



FACULTY SENATE
SETON HALL UNIVERSITY

MEMORANDUM

To: Dr. Karen Boroff, Interim Provost and Executive Vice President, Seton Hall University

From: Faculty Senate, Seton Hall University

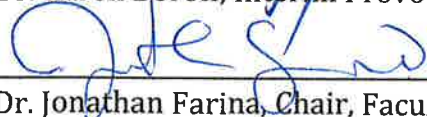
Re: Approval of Faculty Guide Interpretations
2019-FS-27

Date: Jan. 25, 2019

On Jan. 25, 2019, the Faculty Senate approved the revised version of Article 5 of the Faculty Guide. (See attached.)

Received by:


_____ Jan. 28, 2019
Dr. Karen Boroff, Interim Provost and Executive Vice President, Seton Hall University


_____ Jan. 28, 2019
Dr. Jonathan Farina, Chair, Faculty Senate, Seton Hall University

Article 5

PROMOTION AND TENURE PROCEDURES

5.1 General Requirements

- a. Each applicant for promotion or tenure shall submit an application with documentation. Faculty members who do not submit an application by the deadline for mandatory tenure review shall be terminated at the end of that academic year.
- b. All applications for promotion and tenure must be submitted on appropriate forms provided by the University. The application must include a table of contents listing every item submitted by the applicant.
- c. Applications for promotion to the rank of assistant professor may be submitted at any time and such promotion, if approved, shall be effective immediately upon approval. Such applications shall be submitted to the department (or, in colleges without departments, to the dean). The department shall submit its recommendation to the dean whose decision, if favorable, is final. An applicant may appeal an unfavorable decision to the provost.
- d. Tenure review must begin no later than the eleventh semester of full-time service on a tenure-track appointment at the University unless otherwise specified in a letter of appointment or supplement thereto as specified articles 3.4 and 3.5. Faculty members whose eleventh semester begins in January, shall adhere to the deadlines for that academic year and submit their application to their department by October 1st of the previous semester. Faculty members are expected to complete the maximum allowable period before applying for tenure. Departments may accept and recommend for further consideration applications from tenure-track faculty members who have demonstrated exceptional performance before they have completed the maximum allowable period provided they have met the criteria for granting of tenure as specified in article 4.6.e.
- e. All promotion and tenure committees shall keep records of their proceedings, which shall include a tabulation of all formal votes taken. Any recusals must be entered into the record of the committee's proceedings. These records are strictly confidential and

shall be kept by the responsible administrator at each level (department chairperson, dean, provost) for a period of six (6) years following the date fixed for notification by the Board of Regents after which they shall be destroyed.

- f. The applicant has the right to make a personal appearance and presentation to the dean, and to the department, college, and university Rank and Tenure Committees. This right may be waived by the applicant, but such waiver must be in writing.
- g. At each level, voting shall be by secret written ballot. All eligible committee members shall vote either positively or negatively on each application, except for a clear conflict of interest as defined in Article 1. Members with such a conflict must declare their recusal with stated justification prior to the start of deliberation on an application. Notification of the recusal must be included in the committee chair's letter stating the results of the committee's deliberation. All eligible committee members shall also include on their ballots a simple statement of reasons for their votes. The ballots shall be included in the record kept by the committee of its proceedings. All records of the committee including the ballots shall be provided to the Office of the Provost at the conclusion of the Committee's activity.
- h. Faculty members who intend to submit an application for promotion and/or tenure must submit a notice to this effect to their department chair not later than May 15th of the academic year prior to submission of the application.
- i. Written documents shall be the primary evidence considered at all levels in the promotion/tenure process. College Rank and Tenure Committees and the University Rank and Tenure Committee may, during the course of their deliberations, invite the responsible official(s) at each level (department chairperson, committee chairperson/dean/provost) to present evaluative statements and/or respond to questions. The record shall summarize these statements/responses, and the chair shall notify the candidate of the consultation.

- j. Procedures specifically applicable to non-tenure track faculty members such as nursing clinical faculty, faculty associates and lecturers are specified in article 5.9.

