

VII. Procedures for Granting Tenure and Promotion

These procedures draw on the principles, policies, and standards elsewhere in the *Faculty Manual*, especially in Sections 4.II, Faculty Staff Planning, 4.V, Tenure, and 4.VI, Faculty Evaluation and Review Procedures.

- A. Recommendation for tenure and/or promotion normally shall be initiated by the department chair, with the following exceptions. If the candidate holds a joint appointment, recommendation shall be initiated by the relevant department chairs jointly. If the candidate is a department chair, or in other unusual circumstances, recommendation will be initiated by the candidate's Associate Dean or a professor appointed by the Associate Dean. Faculty members at the associate rank may request a conversation regarding professional development with their chair(s), their Associate Dean(s) or the Dean of the College to explore the possibility of candidacy for advancement to Professor (See FM 4.VI.C.1.b). Depending on the outcome of that conversation, the chair, Associate Dean or Dean of the College may initiate a review of the candidate for promotion, or the parties can agree to revisit the professional development conversation at a later date.

- B. Before initiating a candidacy, a prospective initiator shall confer with the prospective candidate.

For all cases of promotion, the initiator(s) shall convene a meeting of the tenured and tenure-track members of the candidate's department(s) who possess a rank equal to or greater than the rank to be considered, after providing them with an updated curriculum vitae from the candidate, in order to discuss the advisability of proceeding with the candidacy. The initiator(s) shall provide a written summary of this discussion to the candidate, the candidate's associate dean(s) and the Dean of the College.

For all cases of tenure prior to the final year of the probationary period (Section 4.V.E), the initiator(s) shall convene a meeting of the tenured members of the candidate's department(s), after providing them with an updated curriculum vitae from the candidate, in order to discuss the advisability of proceeding with the candidacy. The initiator(s) shall provide a written summary of the discussion to the candidate, the candidate's associate dean(s), and the Dean of the College.

- C. With the consent of the candidate, the initiator(s) of the candidacy shall send written notification of the faculty member's candidacy to the Dean of the College by March 1. Under unusual circumstances, the Dean of the College may grant an extension.
- D. The initiator(s) of the candidacy shall be responsible for compiling the candidate's dossier, conferring regularly with the candidate about the progress of the compilation and the general nature of the material, while keeping the names of individuals who have contributed to the dossier and the precise nature of the contributions confidential. In the case of reconsideration at the same rank within three years, promotion to associate professor or professor within three years of the tenure decision, or tenure within three years of a promotion decision, the

new dossier may include documents from the previously-submitted dossier, selected in accordance with instructions provided by the Dean of the College. It is the responsibility of both the initiator(s) of the candidacy and the associate dean(s) to ensure that the dossier addresses all the categories and criteria comprising the Standards for Faculty Evaluations (Section 4.VI.A).

- E. The dossier shall contain only the documents described below. Tenured members of the candidate's department who also serve as peer reviewers of teaching may combine their statements in a single letter. However, the candidacy initiator shall write a separate statement of recommendation and rationale as described in 4.VII.E.12. If the Associate Dean is a member of the candidate's department, they shall also write a separate statement of recommendation and rationale as described in 4.VII.G. Except where otherwise provided below, the documents in the dossier are strictly confidential and, except when authorized by the Dean of the College, or in the event of an appeal by the candidate, the documents in the dossier shall be shared only with the initiator(s) of the candidacy, the candidate's associate dean(s), the Dean of the College, the members of the Tenure and Promotion Committee, the President, and the Board of Regents. The following documents shall be included in the dossier.
1. The department Statement on Significant Scholarly/Artistic Work or, in the case of a joint appointment, the joint statement of expectations for teaching, scholarly or artistic work, and service. If more than one statement has been in effect in the candidate's department during the period of time since the candidate was hired or previously reviewed for tenure or promotion, the candidate shall determine which version of the statement shall be included in the dossier.
 2. Any previous letters of guidance provided to the candidate for tenure at the conclusion of the candidate's comprehensive reappointment reviews, normally conducted near the end of the second and fourth probationary years (Section 4.III.K.2.j).
 3. The candidate's curriculum vitae. The curriculum vitae shall be prepared in accordance with instructions provided by the Dean of the College and is not confidential.
 4. A professional statement prepared by the candidate. The professional statement shall convey the candidate's analysis and appraisal of his or her professional development, distinctive accomplishments, and priorities for the future in relation to the Standards for Faculty Evaluation (Section 4.VI.A). The principal purpose of the candidate's statement is to provide an interpretive framework for the evaluation of the scope and significance of the candidate's work and his or her maturation as an instructor, scholar or artist, and colleague. The statement should illustrate the candidate's capacity for self-reflective practice, ongoing growth and development, and promise of sustained contributions. In the case of a candidate for tenure, the statement should also reference the written evaluation(s) provided to the candidate at the conclusion of the candidate's most recent comprehensive review. The statement shall be no longer than 3000 words.

