

March 6, 2024

# Promotion, Tenure, and Evaluation Process

## X.1. Introduction

X.1.1. All university-level policies, guidelines and criteria for promotion and tenure, including annual evaluation processes and dossier preparation, must be reviewed, revised, and approved by University Senate and followed by the University. Any changes made must be agreed to by FAM AAUP-AFT.

X.1.2. Where differences exist between University policies and this agreement, this agreement takes priority and University policy must be revised to conform to it.

X.1.3. Collegiality shall not be used as a criterion for promotion or tenure. Promotion or tenure recommendations or decisions shall not be based upon political or ideological opinion.

## X.2. Probationary Faculty Evaluation

X.2.1. All departments are required to create governance for evaluating probationary faculty that is in conformity with divisional and university provisions, if any. In case of conflict with divisional, university, or other provisions for evaluating probationary faculty, the higher level plan must take precedence.

X.2.2. Probationary Faculty Evaluation packets will be assembled by the departmental promotion and tenure committee and sent to the Provost for the 3rd, 4th and 5th year reviews. These will contain the following:

X.2.2.1. A current CV

X.2.2.2. A dossier (described below)

X.2.2.3. Annual evaluation by the departmental promotion and tenure committee and copies of evaluations from previous years (beginning with the 2nd year)

X.2.2.4. Annual evaluation by the Chair (as well as Program Director for joint appointments) and copies of evaluations from previous years (beginning with the 2nd year)

X.2.2.5. Annual evaluation by the Dean and copies of evaluations from previous years (beginning with the 2nd year)

X.2.2.6. Annual evaluation by the Provost and copies of evaluations from all previous years

- 37 X.2.2.7. Written documentation of approval for years waived or extensions granted  
38 to probationary period.
- 39 X.2.3. Department chairs shall advise probationary faculty members to begin building  
40 their dossier for promotion and tenure no later than the 3rd year and that the  
41 dossier be included in the materials that come forward (3rd, 4th & 5th years).
- 42 X.2.4. A teaching portfolio documenting multiple measures of teaching evaluation (peer  
43 evaluations, midterm evaluations, etc.); a portfolio of publications and/or creative  
44 activity; and documentation of service will be included in the dossier. Due to bias  
45 and reliability issues, numerical student evaluations of teaching may be included  
46 but must not be used as a sole or primary basis for denying a bargaining unit  
47 member promotion or tenure. Multiple measures of teaching effectiveness should  
48 be included across the probationary period to demonstrate growth and reflection.
- 49 X.3. Promotion and/or Tenure Evaluation
- 50 X.3.1. Allocation of Responsibility
- 51 X.3.1.1. Candidates for promotion and/or tenure should compile a dossier  
52 specifying their achievements. It is the responsibility of the tenure-  
53 initiating unit (TIU) to provide clear and consistent guidelines, criteria,  
54 and mentorship to the candidate. It is the responsibility of the bargaining  
55 unit member's peers to evaluate the candidate's teaching, scholarship, and  
56 service contributions and to determine whether the bargaining unit  
57 member should receive a positive recommendation for promotion and/or  
58 tenure.
- 59 X.3.2. Interdisciplinary, Cross-Unit and/or Cross-Divisional Work and  
60 Hybrid/Dual/Multiple Employment Categories
- 61 X.3.2.1. When a promotion and tenure case involves a bargaining unit member  
62 who does interdisciplinary work, performs work for more than one unit at  
63 the university, or is hired into a hybrid/dual/multiple employment category  
64 (e.g., 75% faculty, 25% staff), the following shall apply:
- 65 X.3.2.2. With the participation of the relevant divisional dean(s) and other  
66 supervisors as applicable, a Memorandum of Understanding between the  
67 bargaining unit member and the TIU must be created at the time of hire  
68 and no later than the end of the first month of the bargaining unit  
69 member's employment. This MOU will
- 70 X.3.2.2.1. establish the most appropriate TIU
- 71 X.3.2.2.2. clearly lay out the bargaining unit member's duties, workload, and  
72 expectations for research, teaching, service, and any other work  
73 expected and explain how duties are allocated between and across  
74 units and any flexibility in that allocation

