

Sign a letter to the candidate conveying this decision to be delivered as stated in

Report the decision to the Provost and Vice President for Academic Affairs.

D. University Tenure Committee Composition

The Tenure Committee shall consist of two tenured faculty members from the College of Arts and Sciences and one tenured faculty member from every other academic unit (Business, Education, Engineering and Computer Science, Law, Libraries, Music, Nursing, and Truett Theological Seminary) for a current total of 10. Each member shall be appointed for a three-year term, with approximately one-third of the committee rotating each year (4-3-3). Unless circumstances dictate due to the limited size of an academic unit, no member shall serve more than one term on the Tenure Committee.

Over a period of three years, the President appoints five members to the Tenure Committee according to the composition specified above. The Faculty, through the Committee on Committees and Faculty Senate process, appoints five members to the Tenure Committee according to the composition specified above. Following the President's selection(s) each year, the Committee on Committees makes its recommendation to the Faculty Senate for its approval at their May meeting.

Therefore, in every three-year cycle, the appointments shall be as follows:

Year One: President - 2 members, Faculty Process - 2 members (Total 4);

Year Two: President - 2 members, Faculty Process - 1 member (Total 3);

Year Three: President - 1 member, Faculty Process - 2 members (Total 3).

In May, as soon as the composition of the Tenure Committee is known for the following academic year, the Chairperson of the University Committee on Committees shall provide the names of the incoming Tenure Committee to the outgoing Chairperson of the Tenure Committee. As soon as

possible, he or she shall call and conduct a meeting of the incoming Tenure Committee for the sole purpose of electing a Chairperson. The incoming Chairperson shall be chosen from among those members who have served at least one year on the Committee, but no member may serve as chairperson in successive years. The outgoing Chairperson of the Tenure Committee shall provide the name of the incoming Chairperson of the Tenure Committee to the Chairperson of the University Committee on Committees for inclusion in the committee list distributed at the August general faculty meeting.

E. Denial of Tenure

1. If any tenure-track faculty member is not approved for tenure, he/she shall be given a one-year terminal contract.
2. Reasons for denial of tenure will not be given unless the candidate makes a written request to the Provost and Vice President for Academic Affairs. The Provost and Vice President for Academic Affairs will respond in writing within two weeks after receiving the written request.

F. Exceptions to the Above

Any granting of tenure status by other means shall occur only in exceptional cases and only in consultation with the tenured faculty members of the concerned department. Any exceptions made in the granting of tenure shall be stated in writing to the concerned faculty member and chairperson. Such exceptions shall not extend the maximum probationary period granted in this document. Only the President shall have authority to issue official tenure notices, and these must be in writing to the concerned parties.

G. Implementation

1. Because of the relatively large size of some departments, those departments may properly have subsets of all available tenured faculty members within the department perform the responsibilities of tenured faculty members as outlined in this policy.
2. Because some schools within the University are not organized by department, the functions of the departmental chairperson and dean or dean's designee as outlined in this policy will be performed by the dean or the dean's designee within those schools.
3. Additionally, The procedures contained in this policy describe the system for evaluating tenure-track faculty members as that system ideally should work. Each participant in the process should strive to meet his or her important responsibilities as outlined in this policy and should encourage other participants in the process to fulfill their responsibilities. Nonetheless, there will invariably be circumstances when participants in the process fail to fully and completely comply with their responsibilities under this policy. If such an error is promptly brought to the attention of the University prior to any final tenure decision through the Provost and Vice President for Academic Affairs, the University will make reasonable efforts to correct the error if practicable. However, recognizing that such errors will invariably occur and that tenure should be awarded based on the merits of the candidate, rather than the performance of participants in the process of evaluation, an error in complying with the requirements of this policy shall in no event justify the award of tenure and shall not provide the basis for any legal claim against the University or against participants in the process of evaluation.

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