

THE UNIVERSITY OF  
**ARIZONA**<sup>®</sup>  
SOUTH

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# **THE UNIVERSITY OF ARIZONA SOUTH**

## **PROMOTION AND TENURE HANDBOOK**

**August, 2004**

Reviewed and approved by the Vice Provost, Academic  
Affairs, August 30, 2006

## 1. Introduction

Joining the ranks of tenure-track faculty at a dynamic branch campus such as UA South can be challenging for a new employee. There are schools and housing to find, syllabi to prepare, meetings to attend, preparation for the first days of classes, learning the names of one's colleagues, finding one's way around town and campus. High on the list of "things to do" in the first semester is becoming acquainted with the promotion and tenure (P&T) policies and processes at UA South, and learning the timelines and culture that influence this all-important part of one's career. However, becoming educated about P&T too often drops off the radar screen for new faculty until some important upcoming deadline causes panic and confusion.

This Handbook is intended to acquaint new and continuing faculty with the P&T processes at the UA South and to provide an orientation into what happens and when. It offers links and contact numbers to important information found elsewhere in the University. It can serve as a guide so that faculty are informed and prepared for each stage of the P&T process. Following the suggested steps presented here will give new faculty the knowledge and confidence needed to face the P&T process. The UA South is committed to supporting the success of its faculty, and this Handbook is dedicated to that end.

## 2. Getting Started: things to do in the first semester at UA South

There are several important things that new faculty can do upon arrival to begin preparing for a successful P&T experience:

### **Meet with Associate Dean for Academic Affairs**

Schedule a time to meet with the Associate Dean for Academic Affairs to discuss P&T in general, and to gain a sense of how the UA South handles the required parts of the process. This is a good time to ask questions, particularly those that relate to your discipline. This is also the time to let the Associate Dean know you personally, and for you to communicate any particular circumstances that may affect your progress through the P&T process. The meeting with the Associate Dean should give you a much clearer idea of what you need to be focusing on in your own work in order to get off to a good start in the P&T process.

### **Learn the controlling policies**

Take time to acquaint yourself with both the Main Campus policies for Promotion and Tenure, as well as the UA South policies. The Main Campus policy is the over-arching, governing policy, and is located in the University Handbook for Appointed Personnel (affectionately known as UHAP), found at [http://uhap.arizona.edu/chapter\\_3#3.11](http://uhap.arizona.edu/chapter_3#3.11). These two policies control the processes for P&T at UA South, and every new faculty member should understand them first-hand, *not* from what others say about them. The reading is pretty dry, but the content is all-important! Make notes about anything that seems unclear or confusing to you, and follow up with questions to your mentor or the Associate Dean.

There is other valuable material related to P&T located on the Vice Provost's web site, <http://facultyaffairs.arizona.edu/>, particularly the annual letter of instruction, found under **Guidelines**. Other links offer a rich array of information related to the P&T process. Bookmark the site and try to explore all of these good resources during the first semester at UA South.

### **Organize your materials in the dossier format!**

It is essential to begin organizing your CV and materials in the format that will be required for probationary and mandatory reviews. This should happen within the first semester - ideally

right after arrival. The format is found on the website of the Vice Provost for Academic Personnel of the University of Arizona (Main Campus), at <http://facultyaffairs.arizona.edu/sites/default/files/dossier2013-2014.pdf> . It is best to set up a file drawer, box, or electronic location with folders/headers corresponding to each section of the dossier, and then to organize your CV and other materials within this system. As the year goes on, add materials to the appropriate sections of the file. For example, file each of your syllabi under the **Section VI** section in your dossier organizer. *[Important note: Section VI is an **extremely** important part of the dossier for UA South faculty, because of the teaching emphasis in the P&T process. Be sure you are aware of all the different subsections in this part.]* Read through the dossier carefully to learn what things will be required in the later reviews.

