

Clark Atlanta University



Excerpt from
Faculty Handbook

**The Clark Atlanta University
Faculty Handbook**

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EVALUATION OF FACULTY

The evaluation process at Clark Atlanta University is a means by which members of the teaching faculty can obtain constructive and balanced information which will enable them to better fulfill their academic responsibilities.

Members of the teaching faculty receive regular evaluation of the performance of their faculty assignments and have the responsibility to report on progress made in their program of professional development. Department Chairs are responsible for helping each faculty member in the respective departments develop an appropriate professional development plan. While the University endorses Teaching, Service and Research missions, the respective Department Chairs and Deans, in consultation with the faculty, will determine an appropriate evaluative weighing for these areas for each of their faculty. However, the evaluative weight given to each of these responsibilities (Teaching, Service, Research) may not be greater than 50% or less than 15% of the total evaluative points for each faculty.

Annually, Program Directors and/or Department Chairs are expected to have at least one formal evaluation interview with each member of their department. The evaluation must be signed by both the Department Chair and the faculty member. The signatures of the faculty member indicates that the evaluation has been read. Neither agreement nor disagreement is inferred by the signature of the faculty member. Written statements of disagreement must be submitted within fifteen (15) working days from the date of the evaluation. The School Dean will be responsible for overseeing the evaluation process and ensuring that such are included in the appropriate files.

Formal evaluations by the School Committee on Promotion and Tenure are carried out during the third full-time appointment year, before promotion in rank, and before the granting of tenure. Processes for these formal evaluations are detailed in 2.6 and 2.7.

The Department Chair or appropriate School administrator, after a senior faculty evaluation, will give the faculty member reviewed a written notification of the findings and recommendations for future development and to be included in future development plans for the faculty.

2.5.1

Teaching and Advising, Service, Scholarship, Research or Creative Work

The responsibilities of each faculty member are teaching, advising students, providing service to the various communities, and engaging in scholarship or creative research activities. All faculty members are expected to demonstrate excellence in the area of responsibility.

At the beginning of each semester, faculty members must submit to their Department Chair a syllabus for each assigned class. These are to be kept on file and used in the evaluation process.

2.5.1.1 Teaching Effectiveness

The ordinary, full-time ranked teaching experience required for each rank is described in Section 2.1.2.

Clark Atlanta University recognizes that excellence in teaching is one of the most important attributes of a faculty member. Since many characteristics contribute to teaching effectiveness, documentation should demonstrate, but not necessarily be limited to, the following:

- a. command of one's subject;
- b. knowledge of the relationship of one's discipline to the liberal arts tradition;
- c. knowledge of current developments in one's discipline and pedagogy;
- d. ability to relate one's subject to other areas of knowledge;
- e. skill in communicating with students;
- f. ability to plan and execute a substantive, well-organized course;
- g. ability to stimulate and broaden student interest in the subject matter;
- h. capacity to challenge students -- for example, motivates independent work;
- i. ability to utilize effective teaching methods and strategies;
- j. possession of the attributes of integrity, open-mindedness and objectivity in teaching;

Teaching effectiveness should be assessed by evidence generated by the following procedures or activities:

- a. self evaluation;
- b. evaluations by Chair or Program Director;
- c. peer evaluations;
- d. student evaluations;
- e. a review of course syllabi by peers inside or outside the University;
- f. further course work or other continuing education in one's field; and
- g. participation in seminars and/or workshops on teaching skills.

2.5.1.2 Advising

Faculty members have an obligation to advise students in their classes about class work and to serve as departmental advisors for students majoring in their discipline. Faculty members are responsible for acting as initial advisors to the students in their courses; for guiding them in the election of appropriate courses of study; and for aiding them in the

selection of appropriate departmental advisors. Characteristics which contribute to good advising include, but are not limited to, the following:

- a. ability to communicate with students;
- b. ability to help students select a course of study appropriate to their interests and abilities and to the aims of a liberal education; and
- c. ability to assist students in academic planning (fulfilling all requirements for their degrees or certification of outside agencies).