- 75 X.3.2.2.3. lay out how the units involved will or will not participate in annual  
76 evaluation of the candidate's progress toward promotion or tenure
- 77 X.3.2.2.4. lay out how the units involved will or will not participate in  
78 evaluation of the candidate's case for promotion and tenure.
- 79 X.3.2.2.5. list any additional criteria for promotion/tenure that the bargaining  
80 unit member negotiates in order to ensure that the appropriate  
81 criteria for evaluating their work exist in their TIU's governance.
- 82 X.3.2.3. The bargaining unit member shall be instructed to consult with FAM  
83 AAUP-AFT during the development of the MOU. FAM AAUP-AFT must  
84 approve the MOU before it is signed. The MOU may be revised with the  
85 consent of the bargaining unit member and FAM AAUP-AFT.
- 86 X.3.2.4. For faculty who do interdisciplinary work, the promotion and tenure  
87 committee must include a faculty member with expertise in the  
88 candidate's discipline(s) or relevant interdisciplinary fields whenever the  
89 candidate's evaluation is being discussed. The chair of the promotion and  
90 tenure committee must ensure that members of the promotion and tenure  
91 committee, as well any other faculty who will vote on the tenure case,  
92 have consulted the interdisciplinary faculty member to ensure they  
93 understand the values, norms, standards of scholarship and research  
94 methodologies in the relevant disciplines or interdisciplinary fields.  
95 Committees must be familiarized with ways of evaluating scholarship  
96 outside of one's specialization, field or discipline.
- 97 X.3.2.5. If appropriate, the chair should request that external reviewers evaluate the  
98 candidate on the basis of their own area of expertise, while recognizing  
99 that the candidate has conducted interdisciplinary research.
- 100 X.3.3. Areas of Activity and Order of Emphasis
- 101 X.3.3.1. Candidates for promotion and tenure shall be evaluated on teaching and  
102 academic advising, research, scholarly and/or creative achievement, and  
103 professional service. Absent any appointment letters and/or memoranda of  
104 understanding regarding the weighting of these three areas of activity for  
105 promotion and tenure, the order of emphasis of teaching/advising,  
106 scholarship/creative achievement, and service shall reflect the order  
107 indicated by the individual's campus assignment. The usual emphasis in  
108 descending order of significance shall be:
- 109 X.3.3.1.1. 'teaching and academic advising,'
- 110 X.3.3.1.2. 'research, scholarly and/or creative achievement,' and
- 111 X.3.3.1.3. 'professional service.'
- 112

- 113 X.3.3.2. For regional campus faculty, the usual emphasis in descending order of  
114 significance shall be:
- 115 X.3.3.2.1. 'teaching and academic advising,'  
116 X.3.3.2.2. 'professional service,' and  
117 X.3.3.2.3. 'research, scholarly and/or creative achievement.'
- 118 X.3.3.3. An area of activity in the third order of emphasis is expected to be of  
119 similar quality but smaller quantity than if that activity were the second  
120 order of emphasis. Before making any application for tenure or promotion  
121 at any rank, candidates may request a change in the order of emphasis of  
122 their secondary and tertiary activities. Such requests shall not be  
123 unreasonably denied.
- 124 X.3.4. Changes to Criteria During Probationary Term
- 125 X.3.4.1. The criteria (including specific criteria within each area of activity put  
126 forth at the University, division, and/or department level) applied to tenure  
127 recommendations are, by default, the criteria in force at the time of  
128 appointment. In cases where new criteria have been added, removed or  
129 modified since a candidate was first appointed to a tenure-eligible position  
130 at Miami, the candidate has the option of being judged by any version of  
131 the criteria that have come into force since the time of appointment, at the  
132 candidate's discretion. Probationary faculty must be sent notice by email  
133 of any changes to criteria made during their probationary term.
- 134 X.3.5. Chair/Program Director's Responsibilities
- 135 X.3.5.1. The bargaining unit member's chair/program director shall append the  
136 following materials to the candidate's dossier:
- 137 X.3.5.1.1. Copies of any letters of understanding regarding the weighting of  
138 the criteria for promotion and tenure.
- 139 X.3.5.1.2. A statement of the bargaining unit member's professional  
140 responsibilities within the department, including any contractual or  
141 typically assigned differentials in load for probationary faculty,  
142 and outlining any relevant special arrangements or considerations  
143 for bargaining unit members engaged in interdisciplinary, cross-  
144 unit, cross-divisional work or hybrid/dual/multiple employment  
145 categories.
- 146 X.3.5.1.3. A letter evaluating the quality of performance in relation to the  
147 relevant criteria for promotion and tenure and effectiveness of the  
148 candidate. This evaluation should highlight important  
149 accomplishments and interpret the value of significant  
150 contributions.