### **Begin drafting your Candidate's Statement**

Along with organizing your CV in the required format, you will want to begin working on the Candidate's Statement at the end of the CV (see <http://facultyaffairs.arizona.edu/sites/default/files/SECTION%20CV%20and%20list%20of%20collaborators2.pdf> ). The review committees read the Candidate's Statement carefully and it plays an important part in the P&T process. It should reflect the faculty member's thinking over several years, so it is wise to create a first draft in the first year, and then to continue returning to it and revising it as your work evolves. The Associate Dean may have some samples of good Candidate Statements on file to use as models.

Think of the first semester as an orientation period during which you learn the "basics" of the P&T process at UA South, and begin to organize your materials to prepare for the probationary and mandatory reviews.

## **3. Getting Started: by the end of the first year at UA South, you should have done the following:**

### **Scheduled meetings with Associate Dean**

By the end of your first year at UA South, you should have met privately with the Associate Dean of Academic Affairs at least twice to review your understanding of and progress in the P&T process. Normally there is a meeting late in the second semester as part of the Annual Performance Review at which P&T is discussed, as well. In these meetings, the Associate Dean can help you understand the difference in focus between the annual performance evaluations, and the tenure/promotion reviews. It is important not to confuse good annual reviews with automatic successful progress toward tenure. As the UHAP 3.12.02 says, "Annual performance reviews shall be taken into account as part of the promotion and tenure process, but such evaluations are not determinative on promotion and tenure issues. Satisfactory ratings in the annual performance reviews do not necessarily indicate successful progress toward promotion and tenure. Progress towards promotion and tenure requires scholarly accomplishment over a period of years in the broader range of faculty responsibilities, and includes evaluation by external referees, which is not a part of the annual review process." Do not be afraid to ask for clarification if this difference in focus confuses you!

### **Established your mentor(s)**

Normally, mentors are assigned to new faculty soon after arrival. These are often senior faculty in the same or a related discipline. During the first year, you may also forge friendships with other colleagues who can offer good advice on P&T and other issues. Looking back over your first year, you should feel that there are at least two or three colleagues who are your mentors, whether formal or informal, to whom you can go for help or to answer questions. If

you finish the first year and do not have this important collegial support in place talk to the Associate Dean about creating it as soon as possible.

### **Attended the Vice Provost's Annual Workshop on P&T**

Each spring, usually at the end of March or in early April, the Vice Provost for Academic Affairs (Main Campus) sponsors a campus-wide workshop in the Student Union to discuss the P&T process and to review any changes or new developments that might affect junior faculty. It is extremely important to attend these workshops every year in order to stay abreast of the P&T process and to learn from the many questions and answers that arise at the event. The workshop is announced well ahead of time, so make plans to have your classes and other commitments covered so that you can travel to the Main Campus for this essential presentation. And don't think that because you have attended one of these workshops you do not need to go to subsequent ones; Vice Provosts change, the P&T processes change, and it is imperative to have the most current information at hand in planning your own P&T strategies.

### **Set up your organization of materials**

Hopefully, by the end of the first semester, and surely by the end of your first year, you should have established a system for organizing your teaching materials, evaluations, correspondence, and everything related to your research in the dossier format. Earlier this Handbook stressed the importance of accomplishing this task immediately after your arrival at UA South. Doing so will make all the difference in preparing for the 3<sup>rd</sup> year (probationary) and 6<sup>th</sup> year (mandatory) reviews. Waiting too long compounds the difficulty of the job, because you will have that much more material to organize. Also, the act of organizing itself will help you understand the priorities and content of the dossier much better – and in turn, you will be able to make a much more effective presentation of your accomplishments.

A good test of your organization is that when it is well done, you should be able to know instantly where any single new item should go – as syllabus, a letter from a colleague, a letter from a past student, an invitation to speak at a conference, a contract on an article or book, an award, a thank you letter from someone in the community, an invitation to serve on a committee.

### **Established national referee contacts**

One of the most important components of your mandatory review is the set of letters from outside referees. Importantly, no outside letters are solicited for the 3-year probationary review. It is not until the end of the fifth year that these letters are requested, to go into the file that is submitted for tenure and promotion. Since they represent an objective, outside assessment of your scholarship and the importance of your work field to your field, they carry enormous weight in the overall process.