5.2 Departmental Review

a. Departmental Tenure and Promotion Guidelines

1. All Departments shall create written guidelines for promotion/tenure that include a statement of expectations for tenure, promotion to associate professor and promotion to professor in the areas of scholarship, teaching, and service. Departmental Guidelines should also specify procedures for pre-tenure departmental review.
2. Departmental Guidelines must be consistent with all standards and procedures established in articles 4 and 5 of the Faculty Guide.
3. Departmental Guidelines must specify voting procedures for promotion to the rank of Professor in the event that no faculty members are serving at that rank in the department.
4. Guidelines must be formally approved by a majority vote of all tenured and tenure-track department members and provided to the Dean for formal review. Once approved by the Dean, Department Guidelines apply at all stages of the tenure and promotion process and must be provided to the Office of the Provost.
5. All probationary and tenured faculty members must receive these guidelines at the time of appointment.
6. Review for tenure is governed by the Departmental Guidelines in effect at the time of an applicant's appointment. Review for promotion is governed by the departmental guidelines in effect at the time of the more recent promotion or the guidelines in effect six years prior to the application, which ever is the lesser

interval of time. Changes introduced to Departmental Guidelines shall not be retroactive unless explicitly agreed upon by a unanimous vote of all tenure-track and tenured members of the Department and the approval of the Dean and the Provost.

b. External Review

1. Departments may solicit and submit external reviews of their applicants' scholarship from scholars in their fields. Departments conducting external review shall state their policies and procedures in accordance with the provisions below in their Departmental Tenure and Promotion Guidelines.
2. External reviewers shall be chosen by the Department Chair after consultation with the applicant. External reviewers should have made significant contributions to scholarship within the applicant's field and should hold an academic rank equal to or above the rank to which the applicant is applying.
2. When soliciting evaluations from reviewers, the Department Chair shall compose a letter to be sent to all reviewers stating the points to which the reviewers shall respond and providing whatever contextual information is considered necessary. In the letter, reviewers shall be instructed to explain the nature of their relationship with the applicant. Chairs shall share this letter with the applicant before it is sent. The letter shall be added to the applicant's portfolio along with the external reviews.
3. Reviewers shall be provided with copies (paper or electronic) of all publications included in the applicant's portfolio along with the Department's Tenure and Promotion Guidelines, and must be provided with ample time to review the materials and produce a written evaluation before the application is submitted for departmental review. External reviews may not be added to the applicant's portfolio any later than the start of departmental review on October 1st.

4. External reviews are added to the application by the Department Chairperson and must be taken into consideration at every stage of the review for tenure or promotion.
5. External reviews are strictly confidential with regard to the identity of their individual authors. Applicants are not to see the full review letters submitted by external referees. At the request of the candidate, the Department Chairperson may reveal to the applicant information from the external letters without revealing the identities of the authors.

c. Submission of Applications

1. All applications for promotion to the ranks of associate professor, professor, and for tenure are initially submitted to the department and, after departmental review and recommendation, to the dean. In colleges without departments, a committee of tenured faculty members performs the function of departmental review.
2. Applications shall be submitted to the department or its equivalent by October 1 and become available to the dean and to the College Rank and Tenure Committee on November 1.
3. In the case of a recommendation for initial appointment of a faculty member with tenure, the deadlines for submission of an application and for review by committees and administrators may be extended and/or expedited. In such instances, the provost in consultation with the appropriate committee chairs and administrators shall determine the applicable deadlines for their respective determinations and/or actions. In such cases a departmental vote of tenured faculty is required for the granting of tenure.

4. Once submitted to the department, the application may not be modified, amended or abridged, except with the explicit written consent of the applicant and the Provost.

d. Departmental Procedures

1. The Department Tenure and Promotion Committee for a given application shall be comprised of all full-time members of the department holding an academic rank equivalent to or higher than the rank for which the application was submitted. An exception may be made for application for promotion to Professor in departments with no faculty members at that rank. In such cases the Department shall follow the procedures stipulated in its Tenure and Promotion Guidelines.
2. Departments shall conduct a thorough and fair review of the application which must include a personal interview scheduled by the department chair unless waived in writing by the applicant.
3. Departmental votes are to be submitted on uniform ballot forms prepared in advance and must be accompanied by a brief statement explaining the reasons for the vote.
4. Upon receipt of the ballots, the department chairperson shall prepare a letter stating the results of the departmental vote and summarizing the views expressed in the individual ballots. Both the chairperson's letter and the ballots are shared with the applicant and forwarded to the Provost after the chairperson's letter has been added to the application and submitted to the Dean for College level review. Only the chairperson's letter shall be added to the application and submitted for further review. The failure of the department or chairperson to submit timely evaluations regarding tenure or promotion shall not prevent the review process from continuing.