Effectiveness in advising should be assessed from evidence generated by the following procedures or activities:

- a. self evaluation;
- b. evaluation of Chair or Program Director;
- c. peer evaluations;
- d. student evaluations, and;
- e. participation in workshops or seminars designed to improve advising skills.

2.5.2 Scholarship, Research or Creative Work

Effective teaching necessitates active involvement in intellectual and scholarly developments in a discipline. Because what is considered appropriate research or scholarship may vary from discipline to discipline, scholarship or research, performance or creative work should be evaluated in terms of its quality, for example: its level of recognition among peers, and its significance to the particular discipline. Scholarly activity may include, but not necessarily be limited to, the following:

- a. sustained inquiry in an area of one's discipline;
- b. scholarly productivity demonstrated by publications, or where appropriate, artistic works and performances;
- c. application or nomination for research grants and projects;
- d. presentation of research findings at professional meetings;
- e. willingness to share expertise with the school and/or University community.

Excellence in scholarship should be assessed by evidence generated by the following types of procedures and activities:

- a. documented, self-report of activities;

- b. evaluation or statements by professional peers;
- c. juried publications;
- d. citation of research in other works;
- e. award or grants, prizes, or commendations;
- f. demonstrated skill methods or scholarship associated with one's discipline.

2.5.3 Service to the University

Clark Atlanta University must depend upon its faculty for services rendered outside the classroom. Therefore, a faculty member may reasonably be expected to participate in the operational concerns of the institution. Such participation may include, but not necessarily be limited to, the following:

- a. service on departmental committees, attendance at departmental meetings, and participation in the decision-making and curriculum development processes;
- b. effective participation on University committees;
- c. leadership in some area of University life, governance, faculty development, or curriculum design;
- d. service as chair of a department or a committee or a director of a program;
- e. acting as a representative of the University to the larger regional, national or international community;

Demonstration of service activities should include, but not necessarily be limited to the following types of evidence:

- a. self-report of activities;
- b. Chair/Program Director, ratings;
- c. committee or committee chairperson ratings, or ratings by the supervisor of an activity (e.g., a report from the Director of Admissions, or Vice President of Development).

2.5.4 Service to the Profession

All faculty members have an obligation to maintain a high level of professional competence and to keep abreast of developments in their field. Faculty members are encouraged to support and be active in appropriate professional organizations. Service activities in support of the profession include, but are not necessarily limited to:

- a. appointment in a scholarly capacity to a state or national post;
- b. participation in professional organizations (e.g., attendance at annual meetings);
- c. a leadership position in professional organizations;
- d. reading papers (other than research) before learned societies;
- e. service in the individual's professional area as a consultant or resource person;
- f. review of creative work.

Demonstration of service to the profession should include, but not necessarily be limited to, the following types of evidence:

- a. documented self-report of activities;
- b. evaluation or statements of professional peers;
- c. published citations or acknowledgements of contributions.

2.5.5 Service to the Student Body

In addition to their responsibilities for advising, faculty members are also expected to serve the student body in other ways when appropriate. Such other service to the student body may include, but not necessarily be limited to the following:

- a. service as advisor to a student organization;
- b. service as a moderator of student activities;
- c. planning and/or participation in extracurricular student activities;
- d. planning and/or participating in curriculum related enrichment activities outside normal course offerings.

Demonstration of appropriate service to the Student Body may include, but not necessarily be limited to, the following types of evidence:

- a. self-report of activities, adequately documented and, where not self-evident, of time spent;
- b. supervisor ratings;
- c. peer ratings; and
- d. student ratings.

2.5.6 Service to the Community

A faculty member may provide service to the community by working with people and/or organizations which are not in his/her professional field. Such service may include, but not necessarily be limited to, any of the following:

- a. lectures to nonprofessional community groups;
- c. a leadership position in political, church, or community activities;
- d. participation in nonprofit organizations designed to serve the general public; and
- e. service to community groups in a professional capacity;

Sources of documentation include, but are not necessarily limited to, the following:

- a. self-report of activities, adequately documented and, where not self-evident, of time spent;
- b. awards; and
- c. testimony by leaders of community groups.