Sometime in the spring of your fifth year you will be asked to submit a list of names of scholars from your discipline, usually nationally/internationally prominent and working at the professorial level. Your Division Chair and the Associate Dean will select the final roster of referees, half from your list and half from an independently chosen list. The referees should be familiar with your work in order to judge it, but must not be too close to you professionally – in other words, they cannot be collaborators, former thesis advisors, co-PIs, your spouse, or any other such close associations. In order for you to build the professional relationships that you will need for P&T, you should begin in your first year by “introducing” yourself and your work to eminent colleagues in your field. You might meet them at conferences, or mail them copies of articles and papers, or email them about projects, or perhaps introduce yourself by telephone and follow up with mailings of selected examples of your work.

Even though teaching is the primary responsibility of a UA South faculty member, one of the qualities that makes UA South an excellent place to work is the engagement of faculty in important scholarship. Scholarship also will be an important component of the P&T review process, and building outside professional connections is a necessary part of the equation. These connections cannot wait until the last minute – meaning the last year. They must be begun in the first year and then maintained over time as your work evolves. Such professional relationships will then furnish you with good options when the time comes for you to suggest outside referees.

#### **4. *The Road to Tenure***

**UHAP 3.12.04 says, “An initial appointment as an assistant professor is for a period of one academic year. The appointment may be renewed at that rank no more than six times, i.e., no faculty member may hold the title of assistant professor for more than seven academic years. The rank of Assistant Professor is not tenurable. Assistant professors without prior service are permitted six years to tenure unless the Provost approves of a shorter period and the candidate agrees in writing at the time of appointment.**

**A person promoted to assistant professor from the rank of instructor may not be reappointed in a tenure-eligible position more than six successive times including any appointments as a tenure-eligible instructor.**

**An assistant professor may be recommended for promotion, for nonrenewal or for other change in status at any time through the sixth year of tenure-eligible service.**

**Exceptions to the time table for tenure and retention review are described in Section 3.06.”**

**UHAP 3.12.01 says, While holding a tenure-eligible appointment at The University of Arizona, an individual may request a one-year "parental delay" of the tenure clock such that the third-year and tenure-status reviews will take place one year later than would have occurred without such a delay. Such a delay or connected set of delays will be granted up to twice during the individual's tenure-eligible appointment period, if the appointee becomes a parent by the birth or adoption of a child while holding such a tenure-eligible appointment.... UHAP describes in detail the conditions for a parental delay.**

Delays in the tenure clock are sometimes granted for other reasons, such as illness, death of a relative, or other such conditions. Delays are always by permission of the Provost, with approval at the appropriate administrative levels.

#### **5. *The 3<sup>rd</sup> year, or probationary review***

**UHAP 3.12.04 says, “Before the end of the third year in rank assistant professors shall be informed in writing by their department head that they are being recommended for: (a) reappointment for a fourth, fifth and sixth year as assistant professor (this does not necessarily preclude consideration for promotion effective the sixth year, nor does it preclude possible nonretention at the end of the sixth year); (b) promotion for the fourth year; or (c) nonrenewal at the expiration of the fourth year of service in rank. During a third-year review, departments may seek additional assessments from outside the**

department and the University regarding a candidate's professional accomplishments, stature as viewed by peers, and scholarly potential.

Reappointment in rank at the end of three years may be made without college or University review, but assistant professors must be formally evaluated at this stage by the department head and departmental standing committee on faculty status. This evaluation shall be expressed in writing, identifying any problem areas which may preclude the granting of tenure, and given to the nontenured faculty member. Decisions not to reappoint, however, must follow from the full review process described in Subsection 3.12.07. The college may require college review of all retention cases.”