- 151 X.3.5.1.4. If departmental governance indicates, a separate letter from the  
 152 department promotion and tenure committee.
- 153 X.3.5.1.5. Copies of annual chair/program director evaluations and/or  
 154 departmental committee evaluations as departmental and  
 155 University governance require. In the case of a bargaining unit  
 156 member assigned to a regional campus but going up for promotion  
 157 in an Oxford division, the chair/program director will also consult  
 158 with the regional campus dean and include his or her evaluation  
 159 and that of the appropriate regional campus chair.
- 160 X.3.5.1.6. Copies of peer and external letters of evaluation.
- 161 X.3.5.2. The department chair shall forward the following materials to the division  
 162 after the Department Tenure and Promotion Committee and Chair have  
 163 made a recommendation:
- 164 X.3.5.2.1. The recommendation letter from the chair or program director: If  
 165 the recommendations of the committee and the chair or program  
 166 director differ, both letters are forwarded to the dean.
- 167 X.3.5.2.2. The candidate's dossier
- 168 X.3.5.2.3. A sample copy of the letter to external reviewers
- 169 X.3.5.2.4. A summary of the academic and scholarly credentials of each of  
 170 the external reviewers and their relationship to the candidate
- 171 X.3.5.2.5. The letters from the external reviewers
- 172 X.4. Promotion and/or Tenure Timeline
- 173 X.4.1. If the deadline date falls on a Saturday or Sunday, the deadline date will occur on  
 174 the following Monday. Requests by or on behalf of the candidate for extensions in  
 175 emergency situations shall not be unreasonably denied. When the faculty member  
 176 is incapacitated, the Chair/Director has the responsibility to act as proxy and shall  
 177 contact the Dean directly to make the request for an extension.

**March 15\*** Candidate informs the chair and dean about their intention to apply for promotion and/or tenure. **NOTE:** Members of the instructional staff holding an appointment with a tenure-eligible rank ordinarily serve a probationary period of **six years** at Miami University. Review *Tenure and Time* (years waived and/or Extensions granted) if requesting changes to probationary period.

**April 15** Candidate submits recommendations for external reviewers.

<b>May 1</b>	In consultation with the dean, the chair selects all but one of the external reviewers. After this, the candidate has the right to select the final external reviewer.
<b>June 1</b>	Candidate submits materials for external reviewers to chair.
<b>June 15</b>	Chair sends candidate's materials to external reviewers with deadline.
<b>Aug. 15 - Sept. 1</b>	Deadline for receipt of external review letters.
<b>Aug. 15</b>	Candidate submits complete dossier to chair and department P&T committee.
<b>Sept. 21</b>	Departmental promotion and tenure committee review letter is sent to the chair.
<b>Oct. 1 (for CAS, CLAAS) Oct. 7 (for other divisions)</b>	Chair's letter is submitted to the academic dean.
<b>October 1 - 21</b>	Divisional committee reviews the candidate's materials.
<b>Oct. 10 - Nov. 1</b>	Dean meets with the divisional committee. If the dean's intended recommendation is at variance with the department's recommendation, the dean discusses the decision with the department.
<b>On or before Nov. 1</b>	Dean notifies candidates in writing of the dean's recommendation.
<b>Within 10 working days of being informed</b>	Deadline to request reconsideration of negative promotion and tenure actions and submission of new evidence.
<b>On or before Nov. 30</b>	Dean/divisional committee reconsiders & renders a decision on negative promotion and tenure actions.

---

The Union reserves the right to add to, delete from, alter or amend this proposal. This proposal is made without precedent or prejudice to existing rights and entitlements, regardless of the character or source of same. Any tentative agreements reached between the parties on any proposals shall not become final until (1) the parties have reached final agreement on a full collective bargaining agreement, and (2) the Union membership has ratified the full collective bargaining agreement.

<b>Dec. 1</b>	Promotion and tenure materials are sent to the Office of the Provost.
<b>Jan. 8</b>	University Promotion and Tenure recommendations are sent to Provost.
<b>On or before Jan 12</b>	Provost informs candidates.
<b>Jan. 26</b>	Provost sends positive recommendations to the President.
<b>Within ten working days of being informed of negative recommendation</b>	Candidates receiving negative recommendations may request reconsideration and submit new evidence so long as the additional material was dated November 15 or earlier.
<b>February/March Trustees Meeting</b>	The President reports positive recommendations to the Board of Trustees.