5.3 College Review

- a. Composition of a College Rank and Tenure Committee is determined by the faculty of the College, but in no case shall any member of a College Rank and Tenure Committee hold a tenure-track appointment, vote on a promotion to a rank higher than his/her own rank, vote on his/her own promotion, or have a conflict of interest.
- b. The faculty of each college shall adopt by-laws governing the conduct of the College Rank and Tenure Committee; a copy of the by-laws shall be on file in the Office of the Provost and shall be made available to the University Rank and Tenure Committee.
- c. The Dean shall convene the Rank and Tenure Committee of the College, provide pertinent information, and answer any questions from committee members. Thereafter, the Dean shall be excused from the deliberations and the committee shall proceed to its review and recommendations of individual applicants.
- d. Each College Rank and Tenure Committee shall elect a chairperson who shall be responsible for ensuring that proper records are kept of committee proceedings, and that deliberations are carried out in accordance with the provisions of the committee's Bylaws and the Faculty Guide. All communication with applicants for tenure and promotion on behalf of the committee shall take place through the chairperson.
- e. All applicants for tenure and promotion shall meet in person with the College Rank and Tenure Committee in fulfillment of their rights under article 5.1.f prior to any vote on their applications. Applicants shall be allocated reasonable time both to give a presentation on their applications and to respond to questions. The Committee Chairperson is responsible for arranging meetings with applicants unless the applicant specifically waives the right to a meeting in writing.
- f. Review of applications shall be based on the materials included in the applicant's portfolio viewed in light of the standards established by the Departmental Tenure and Promotion Guidelines. Committee members should refrain from independent

investigation into the applicant beyond assessment of materials included in the application. In exceptional cases, the Committee may address questions either in person or in writing to responsible officials (department chairs, deans, provost) with direct knowledge of the applicant's qualifications. Responses to such inquires shall be entered into the Committee's record and shared with the applicant.

- g. Voting shall take place as specified in article 5.1.g. Ballots and the accompanying statements shall become part of the record of the Committee's proceedings and shall be made available to the applicant upon completion of the Committee's work.
- h. The chairperson shall compile the Committee's recommendation including an assessment of the applicant's contributions in the areas of research, teaching and service and report the number of positive and negative votes and any recusals. Each Rank and Tenure Committee shall submit its recommendations to the Provost on or before December 15. A copy of the recommendation shall be forwarded to the applicant at the same time.

5.4 Dean's Review

- a. All applicants for tenure and promotion shall meet in person with their Dean in fulfillment of their rights under article 5.1.f prior to the submission of the Dean's recommendation to the Provost. The Dean is responsible for scheduling this meeting unless the applicant waives the right to a meeting in writing.
- b. Each Dean shall submit a separate recommendation for each applicant addressing the applicant's contributions in the areas of scholarship, teaching and service on or before December 15. The Dean's recommendation shall be added to the application and made available to the Provost and the University Rank and Tenure Committee. A copy of the recommendation shall be forwarded to the applicant at the same time.

5.5 University Review

- a. Composition of the University Rank and Tenure Committee

1. The University Rank and Tenure Committee shall consist of eleven (11) tenured faculty members holding the rank of professor.
 2. Each of the constituent schools of the university in which tenure is granted must be represented on the committee and (3) of its members shall hold tenured rank in the College of Arts and Sciences, two (2) of its members shall hold tenured rank in the W. Paul Stillman School of Business, and two (2) of its members shall hold tenured rank in the College of Education and Human Services. The College of Nursing, the School of Diplomacy, the College of Communication and the Arts, and the Library will be represented on the committee by one member each. If a College has fewer than five (5) faculty holding professorial rank, then a tenured faculty member with the next highest rank shall be eligible to serve on the University Rank and Tenure Committee and have rights equal to those of the other members.
 3. Members shall be recommended by the Deans and appointed by the Provost of the University for staggered two-year terms. Once appointed faculty members are obliged to serve. No faculty member shall serve more than once on the committee until all other eligible faculty members at the same rank from the appropriate College have served on this committee. No faculty member shall be appointed more than once within a five year period.
 4. No faculty member shall serve on this committee while serving on a College Rank and Tenure Committee during a single academic year.
 5. The committee shall elect one of its members as chairperson. The provost shall appoint a secretary to this committee, who shall have no vote and who shall not hold faculty rank.
- b. The provost shall convene the University Rank and Tenure Committee no later than December 20 and answer any questions from committee members. Thereafter, the provost shall be excused from the deliberations and the committee shall proceed to its review of individual applicants.
- c. Bylaws of the University Rank and Tenure Committee shall be kept on file in the Office of the Provost and provided to the Committee by the Provost at the time of convening.

At the start of each term, the Committee shall review its Bylaws and submit any proposed changes to the Faculty Senate and the Provost for approval.