5. Peer reviews of the candidate's teaching. Peer reviews of teaching shall be independently prepared by three faculty members: (1) a tenured member of the candidate's department(s) selected by the candidate, (2) one other tenured member of the candidate's department(s) selected by the tenured members, and (3) a tenured member of the St. Olaf faculty selected by the tenured members of the candidate's department(s) in consultation with the candidate. If there are not two tenured members of the department available to serve as peer reviewers, peer reviews may be prepared by tenured members of the candidate's Faculty or Faculties. In the case of a joint appointment, the initiators and the candidate shall confer in the selection of the peer reviewers to ensure that both of the candidate's departments contribute a review of the candidate's teaching. In the case of an interdisciplinary teaching assignment (identified as in Section 4.VII.F below), a designated reviewer of that assignment may be included among the peer reviewers, subject to conditions described in Section 4.VII.F below. The reviews shall address the candidate's contributions to student learning and development (Section 4.VI.B.1). Each review shall include evidence from a variety of sources, including an interview with the candidate about his or her teaching perspectives, practices and professional development, a sample of teaching materials prepared by the candidate, and at least two observations of the candidate's classroom and/or studio instruction.
6. Student and alumni reviews of the candidate's teaching and advising. The Dean of the College shall designate an administrative office to solicit a representative sample of student and alumni reviews of the candidate's teaching and advising. The reviews shall address the candidate's contributions to student learning and development (Section 4.VI.B.1). The procedures for soliciting and summarizing student and alumni reviews shall be designed to achieve validity, reliability, impartiality, and confidentiality in the results. The completed dossier shall include both the original individually-prepared reviews with identifying information removed, and summary information provided by the designated office.
7. In the case of an interdisciplinary teaching assignment (identified as in Section 4.VII.F below), a designated reviewer of that assignment may provide a statement appraising the quality of the candidate's teaching in that assignment, subject to conditions described in Section 4.III.K.3. Such a statement shall address the candidate's contributions to student learning and development (Section 4.VI.B.1). Such a designated reviewer shall have access to a sample of teaching materials compiled by the candidate, to the individually-completed student and alumni reviews of the candidate's teaching, and to quantitative summaries of these reviews (Section 4.VII.E.6) to inform that reviewer's appraisal.
8. External reviews of the candidate's scholarly or artistic work. Reviews of the candidate's scholarly or artistic work shall be provided by at least two, but no more than four, individuals external to St. Olaf College. The purpose of these reviews is to provide expert evaluation of the quality and significance of the candidate's scholarly or artistic work. Normally, at least one of these reviews shall be prepared by an individual with

little or no prior relationship with the candidate. After conferring with the candidate and the tenured members of the department(s), the initiator(s) of the candidacy shall provide to the Dean of the College an ordered list of recommended reviewers, including a rationale for each prospective reviewer and a description of his or her professional relationship, if any, to the candidate. The dean shall request from each reviewer a written evaluation of the candidate's scholarly or artistic work in relation to the criteria for contributions to one's disciplinary and/or interdisciplinary field(s) (Section 4.VI.B.2) and in light of the relevant department Statement(s) on Significant Scholarly/Artistic Work. Prospective reviewers shall be provided with the candidate's curriculum vitae, a portfolio of the candidate's scholarly or artistic work prepared by the candidate in accordance with instructions provided by the Dean of the College, the Standards for Faculty Evaluation (Section 4. VI), the department Statement on Significant Scholarly/Artistic Work, or in the case of a joint appointment, the portion of the joint statement of expectations (Section 4.III.I.1.c.) germane to scholarly or artistic work.