2.5.7 Professional Development

The University is committed to assisting faculty in pursuit of individual and professional enhancement. To support the teaching, scholarship and research, and service interests and expectations of the faculty, the University embraces initiatives and programs to facilitate this development. To this end, the primary objectives of professional development are: (1) to improve and strengthen, on an ongoing basis, academic instruction and research initiatives through the recruitment, retention and development of a core of faculty within all academic areas; (2) to make available, annually, to members of the faculty, advanced study and other professional development opportunities to enable them to remain at the forefront of new information, innovative changes and technologies in their discipline; (3) to develop and refine continuously teaching and instructional skills that respond to the global nature and diversity of the institutional body; and (4) to support, a range of grantsmanship activity, forums and symposiums within which faculty have the opportunity to engage in intellectual exchanges and scholarly initiatives with their peers.

The individual Program of Professional Development is important in the overall evaluation process. In order to make a plan of program development, faculty members must know the long- and short-range curricular plans of the University.

The School Dean, in consultation with the Department Chairs, shall lead the School faculty in academic and curricular planning and make known to departments and individual faculty members duly established long- and short-range educational goals and the curriculum that will enable them to meet these goals for their departments. This

planning will be done in cooperation with the Dean and other members of the faculty within the department.

Each nontenured ranked faculty member is expected to plan a program of professional development. This program should be in accord with his or her personal abilities and needs to take into account both the University's and the Department's long- and short-term goals. It should be developed in consultation with, and be submitted in writing to, the Departmental Chair and reviewed on or before October 15 on an annual basis. It should be a long-term plan but should also include an intermediate objective to be achieved before promotion to the rank of Associate Professor or before the granting of tenure. This program must be maintained on file with the School Dean and should be reviewed annually and revised when necessary.

Senior Faculty after attaining tenure should develop a similar plan leading to promotion, future sabbatical leaves and general career development. It should be developed in consultation with, and be submitted in writing to, the Departmental Chair and reviewed on or before October 15 on an annual basis. This plan should also be on file in the School Dean's Office and will form a major part of the formative evaluation promotion or sabbatical approval.

2.6

PROMOTION POLICIES AND PROCEDURES

Clark Atlanta University seeks to sustain and improve its academic stature. Maintaining and improving the quality of the faculty is a primary means of achieving these ends. Promotion in academic rank is a means by which the University encourages, recognizes, and rewards faculty members for excellence in the performance of their duties.

Departmental Committees - Each Department or Program is expected to develop procedures that are appropriate for its size and situation. The request for promotion and/or tenure consideration may be initiated by the Dean, the Chair, by a faculty member on behalf of another faculty member or by the candidate. The faculty of a given Department or Program may vote to dispense with a Departmental Committee and have the Chair make the decision which then is forwarded to the School Committee. All Departments or Programs must submit to the School Committee a written statement of their policies and procedures for Departmental or Program Evaluation. The School Committee determines whether the statement and practice of the Department or Program conforms to all requirements of the University as well as the School.

The Department or Program Chair submits the request with his/her recommendation, supporting documentation, and the result of the Department's faculty deliberations as specified by procedures which have been approved by the appropriate Dean to the School Committee on Promotion and Tenure. The Chair must inform the candidate, in writing, of the Chair's recommendation.

Schools without Departmental Structure - The request for promotion and/or tenure consideration shall be initiated by the Dean or by a faculty member on behalf of himself/herself or another faculty member. The request, with supporting documentation, is submitted to the School Committee on Promotion and Tenure.

School Committees -The faculty of each School must elect a Schoolwide Committee. This Committee shall consist of an odd number of tenured faculty and shall have at least three and not more than seven members. If a School has fewer than three tenured faculty, one or two nontenured faculty may also be elected to the Committee. Each School Committee member is elected for a period of two years, and the membership terms are on a rotating basis so that veterans predominate in any given year. An elected member on any School Committee may succeed himself in office. When a member is elected to fill an interim vacancy caused by resignation, a new election shall be held at the end of the interim period. A member may be removed from office only by a majority vote of the faculty who elected that member.