- d. The Committee shall keep a record of its proceedings listing items discussed and actions taken including votes.
- e. All applicants for tenure and promotion shall meet in person with the University Rank and Tenure Committee in fulfillment of their rights under article 5.1.e prior to any vote on their application unless the applicant specifically waives the right to a meeting in writing. Applicants shall be allocated sufficient time to present their application and respond to questions. The Chairperson of the Committee is responsible for arranging meetings with applicants unless the applicant has waived the right to a meeting.
- f. Review of applications shall be based on the materials included in the applicant's portfolio along with information derived from the applicant's meeting with the Committee viewed in light of the standards established by the Departmental Tenure and Promotion Guidelines. Committee members are to refrain from independent investigation into the applicant's credentials and merit. The Chair shall ensure that such information does not enter into the Committee's deliberations. In exceptional cases, the Committee may address questions either in person or in writing to responsible officials (department chairs, deans, provost) with direct knowledge of the applicant's qualifications. Responses to such inquires shall be entered into the Committee's record and shared with the applicant.
- g. Voting shall take place as specified in article 5.1.g. Ballots and the accompanying statements shall become part of the record of the committee's proceedings and shall be made available to the applicant upon completion of the Committee's work. Notification of any external consultations as per article 5.1.i shall also be provided to applicants.
- h. The chairperson shall compile the Committee's recommendation including the number of positive and negative votes accounting for any recusals due to conflict of interest as per article 5.1.g. The Committee shall submit its recommendations to the provost on or

before March 1st. Applicants shall be informed of the recommendation at the same time that it is communicated to the Provost.

5.6 Provost Review

- a. The Provost will review applications for tenure and promotion concurrently with the University Rank and Tenure Committee. A meeting between the Provost and applicant is not required, but may be arranged at the discretion of the Provost.
 - b. The applicant may submit to the Provost a supplementary statement, but not additional documentation, no later than March 15.
 - c. Each applicant shall be notified of the Provost's action on the application by April 1.
 - d. An applicant who is not recommended for tenure or promotion may request from the Provost within seven (7) days of notification a written statement explaining the rationale behind his or her decision [in reference to the applicable Departmental Tenure and Promotion Guidelines](#). The Provost shall have seven (7) days to comply with this request.
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- e. Should an application for tenure or promotion be denied by the provost on its merits, the decision of the provost may be appealed to the president provided that the application had been positively recommended by majority vote of the University Rank and Tenure Committee. The appeal must be made by letter addressed to the president within 21 days of receipt of notice of denial.
 - b. Should a decision favorable to the candidate be reached on appeal to the president and subsequently approved by the Board of Regents, the effective date of promotion or appointment with tenure is August 15 of the academic year succeeding that in which the application was filed, regardless of the date on which the decision is reached.

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5.7 Board of Regents Review

- a. Applications positively endorsed by the provost are forwarded to the Board of Regents for final review. Applications denied by the Provost are not so forwarded unless the applicant successfully

appeals to the President to reverse the recommendation of the Provost. As per article 3.1.a.2.i, tenure may be granted by a positive action of the Board of Regents.

- b. Each applicant shall be notified of the action of the Board of Regents by April 30.
- c. If the decision of the Board of Regents on promotion or tenure is favorable, the effective date of such promotion or appointment with tenure is August 15 of the following academic year.

5.8 Notification

- a. At each step of the process the chairperson of the department, college and university Rank and Tenure Committees and the dean shall inform the applicant and the applicant's department chair in writing of the recommendations and include an explanation of the decision.
- b. Notification shall be effective if personally delivered to the faculty member or if sent by certified mail postmarked by the date specified. The certified letter shall be sent to the faculty member's residence as reported to Human Resources.

5.9 Withdrawal

- a. An applicant has the right to withdraw an application for promotion at any stage of the process.
- b. An applicant who withdraws from a mandatory tenure review must submit a written letter of resignation from the university to be effective no later than the end of the current academic year.
- c. An applicant who requests or agrees to a tenure review prior to the year of mandatory tenure review may withdraw the application at any stage of the process.
- d. All notifications of withdrawal shall be submitted in writing to the Provost with copies sent to the department chair and dean. A record of the stages of the process which

were enjoined, the results of these stages, and the fact of withdrawal shall be kept in the faculty member's official personnel file.

5.10 Promotion of Term Faculty

- a. Faculty Associates and Lecturers who have served the university for a period of at least five full academic years may apply in their sixth year or later for promotion to senior Faculty Associate/Senior Lecturer according to the department's criteria for that position in its Tenure and Promotion Guidelines.
- b. Promotion of term faculty members requires review by, and a majority vote of, the tenured members of the department and the College Rank and Tenure Committee as well as review and approval by the Dean and the Provost.
- c. Consistent with the Faculty Guide 6.2.d, a leave of absence shall not count as a part of the pre-promotion period for promotion to Senior Faculty Associate or Senior Lecturer, unless this provision is waived in writing by the applicant and the Provost.
- d. Appointments and reappointments as Senior Faculty Associate and Senior Lecturer follow the same rules as Faculty Associate or Lecturer appointments.
- e. Procedures for the promotion of Faculty Associates, Lecturers, and Clinical Faculty are identical to those described above except that these applications are not reviewed by the University Rank and Tenure Committee.