9. Review of the candidate's contributions to the organizational effectiveness and community life of the college (Section 4.VI.B.3.b). For tenure reviews, statements shall be provided by three colleagues at St. Olaf College from outside the candidate's department(s) selected by the candidate and solicited by the initiator(s) of the candidacy. For other promotion reviews, one statement shall be provided by a colleague at St. Olaf College from outside the candidate's department(s) selected by the candidate and solicited by the initiator(s) of the candidacy. None of the colleagues preparing these statements shall be asked to serve simultaneously as a peer reviewer of the candidate's teaching. However, these statements may address the candidate's contributions to student learning and development and to the candidate's disciplinary or interdisciplinary field(s) if the additional information is likely to enhance the evidence provided elsewhere in the dossier.
10. Reviews of the candidate's administrative work, if applicable. If a candidate is being evaluated under Section 4.VI.B.3.c, reviews of the candidate's administrative work in relation to the criteria listed therein shall be prepared by: (1) the candidate's supervisor, (2) no more than three constituents of the candidate's administrative unit selected by the candidate and supervisor in consultation with one another, and (3) one other faculty colleague with comparable administrative experience, selected by the candidate.
11. Statements of recommendation and rationale prepared by the tenured members of the candidate's department(s). Each tenured member of the candidate's department(s) shall prepare a confidential statement that makes a specific recommendation as to whether tenure or promotion should be granted, and that provides a rationale in support of the recommendation. The rationale shall address each of the categories for faculty evaluation in (Section 4.VI.B), the department Statement(s) on Significant Scholarly/Artistic Work, and, in the case of a joint appointment, the candidate's joint statement of expectations, and shall include specific evidence. In the case of an interdisciplinary teaching

assignment (identified as in Section 4.VII.F below), a tenured department member may also serve as a designated reviewer of the quality of the candidate's teaching in that assignment, subject to conditions described in Section 4.VII.F below. In that case, that department member's statement shall address the candidate's contributions to student learning and development (Section 4.VI.B.1) in that assignment. In preparing their statements, the tenured members shall have access to the candidate's curriculum vitae; professional statement; samples of scholarly or artistic work compiled by the candidate; the department Statement(s) of Significant Scholarly/Artistic Work, and, in the case of a joint appointment, the candidate's joint statement of expectations; a sample of teaching materials compiled by the candidate; the individually-completed student and alumni reviews of the candidate's teaching; and quantitative summaries of these reviews (Section 4.VII.E.6). All tenured members of the candidate's department(s) including those on sabbatical or other leave shall prepare a statement except in the case of a conflict of interest. In such a case, the initiator of the candidacy shall enter a statement in the dossier explaining the nature of the conflict of interest in lieu of the statement from the tenured member.

12. Statement(s) of recommendation and rationale prepared by the initiator(s) of the candidacy. The statement(s) shall make a specific recommendation as to whether tenure or promotion should be granted and support the recommendation with a rationale that synthesizes the evidence in the dossier in relation to each of the categories and criteria for faculty evaluation (Section 4.VI.B). The rationale shall also consider the evidence in the dossier in relation to the department Statement on Significant Scholarly/Artistic Work and, in the case of a joint appointment, the joint statement of expectations for teaching, scholarly or artistic work, and service. The rationale shall specify the number of tenured members of the department whose statements recommend granting tenure or promotion and the number whose statements recommend against such action. The rationale shall also reference the opinions of all non-tenured members of the candidate's department who are full-time during the year of the review, and who have completed at least two years of full-time service at the college prior to the year of the review. The years of service need not have been consecutive, but they must have occurred during the candidate's years of service. In the case of an interdisciplinary teaching assignment (identified as in Section 4.VII.F below), the rationale shall reference appraisals of that candidate's teaching in that assignment, if warranted under conditions described in Section 4.VII.F below. In the case of a joint appointment, the initiators may prepare independent statements.
- F. If a candidate's work includes an interdisciplinary teaching assignment, that candidate and that candidate's chair(s) and associate dean(s) shall jointly negotiate the inclusion of that assignment in a tenure and/or promotion review as described in Section 4.VII.E above. Any of those persons may initiate such a negotiation before the review process. An interdisciplinary teaching assignment *may* have a role in a review if that assignment

constitutes one fifth of a candidate's total teaching load during the period under review and *must* have a role if that assignment constitutes at least one half of that teaching load over the period covered by the review. The candidate and that candidate's chair(s) and associate dean(s) shall negotiate details such as which assignments shall be considered interdisciplinary teaching assignments, the extent of those assignments as a proportion of the total teaching load, and which role(s) those assignments may take in that review among those identified in Section 4.VII.E above, and shall determine any designated reviewer(s) for those role(s) in consultation with the leadership of that interdisciplinary teaching assignment, according to the particular circumstances of the case. If those negotiations cannot reach an agreement, the Provost or a designee of the Provost shall serve as arbiter.