- 178
- 179 X.5. Process of Promotion and/or Tenure Evaluation
- 180 X.5.1. In evaluating a candidate for promotion and/or tenure, the policies, criteria, and
- 181 guidelines of the University, department, and division shall be followed, except as
- 182 modified by this Agreement.
- 183 X.5.2. Departmental Evaluation
- 184 X.5.2.1. Departmental governance must specify procedures for departmental tenure
- 185 and promotion recommendations and must include the following
- 186 information for tenure-track faculty promotion and tenure decisions:
- 187 X.5.2.1.1. Makeup of the departmental promotion and tenure committee(s)
- 188 (e.g., all faculty at a given rank vs. a subset)
- 189 X.5.2.1.2. Meeting/voting structure (e.g., one meeting vs. multiple meetings,
- 190 votes vs. consensus decision-making; if multiple meetings or votes,
- 191 then purpose of each)
- 192 X.5.2.1.3. If voting, vote requirement to recommend promotion and tenure
- 193 (e.g., simple majority vs two-thirds, how many committee
- 194 members need to be present to vote, whether votes need to be
- 195 synchronous and/or in person)
- 196 X.5.2.1.4. Specific criteria to be considered in evaluating research, teaching,
- 197 and service, made explicitly available to the candidate in
- 198 department governance and provided to the candidate at the time of

- 199 hire; clarification of whether works completed prior to arrival at  
 200 Miami in the current position count toward promotion and under  
 201 what circumstances.
- 202 X.5.2.1.5. Whether (and if so, what) relative weights/emphasis are given to  
 203 research, teaching, and service
- 204 X.5.2.1.6. Process for creating letter(s) to the dean from the department  
 205 chair/promotion and tenure committee/promotion and tenure  
 206 committee chair (e.g., one letter or separate letters, how each letter  
 207 is approved)
- 208 X.5.2.1.7. Process for soliciting external letters (e.g., who selects external  
 209 letter writers to contact, who contacts them by what date)
- 210 X.5.2.1.8. Process if chair's recommendation and committee's  
 211 recommendation differ (e.g., do they meet before passing along  
 212 recommendations to the dean, can decisions be changed).
- 213 X.5.2.1.9. Number of working days or deadline after which the faculty  
 214 candidate will receive by email: the final letter from the  
 215 department chair, the final letter from the promotion and tenure  
 216 committee, and all recommendation letters; and the process by  
 217 which the candidate can address errors of fact or omission.
- 218 X.5.2.2. The University is responsible for ensuring that the departmental  
 219 governance document, including evaluation criteria and process, is  
 220 available to the candidate and that the candidate is notified at the time of  
 221 hire about how to gain access to the document.
- 222 X.5.2.3. After receiving the positive or negative recommendation of the department  
 223 tenure or promotion committee, the department chair shall make a positive  
 224 or negative recommendation on the application to the divisional dean. The  
 225 department's recommendation to the dean may be a joint report of the  
 226 committee and the department chair or program director (when  
 227 appropriate). However, if the recommendations of the committee and the  
 228 department chair or program director (when appropriate) differ, both shall  
 229 be transmitted to the dean.
- 230 X.5.3. Divisional Evaluation
- 231 X.5.3.1. The faculty of each division must develop procedures for divisional  
 232 handling of tenure and promotion matters. The dean of the division is  
 233 responsible for making a positive or negative recommendation on each  
 234 application for tenure or promotion. If the dean's recommendation differs  
 235 from the department chair's, the program director's (when appropriate), or  
 236 the department committee's, the dean will discuss the case with the



237 department chair, the program director (when appropriate), or the  
 238 committee (as appropriate), prior to the University Promotion and Tenure  
 239 Committee meeting (for tenure-track or tenured faculty). Whatever the  
 240 dean recommends, the dossier is then forwarded to and evaluated by the  
 241 University Promotion & Tenure Committee along with the dean and  
 242 department recommendations.

#### 243 X.5.4. University Promotion and Tenure Committee Evaluation

244 X.5.4.1. The Committee shall consist of the Provost as chair, the deans of the six  
 245 (6) academic divisions, and six tenured bargaining unit members (one (1)  
 246 from each of the academic divisions) appointed by the Provost with the  
 247 President's approval. Members shall serve staggered three-year terms. The  
 248 Committee is charged with making promotion and tenure  
 249 recommendations to the Provost. These recommendations may relate to  
 250 University-wide promotion and tenure policies and procedures or to  
 251 individuals being recommended for promotion and/or for the conferral of  
 252 tenure. The Provost will appoint a representative from the Office of the  
 253 Provost to serve as secretary without vote.