At UA South, the 3<sup>rd</sup> year probationary review is treated like a “dress rehearsal” for the tenure review. It should replicate the tenure review process in every way except for the inclusion of outside letters. The file should be prepared with the same care as to content and format as for the 6<sup>th</sup> year review, and the timeline for the review process should approximate the timeline used in the 6<sup>th</sup> year review (see timeline at the end of this document). The primary difference between the 3<sup>rd</sup> and 6<sup>th</sup> year reviews is that the 3<sup>rd</sup> year review is formative, and the 6<sup>th</sup> year review is summative. The 3<sup>rd</sup> year review gives the opportunity for critical feedback, especially if a case is weak or deficient in any way. The Division Chair and Associate Dean will meet with candidates to explain and discuss the results of the review, and if there are problems, will work out a plan for correcting them with the candidate.

## **6. *The 6<sup>th</sup> year, or mandatory review***

UHAP 3,12,04 says, “**Before the end of the sixth year in rank, assistant professors shall be informed in writing by the department head and dean that they are being recommended for: (a) promotion to the rank of associate professor with tenure; or (b) appointment as assistant professor for a seventh and terminal year. See Section 3.15. A faculty member/academic professional cannot waive the right to tenure or renewal review. There must be a review, even in the absence of a Promotion and Tenure packet, unless the faculty member/academic professional submits a letter of resignation in which he/she (a) waives his/her right to a review and (b) resigns as of the end of what would be the terminal year.**”

UHAP 3.12.07, Decisions on Nonrenewal, Promotion and Tenure, says:  
“**Decisions regarding nonrenewal, promotion and tenure of tenure-eligible faculty members and promotion of tenured faculty members shall involve the following levels of review in a multiple-department college:**

- 1. Departmental Standing Advisory Committee on Faculty Status (where the department contains sufficient personnel to warrant such a committee)**
- 2. Department Head**
- 3. College Standing Advisory Committee on Faculty Status**
- 4. Dean of College**
- 5. University Standing Advisory Committee on Faculty Status**
- 6. Provost**

**In a single department college, only levels 3 through 6 are required. The dean's designate shall act as the department head in cases in which a department temporarily has no head.**

**The Provost shall decide whether an individual will not be renewed, or will be promoted or granted tenure. In the case of nonrenewal of a tenure-eligible individual, a terminal contract shall be offered for the next appointment period.”**

The UA South mandatory review process follows the UA Main Campus steps almost exactly. However, because the UA South does not have separate colleges, it combines the departmental and college level reviews into one. Thus, at UA South, a candidate's file is seen first by the UA South Advisory Committee on Promotion and Tenure. The Advisory Committee reviews the file and writes a letter that is added to the tenure packet, which then proceeds to the Dean. The Dean reviews the file and then adds his or her own letter to the packet. The Dean then submits the candidate's packet to the Provost's Office at UA Main Campus. The Provost's final decision usually occurs in late April or early May.

Following the university committee's review and recommendation, the file is sent to the Provost for the final decision, which usually occurs in late April or early May. The candidate is notified of decisions at each stage of the review process.

## ***7. Promotion to Full Professor***

UHAP 3.12.05 says, **“An associate professor with tenure may be recommended for promotion to the rank of professor at any time. If not earlier recommended, before the end of the fifth year of service in the rank of associate professor at The University of Arizona the faculty member shall be notified by the department head in writing that he or she has the right to be reviewed during the sixth year for promotion and recommended for: (a) promotion to the rank of professor effective the seventh year or (b) reappointment as an associate professor for the seventh and subsequent years. A review will be conducted unless the faculty member declines in writing. If promotion to the rank of professor is not recommended or granted, the department head shall ask that the departmental standing committee on faculty status review the case for promotion at six-year intervals unless the candidate requests a review prior thereto or writes to again decline a review.”**

The same section of UHAP talks about situations where someone is hired at the rank of Associate Professor, tenure-eligible, with or without credit for previous service at another institution. UA South's policy describes criteria to be used for promotion to the rank of full professor. Candidates should also consult closely with their Division Chairs and colleagues on more exact expectations in the particular disciplines.