- G. The completed dossier shall be forwarded to the appropriate associate dean(s) on or before December 1. At the discretion of the Dean of the College, the deadline may be extended. The associate dean(s) shall prepare a statement of recommendation and rationale to accompany the dossier. The statement(s) must make a specific recommendation as to whether tenure and/or promotion should be granted, and support the recommendation with a rationale that explains the significance of the candidate's professional development, distinctive accomplishments and priorities for the future in relation to the needs and goals of the candidate's Faculty or Faculties. The rationale shall address the categories for faculty evaluation (Section 4.VI.B), but need not constitute an independent summary of the contents of the dossier. The associate dean(s) shall forward the completed dossier, together with his or her statement(s) of recommendation and rationale, to the Dean of the College. The statement(s) of the associate dean(s) shall be shared only with the Dean of the College, the members of the Tenure and Promotion Committee, the President, and Board of Regents.
- H. Normally, the appropriate associate dean shall confer with a candidate for tenure and/or promotion on or before December 10 in anticipation of the candidate's interview with the Tenure and Promotion Committee. One week prior to this conference, the office of the Dean of the College will supply the candidate with de-identified student and alumni reviews of their teaching and advising. During this conference, the associate dean shall inform the candidate, in a general way, of the contents of the dossier, keeping the names of individuals who have contributed to the dossier and the precise nature of the contribution confidential. In the case of a joint appointment, the relevant associate deans shall confer with the candidate jointly.
- I. The Dean of the College shall provide to the Tenure and Promotion Committee on or before December 15 a list of all current candidates for tenure and/or promotion. At the discretion of the Dean of the College, the deadline may be extended.
- J. The Dean of the College shall interview each candidate for tenure and/or promotion.
- K. The Tenure and Promotion Committee shall review candidates for tenure and/or promotion in relation to the Standards for Faculty Evaluation and Categories and Criteria for Faculty Evaluation (Section 4.VI.A&B).

1. The committee shall receive from the Dean of the College the full dossiers of all candidates and the statement(s) of recommendation and rationale prepared by the associate dean(s). The committee shall also have access to each candidate's portfolio of scholarly or artistic work prepared in accordance with instructions provided by the Provost and Dean of the College.
 2. The committee shall discuss each candidate with the candidate's associate dean(s).
 3. The committee shall discuss each candidate with the initiator(s) of the candidacy.
 4. The committee shall interview each candidate.
 5. The committee shall discuss each candidate with the Dean of the College.
 6. For each of the candidates, the committee shall prepare a written recommendation to the Dean of the College as to whether tenure or promotion should be granted. The committee's recommendation shall include a summary of the committee's deliberations in relation to each of the categories for faculty evaluation (Section 4.VI.B), and a numerical summary of the committee's vote.
 7. If the committee intends to make a recommendation to the Dean of the College that is at variance with the recommendation on a candidate by the initiator(s) of the candidacy or the Associate Dean(s), the committee shall confer with such persons individually before it makes its final recommendation to the Dean.
- L. After reviewing the committee's recommendations, the Dean of the College shall prepare a written recommendation to the president as to whether tenure or promotion should be granted to each candidate. The Dean shall forward his or her recommendations, together with the recommendations of the committee to the President.
- M. The President shall review the recommendations of the committee and of the Dean of the College. If the President intends to make recommendations or decisions at variance with the committee's recommendations, the President shall notify the committee.
- N. The President shall provide to the Board of Regents the names of those candidates to whom the President recommends that tenure be granted. Final tenure decisions shall be made by the Board of Regents.
- O. Subsequent to the decisions of the Board concerning tenure, and of the President concerning promotion, the Dean of the College shall meet with each candidate to inform the candidate of the outcome of the review process, and to provide an overall assessment of the candidate's professional development, distinctive accomplishments, and priorities for the future. Normally, this meeting shall occur within one week of the Board or President's final decision, and shall precede any public announcement of the names of faculty members receiving tenure and/or promotion.
- P. The President shall notify each candidate in writing of the decision to grant tenure and/or promotion.
- Q. Normally, the names of faculty members receiving tenure and/or promotion shall be announced within one week after the decisions of the Board of Regents and of the President.