Before reviewing applications in a given year, each School Committee shall establish or review its internal procedures and criteria to ascertain whether they conform first to University policy, and then to any directives of the faculty which elected the Committee. A written statement of these procedures should be available upon the request of any member of the faculty. Before reviewing applications in a given year, the Committee shall seek discussion with the Dean regarding the status of tenure and promotion issues.

The School Committee shall have available to it all data concerning the candidates, and these materials shall be subject to open discussions by the Committee. The Committee, at its discretion, may receive comments from persons within the University not serving on the Committee. Deliberations of the Committee are not adjudications; they are not open to the public, nor is their content public information, except as specified in the Faculty Handbook. The Committee Chair shall record the vote tally for each application and shall transmit it with the appropriate comments to the Dean. The Committee's recommendations are a part of the faculty member's record, and are included in the subsequent notice which the Dean sends in writing to the candidate. The record of the Committee's vote on each application is transmitted to the Dean and the candidate, and is a part of the records of the Committee, and the individual records of the candidates. The report to the Dean contains two distinct parts, a report on each candidate and a summary of the School Committee's report. The report on each candidate contains:

- (a) a majority statement explaining the Committee's decisions;
- (b) any minority statement which any member may wish to append;
- (c) a copy of all materials used in the evaluation; and
- (d) a tally of vote.

The summary of the School Committee's report contains:

- (a) a tally of all votes for or against promotion or tenure of all candidates;
- (b) a tally of the number of applications, number of approvals; and

- (c) a summary statement of the general status, problems and progress of the School.

The tally and the composition of the Committee shall be sealed and stored in the Office of the Provost.

School Dean -The appropriate Dean shall review all information on each candidate and shall decide, based on objective standards, whether the Dean considers it to be in the best interest of the School to support a recommendation for promotion or tenure. A written report of the recommendation is forwarded to the Provost. A copy of this report is also forwarded to the candidate.

University Committee on Promotion and Tenure

This Committee is composed of the Chairs of each School Committee and convenes to consider appeals on matters involving promotion and tenure as indicated elsewhere in the Faculty Handbook. It reports its findings to the Provost and the candidate.

The Provost/Vice President for Academic Affairs

As the Chief Academic Officer, the Provost/Vice President for Academic Affairs reviews all recommendations for promotion and tenure and makes recommendations to the President. The Provost notifies the candidate after a decision has been reached.

The President

The President has the authority to approve applications for promotion; he makes recommendations to the Board of Trustees for tenured appointments.

The Board of Trustees

The Board of Trustees takes action on all recommended tenure applications. Granting of tenure requires an affirmative action of the Board.

2.6.1

Eligibility for Promotion

Faculty are promoted on the basis of the fulfillment of their qualifications discussed in this section, in Section 2.5, "Evaluation Criteria for Faculty" and in Section 2.1, "Definition of Academic Ranks."

In addition to the general requirements, promotion to the rank of Professor requires:

- a. evidence of outstanding teaching effectiveness;
- b. evidence of outstanding service to the community and previous academic institutions;

- c. evidence of noteworthy research, creative works or professional activities.

Although a Department Chair, the Dean of the School or the Committee on Promotion and Tenure may recognize superior service by recommending advancement in rank, and the University may concur by offering advancement in rank, individual faculty members ordinarily may not apply for advancement until the minimum length of time in current rank has been completed (Section 2.1.2). Sabbatical leave and leave with pay will count in the satisfaction of years in rank toward promotion, leave without pay may or may not count toward promotion (see Section 2.13). Faculty members must receive tenure to be eligible for promotion to the rank of Professor.

2.6.2 Procedures for Promotion Review

The initial responsibility of applying for advancement in the rank and the burden of proof for the advancement rests with the individual faculty member. Faculty members who wish to apply for promotion in rank must inform the School Committee on Promotion and Tenure of their intentions on or before September 15 of the academic year in which they wish to be reviewed.

The School Committee on Promotion and Tenure shall conduct a formal review of all faculty members who wish to apply for promotion in rank. During the first week in October the Chair of the School Committee on Promotion and Tenure will notify all candidates who are scheduled for promotion review of their responsibility for compiling a review file and of the appropriate deadline. The Provost's Office provides each Dean and Department Chair with timelines for promotion and tenure action and decision each May. Such information will be distributed to the departmental faculty on receipt from the Provost to the respective Department Chair or Dean.