## 8. Appeals

UHAP 3.12.08, Appeals to the President, says:

**In cases where the Provost has decided not to renew or has denied promotion or tenure to a tenure-eligible faculty member or promotion to a tenured faculty member, the faculty member may appeal the nonrenewal or denial to the President. Such appeals must be filed in writing with the Office of the President within 30 days after notice of the Provost's decision. The President's review shall be limited to the record compiled under Section 3.12.07.**

More information on appeals can be found in UHAP 3.12.08.

## 9. Conclusions

Nothing is more important to a faculty member's career than the P&T process. Successful progress depends upon a thorough understanding of the local and university level expectations, regular feedback from mentors and administration, and allowing enough time to do the work necessary to advance to the next level.

Since administrators and mentors come and go, sometimes the only constant in a candidate's P&T experience is the candidate him or herself. Therefore, you, as the candidate need to take ownership and responsibility for your own P&T progress. This means asking questions when you are unsure of something; attending the P&T workshops offered at UA South and on Main Campus; staying abreast of the materials on the websites described in this Handbook; consulting with your colleagues, your Division Chair, and the Associate Dean; receiving regular feedback on your progress toward tenure and/or promotion (if it is not forthcoming, ask for it!); making the most of the 3<sup>rd</sup> year probationary review and the opportunity it offers for valuable feedback; and, understanding your own unique place in the complex mission of UA South. Chances are you are here because you rose to the top in a nationally competitive selection, and UA South values your presence and what you bring to the institution. We want you to succeed and hope that this Handbook helps you to navigate a successful path toward your career goals.

*E. Ervin  
August, 2004*



**APPENDIX A**

**Promotion and Tenure Timeline**

<b>Action</b>	<b>Point person</b>	<b>Deadline</b>	<b>Notes</b>
Candidates notified of their upcoming review	Associate dean	April of each year	
Candidates, division heads, and committee members attend annual P&T workshop on main campus	Associate dean	April of each year	
Candidates are given current instructions on preparing dossiers and deadlines for submittal	Division heads	By April 30	
Candidates provide lists of potential referees to division heads	Division heads	By May 15	
Division heads obtain list of potential referees from other sources	Division heads	By May 15	
Division heads create balanced referee list and request referees to serve, via email, telephone, or written agreement	Division heads	By June 15	
Candidates' dossiers due to division heads	Division heads	By Sept. 15	
Complete dossiers due to Assoc. Dean	Division heads	By Sept. 30	
Promotion & tenure committee selected and charged	Associate Dean	By Sept. 15	
Promotion & tenure committee reviews dossiers	Associate Dean	October 1 to Nov. 1	
Chair of P&T committee writes letters	Associate Dean	Nov. 1 - 15	
Complete dossiers to Assoc. Vice President and Dean's Office	Associate Dean	Nov. 16	
Candidates each receive letter informing them of committee's decision	Assoc. Dean	Dec. 1	UHAP 3.15 NOTICE OF RECOMMENDATION At the time a recommendation regarding renewal, nonrenewal, promotion or tenure is transmitted by the

			department head or dean to the next administrative level, the faculty member involved should be advised in writing of the nature of the recommendation. The faculty member is not entitled to a statement of the reasons for the recommendation.
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Action	Point person	Deadline	Notes
Dean writes letter for each dossier	Assoc. Vice President and Dean	Dec 1 – Jan 10	
Dossiers delivered to Provost’s Office	Associate Dean	Jan 15	
Candidates each receive letter informing them of Dean’s decision	Associate Dean	Associate Dean	See above
Provost’s University level committee convenes and reviews files	Vice Provost for Academic Affairs, Main Campus	January 15 to April 15	
Provost’s decision	Provost	April/ May	
Appeals to President	UHAP 3.12.08	Within 30 days of Provost’s decision	