254 X.5.4.2. Candidates who receive a positive recommendation from the University  
 255 Promotion and Tenure Committee are advanced to the Provost for  
 256 consideration. If a negative recommendation is made, a letter containing  
 257 comprehensive written justification must be provided to the candidate  
 258 within 10 business days.

#### 259 X.5.5. Provost, President, and Board of Trustees Evaluation

260 X.5.5.1. The Provost, President and Board of Trustees must base their promotion  
 261 and tenure decisions on criteria that follow the guidelines laid out in the  
 262 Contract and in University Senate-approved promotion and tenure  
 263 guidelines as affirmed by FAM AAUP-AFT. Candidates who receive a  
 264 positive recommendation from the University Promotion and Tenure  
 265 Committee shall be advanced to the Provost for consideration. Candidates  
 266 who receive a positive recommendation from the Provost shall be  
 267 advanced to the President for consideration. Candidates who have the  
 268 positive recommendation of the President shall be advanced to the Board  
 269 of Trustees. Except in rare instances and for compelling reasons which  
 270 should be stated in detail, the Provost, President and Board of Trustees  
 271 should not overturn positive recommendations made at previous stages.  
 272 Final action shall be taken by the Board of Trustees. If granted, tenure  
 273 and/or promotion is conferred effective the next July 1 and is not specific  
 274 to a given campus.

- 275 X.5.6. Notification of Recommendation by Any Individual or Committee
- 276 X.5.6.1. A candidate who receives a positive recommendation is notified as soon as
- 277 possible. Should a recommendation letter contain any errors of fact or
- 278 omission, the candidate may request amendments within ten (10) days of
- 279 receipt.
- 280 X.5.6.2. A candidate who receives a negative recommendation is notified in
- 281 writing as soon as possible with a Statement of Reasons for the negative
- 282 recommendation. This written Statement of Reasons, which becomes part
- 283 of the record, must be given no later than ten (10) working days from the
- 284 date the negative recommendation is made.
- 285 X.5.6.3. A candidate who receives a positive recommendation from the
- 286 Department or University Promotion & Tenure Committees, but is not
- 287 moved forward at any point in the process, must be given a written reason
- 288 for that decision.
- 289 X.5.7. Effect of Degree Completion on Promotion
- 290 X.5.7.1. In those cases where an individual's appointment letter offers a rank
- 291 contingent upon the completion of a degree, rank will be assigned as of the
- 292 first day of the first regular academic term following award of the degree
- 293 or the next July 1, whichever is earlier.
- 294 X.6. Reconsideration of Tenure and Promotion Decisions
- 295 X.6.1. Within ten (10) working days of receipt of the written Statement of Reasons, the
- 296 bargaining unit member may request, in writing, reconsideration by the individual
- 297 or committee that rendered the negative recommendation or decision.
- 298 Reconsideration shall be on the merits of the case and on any relevant additional
- 299 information.
- 300 X.6.2. The bargaining unit member may respond, in writing, to the written Statement of
- 301 Reasons prior to reconsideration. The bargaining unit member's response to the
- 302 written Statement of Reasons must be submitted no later than ten (10) working
- 303 days from the date of the request for reconsideration. Reconsideration by the
- 304 individual or committee shall be completed within ten (10) working days of the
- 305 receipt of the bargaining unit member's response or, if no written response is
- 306 given, within twenty (20) working days of the request for reconsideration.
- 307 X.6.3. The original application, written Statement of Reasons for the negative
- 308 recommendation or decision, request for reconsideration, bargaining unit
- 309 member's response to the written Statement of Reasons, and recommendation or
- 310 decision upon reconsideration, including the written Statement of Reasons, if any,
- 311 shall become part of the record.
- 312 X.6.4. Deadlines for Reconsideration

313 X.6.4.1. The deadlines specified in the Reconsideration section of this article may  
314 be extended by the Provost. Requests by or on behalf of the candidate for  
315 extensions in emergency situations shall not be unreasonably denied. The  
316 running of any time period specified in these procedures will be suspended  
317 during Thanksgiving Recess, Winter Recess, Spring Recess, and the  
318 interval between the end of final examinations for spring semester and the  
319 date on which faculty are required to report for the ensuing Fall Semester.

320 X.7. Appeal and Grievance of Promotion and Tenure Decisions

321 X.7.1. Candidates may appeal and/or grieve negative decisions on Promotion and/or  
322 Tenure as provided in Articles [Appealing a Denial of Tenure, Promotion, or  
323 Reappointment] and [Grievance and Arbitration]