2.6.2.1 Promotion Review Files

The evaluations of the School Committee on Promotion and Tenure will be based on evidence contained in the promotion review file or, in the case of those also being reviewed for tenure, the tenure review file prepared by the faculty member.

This file shall contain a current curriculum vitae, evidence of teaching excellence (including student evaluations, both raw data and summaries), the Professional Development Plan (see Section 2.5.7), letters of recommendation and other evidence that the candidate has met the various criteria (Sections 2.1 and 2.5) necessary for the promotion being requested. It is the responsibility of the faculty member to make sure that his or her review file is complete for this formal evaluation. No material may be placed in the file without the faculty member's knowledge, indicated by his or her signature or initials on each document. When requesting information from an external reviewer or expert, the reviewer or expert shall be informed that the individual faculty member shall have access to such information.

The School Committee on Promotion and Tenure also has the right to consult experts, either from within or outside of the University, for information which might aid them in their evaluation.

At no time will the material in the review file be available to anyone other than the Departmental Committee, except, if applicable, the School Committee on Promotion and Tenure, appropriate review committees as specified in The Faculty Handbook, the Provost, the President and the candidate (see Section 2.7.3.1).

2.6.2.2 Evaluation by Chair/Dean

Applications for advancement in rank must be accompanied by a recommendation from the appropriate department/division Chair(s). In the case where a Division/Department Chair is applying for promotion, the application may be supported by the Dean. These evaluations should specifically address the degree to which the candidate meets or fails to meet the appropriate criteria (Sections 2.5, 2.1).

2.6.2.3 Action on Promotion

Steps for action to review application materials for promotion shall follow the stated process:

1. The respective departmental committee reviews the application materials for promotion and forwards its evaluation to the Department Chair. With regard to Schools without departmental structures, the initial reviews (steps 1 & 2) will be made according to the structure established by that School or, in cases where a modified process (steps 1 & 2) has not been outlined, then the initial review will commence at the level of the School Committee for Promotion and Tenure.
2. Upon review of the applicant's promotion materials, the evaluation of the Department Chair is forwarded to the respective School Committee for Promotion and Tenure.
3. The respective School Committee on Promotion and Tenure reviews the application materials for promotion and forwards its evaluation to the Dean of the respective School.
4. The Dean of the School reviews the application materials and forwards all of the materials and these recommendations along with his/her recommendation to the Provost/Vice President for Academic Affairs.
5. The Provost/Vice President for Academic Affairs reviews the promotion application materials and forwards all of the evaluative recommendations along with his/her recommendation to the President. Based on a review of the recommendations and the criteria for promotion as outlined in Sections 2.5.1 through 2.5.7, the Provost will notify the unsuccessful applicant and will also indicate areas that need improvement prior to subsequent reviews. At this point, the applicant may choose to file an appeal in accordance with the grievance process outlined in Section 2.16 if there is a substantive or procedural reason or justification as determined by that section.

In addition, should the Dean turn down a promotion application, the faculty member may file an appeal on inadequate consideration to the Provost. The Provost will convene an advisory Universitywide Committee on Promotion and Tenure which consists of the Chairs of the respective School Committee on Promotion and Tenure. The Chair from the School of the faculty member appealing will be excused from the advisory review.

Insofar as the faculty member alleges that the decision against renewal by the appropriate faculty body was based on inadequate consideration, the committee which reviews the faculty member's allegations will determine whether the decision was the result of adequate consideration in terms of the relevant standards of the University. The Committee will not substitute its judgment on the merits for that of the reviewees. If the Review Committee believes that adequate consideration was not given to the faculty member's qualifications and University need, it will request reconsideration by the appropriate reviewees, indicating the respects in which it believes the consideration may have been inadequate. It will provide copies of its findings to the faculty member, reviewees, the Provost and other appropriate administrative officers. The Provost will oversee the reconsideration process and upon completion forward the action to the President.