**SECTION 3: DEPARTMENTAL AND COLLEGE PROMOTION AND TENURE CRITERIA**

**Performance Measures: Teaching**

Faculty Expectations	Data Sources	Performance Indicators
<p>Organizes and conducts courses consistent with UAS mission, the level of the course, the nature of the subject matter, and stated learning goals</p> <p>Brings effective techniques and pedagogical approaches to the classroom and other learning environments</p> <p>Engages students in current discourse, debates, and inquiries within a field</p> <p>Enables students to articulate issues, solve problems, and relate understandings to knowledge bases in other fields</p> <p>Sponsors and supervises field-based experiences through internships and practica</p> <p>Reaches the diverse and scattered population of students through technology and distance learning platforms</p> <p>Incorporates the contributes of diverse cultures into courses and programs</p> <p>Avails oneself outside the classroom for further instruction and advising</p>	Students' evaluations of teaching	<p>Consistently high overall rating</p> <p>Improvement in ratings in targeted areas</p>
	Student exit surveys	<p>Positive student responses</p> <p>Improvement in targeted student responses</p>
	Student products	Demonstration of proficiency
	Sequence of student products	Development of proficiency
	Peer review	Consistently high overall ratings
	Mentor review	Improvement in ratings in targeted areas
	Classroom research	<p>Documentation of improvement in targeted areas</p> <p>Development of courses to maximize student performance outcomes</p>
	Course syllabi	<p>Development of distant learning platforms</p> <p>Inclusion of multi-cultural components</p>
	Teaching materials	<p>Adoption of curricular or teaching materials at other institutions</p> <p>Publication of materials</p>
	Peer or student recognition	<p>Special honors or recognition for teaching excellence or innovation</p> <p>Student testimonials</p>
	Professional development	Documented improvement in targeted areas
	Student performance outcomes	Documentation of student proficiency as exhibited by course examinations, theses, and program exit requirements

## Performance Measures: Scholarship

Faculty Expectations	Data Sources	Performance Indicators
<p>Sustains a program of scholarly research and publication or creative contributions</p> <p>Receives and sustains grants, awards, and fellowships</p> <p>Conducts institutional research and evaluation of student performance</p> <p>Sustains a record of presentations at academic and professional forums</p> <p>Seeks responsibility and recognition achieved by being named to important professional positions</p>	<p>Publications</p> <p>Invited author</p> <p>Peer reviewed journals</p> <p>Electronic publications</p> <p>Book manuscripts</p> <p>Book chapters</p> <p>Texts</p>	External peer review
	<p>Record of Publications</p> <p>Bibliographies</p> <p>Curricula</p> <p>Conference proceedings</p> <p>Non-refereed journals</p> <p>Book reviews</p> <p>Case studies (separate article or book chapters)</p> <p>Professional pamphlets</p> <p>Research reports</p> <p>Videotapes</p> <p>Computer programs</p> <p>Abstracts</p>	Internal or external review
	<p>Record of Creative Performance</p> <p>Music or art exhibits</p> <p>Shows</p>	Internal or external peer review Audience review
	<p>Record of Presentations</p> <p>Community</p> <p>Symposia</p> <p>Seminars</p> <p>Proceedings and conferences</p>	Internal or external peer review Audience review

**Performance Measures: Service**

<b>Faculty Expectations</b>	<b>Data Sources</b>	<b>Performance Indicators</b>
Serves students, committees, and teams  Acts as liaison with community college and university communities	Record of Service to Students Career and academic advising Student references and recommendations	Internal peer review
Participates in activities of professional societies or organizations in one's discipline  Applies expertise to address local, regional, or national issues  Provides non-credit courses, extension programs, or short courses to groups, and/or institutions	Record of Service to the University Departmental or university committees Program development Liaison – main campus Liaison – Cochise College Liaison – Douglas Campus Participation in faculty retreats Search committee member Ombudsman	Student review and evaluation Internal peer review
Presents community lectures or performances  Provides clinical care and related work  Participates in faculty governance at the campus and/or university	Record of Service to the Community Public presentations Pro-bono consulting Contest judging UA South representative to community organizations	Internal peer review Client surveys Testimonials
Avails oneself outside classroom for further instruction and advising	Record of Service to the Profession Participant/discussant at conference or workshop Editorial board member Manuscript review Leadership on local, state, national, or international committee Proposal review Grant review	Internal or external peer review