6. The President forwards a recommendation to the Academic Affairs Committee of the Board of Trustees for its decision. Following the action of the Academic Affairs Committee, the Committee Chair reports the decision to the Board. The President, as soon as possible, will notify the successful applicant.
7. It shall be the responsibility of the respective School Dean to meet with the candidate to communicate the summary reports and/or recommendations forwarded by the appropriate review body.

When an application for promotion is approved, the promotion in rank will take effect with the beginning of the next contract period.

2.6.2.4 Appeals

Depending on the structure of the School, if any two of the following (department level committee, chair or school committee) reject an application, the process stops at the point of the Dean's recommendation, subject to the appeal in five (5) above.

2.7 TENURE POLICY AND PROCEDURES

Institutions of higher education are conducted for the common good, which depends upon the free search for truth and its free exposition by teachers and scholars. The University recognizes the value of tenure as promoting not only academic freedom, but also the stability as a community of teachers and scholars dedicated to these ideals.

Tenure may be granted on appointment to a faculty member who has been tenured or has held equivalent faculty status elsewhere. Ordinarily, however, tenure is granted after a probationary period at Clark Atlanta University.

Tenure is granted by the Board of Trustees on the recommendation of the President, who is guided by the judgment of the School Committee on Tenure and Promotion, the Dean, and Provost. In addition to the qualifications of the candidate for tenure, other considerations which enter into an individual decision to confer tenure include particular needs within a department and the financial resources of the University. A decision not to grant tenure, therefore, does not necessarily reflect an unfavorable judgment of the candidate for tenure.

Types of contracts and appointments are defined in 2.1 and 2.2 and should be read in conjunction with this section; see also Section 2.5, "Evaluation of Faculty."

2.7.1 Definition of Probationary and Tenured Status

The probationary/notice contract status gives individuals time to demonstrate their ability and also gives the University time to observe and evaluate them on the basis of their performance in faculty position. During this period, a faculty member has the same academic freedom as a tenured faculty member, and nonreappointment (see Section 2.8.3) cannot be based on reasons which involve a violation of academic freedom. Nonreappointment, termination, dismissal, or suspension of a probationary faculty member can occur only in accordance with the provisions of Section 2.8 and 2.16 of this ***Handbook***. Faculty members holding probationary appointments are evaluated for reappointment or nonreappointment consistent with the terms of appointment by the School Dean. The Dean will consult with the division/department chair in the evaluation of the faculty.

Conferral of tenure means that a faculty member with the rank of Associate Professor or higher is entitled to annual contract renewal by Clark Atlanta University until retirement or resignation as defined in Sections 2.8.1 and 2.8.2 unless there is proof of adequate cause (see Section 2.8.6, "Dismissal for Cause"), prolonged mental or physical illness (see Section 2.8.4), financial or enrollment emergency (as defined in Sections 2.8.5.2 and 2.8.5.3) or changes in the educational program (as defined in Section 2.8.5.1).

After retirement, appointments to the faculty are on a term contract basis and are mutually agreed upon by the individual faculty member, the School Dean after consultation with the department or division of appointment, and with the approval of the Provost.

2.7.2 Eligibility for Tenure

Beginning with a full-time faculty appointment at the rank of Instructor or a higher rank, the probationary period shall ordinarily not exceed seven full-time academic years of service at Clark Atlanta University. At the discretion of the faculty member, the Department/Division Chair and the School Dean, the School Dean may include within this period full-time service in all regionally accredited colleges and universities. Clark

Atlanta University, however, will normally require not less than three nor more than four years of full-time, ranked service even though the faculty member's total probationary period in the academic progression is thereby extended beyond the normal maximum of seven years. The precise terms of any credit given for previous teaching experience and the length of the probationary period to be fulfilled at Clark Atlanta University shall be stated in writing at the time of the initial appointment and shall be incorporated into the initial letter of appointment and in the contract.

A leave with pay (as defined in Section 2.13.1) for less than an academic year will count toward promotion and/or tenure. A leave without pay (as defined in Section 2.13.6) for one academic year or more will not count toward promotion or tenure unless the faculty member and Clark Atlanta University agree in writing to the contrary at the time the leave is granted.

Since the actual conferral of tenure is an affirmative act by the Board of Trustees, the individual must formally request tenure during the sixth year of probationary status or its equivalent as defined in the Faculty Handbook. This request for tenure is ordinarily made upon notification by the School Dean of the faculty member's eligibility for tenure. If the Dean fails to give timely notice, it is the faculty member's duty to bring such failure to the attention of the School Dean. Upon the recommendation of the Dean, the University may recognize superior service by offering an early opportunity to apply for tenure.

2.7.3 Procedure for Third-Year and Tenure Review

It is the responsibility of the School Committee on Tenure and Promotion to conduct a formal review of all faculty members in their third and sixth year of full-time teaching for the University. The Provost's Office provides each Dean and Departmental Chair with timelines for promotion and tenure action and decisions each May. Such information will be distributed to the departmental faculty.

The School Dean will at the end of the first semester prepare a list of all faculty members who will be in their third or sixth year of full-time teaching during the next academic year. This list is to be sent to all current faculty of the School. Any faculty member who believes that he or she has been improperly omitted from the list of faculty scheduled for review should make this known to the School Dean. In the event that the Dean and the faculty member cannot reach a mutually satisfactory agreement, the School Dean in consultation with the School Committee on Tenure and Promotion will decide whether or not the faculty member in question is eligible for review.

In the May preceding the review year, the School Dean will notify all candidates who are scheduled for third- or sixth-year reviews of their responsibility for compiling a review file and of the appropriate deadlines for the completion of their portion of the review files.

2.7.3.1 Third-Year and Tenure Review Files

The evaluation of faculty members for third-year and sixth-year reviews by the School Committee on Tenure and Promotion will be based on the evidence contained in the tenure review file of the faculty member. This file will consist of two parts: the file prepared by the faculty member and the file containing material solicited by the School Committee on Tenure and Promotion.

a. The File Prepared by the Faculty Member

This file should contain a current curriculum vitae, evidence of teaching excellence (including student evaluations, both raw data and summaries) the individual program of professional development, letters of recommendation and other evidence that the candidate has adequately met the various criteria (Sections 2.5.1 through 2.5.7) necessary for the third-year review or the awarding of tenure. No material may be placed in this file without the faculty member's knowledge, indicated by his or her signature or initials on each document. When requesting information from an external reviewer or expert, the reviewer or expert shall be informed that the individual faculty member shall have access to such information. It is the right and responsibility of the faculty member to make sure that his or her review file is complete for these formal evaluations.

b. Other Obligations of the Faculty Member

It is the responsibility of the candidate to solicit a letter from the appropriate Chair and Dean and appropriate department faculty. It is also the duty of the faculty to solicit an evaluation of his/her performance from appropriate students. No unsolicited material will be accepted for this file.

The School Committee on Tenure and Promotion may also interview the appropriate Chair(s) or Dean for each faculty member being reviewed. The Committee also has the right to consult additional experts, either from within or outside of the University, for information which might aid them in their evaluation.

At no time will the material in the review file be available to anyone other than the Provost, Dean, Chair of the School Committee on Tenure and Promotion, the President, the Board of Trustees and the candidate. When the review process is completed, the review files will be closed. Personal materials provided by the candidate (for example, manuscripts, reprints, student evaluations) are to be returned to the candidate. Other material and all of the material solicited by the Committee will remain in a closed file in the office of the Dean. The materials in the files are not to be made available to anyone and can be used for no other purpose without written permission of the faculty member.

2.7.3.2 Evaluation by the Division/Department Chair

It is the responsibility of the appropriate Division/Department to submit to the School Committee on Promotion and Tenure evaluations of each candidate from their area who

is up for formal review. These evaluations should specifically address the degree to which the candidate meets the appropriate criteria (Section 2.5.1 through 2.5.7) and also compare the expertise of the candidate to the educational needs of the department or program in both the near- and long-term future.

Ordinarily, no nontenured member of the faculty should serve as a division/department Chair. However, in the event that a nontenured department Chair is scheduled for a third-year or tenure review, the School Dean will prepare the evaluation.

The Chair's letter of evaluation should be sent directly to the School Committee on Promotion and Tenure with a copy to the faculty member being evaluated.

On or before November 10, the department chairpersons will submit to the School Dean a confidential report including:

1. Number of members in the department, both full-time and part-time.
2. Number of tenured members.
3. Ranks held by members.
4. Projection of department needs.
5. Evaluation of candidates.

If the department chairperson is the candidate for tenure consideration, it will be the responsibility of the School Dean to provide the confidential information letter referred to above after consultation with other members of the department, or to appoint a member of said department to make the report.

This report may be used by the School Committee on Tenure and Promotion as it sees fit.

2.7.3.3 Evaluation by the Department

Faculty members of the appropriate department(s) may be polled in order to obtain their evaluation of each candidate scheduled for third-year or tenure review. The poll of the department faculty is initiated by the Chair of the respective School Committee on Promotion and Tenure. No faculty member who has an administrative role in the evaluation process should participate in this poll. Any nontenured member who wishes not to participate in the poll may abstain. However, it is the responsibility of every tenured member of the faculty to conscientiously complete, sign and return the questionnaire to the School Committee on Promotion and Tenure. No incomplete or unsigned questionnaires will be considered.

The results of the faculty poll are confidential and may not be seen by either the candidate being evaluated or by the Department Chair.

2.7.3.4 Action on Tenure Review

Steps for action to review application materials for tenure shall follow the stated process:

1. The respective departmental committee reviews the application materials for tenure and forwards its evaluation to the Department Chair. With regard to Schools without departmental structures, the initial reviews (steps 1 & 2) will be made according to the structure established by that School or, in cases where a modified process (steps 1 & 2) has not been outlined, then the initial review will commence at the level of the Schoolwide Committee for Promotion and Tenure.
2. Upon review of the applicant's tenure materials, the evaluation of the Department Chair is forwarded to the respective School Committee for Promotion and Tenure.
3. The respective School Committee on Promotion and Tenure reviews the application materials for tenure and forwards its evaluation to the Dean of the respective School.
4. The Dean of the School reviews the application materials and forwards all of the materials and the recommendations along with his/her recommendation to the Provost/Vice President for Academic Affairs.
5. The Provost/Vice President for Academic Affairs reviews the tenure application materials and forwards all of the evaluative recommendations along with his/her recommendation to the President. Based on a review of the evaluative recommendations and the criteria for tenure as outlined in Sections 2.5.1 through 2.5.7, the Provost will notify the unsuccessful applicants and will also indicate areas that need improvement prior to subsequent reviews. At this point, the applicant may choose to file an appeal in accordance with the grievance process outlined in Section 2.16 if there is substantive or procedural reason or justification as determined by that section.

In addition, should the Dean turn down a tenure application, the faculty member may file an appeal on inadequate consideration to the Provost. The Provost will convene a Universitywide advisory Committee on Promotion and Tenure which consists of the Chairs of the respective School Committees on Promotion and Tenure. The Chair from the School Committee of the faculty member appealing will be excused from the advisory review. The Committee will advise the Provost who then will decide on the appeal.

Insofar as the faculty member alleges that the decision against renewal by the appropriate faculty body was based on inadequate consideration, the committee which reviews the faculty member's allegations will determine whether the decision was the result of adequate consideration in terms of the relevant standards of the University. The committee will not substitute its judgment on the merits for that of the reviewees. If the review committee believes that adequate consideration was not given to the faculty member's qualifications and University need, it will request reconsideration by the appropriate reviewees, indicating the respects in which it believes the consideration may have been inadequate. It will provide copies of its findings to the faculty member, reviewees, the Provost, and other appropriate administrative officers.

6. The President forwards his/her recommendation to the Academic Affairs Committee of the Board of Trustees for its decision. Following the action of the Academic Affairs Committee, the Committee Chair reports the decision to the Board. The President, as soon as possible, will notify the successful applicants.
7. It shall be the responsibility of the respective School Dean to meet with the candidate to communicate the summary reports and/or recommendations as forwarded by the appropriate review body.

When an application for tenure is approved, the status will take effect with the beginning of the next contract period.

2.7.3.5

Appeals

Depending on the structure of the School, if any two of the following (department level committee, chair, or school committee) reject an application, the process stops at the point of the Dean's recommendation subject to the appeal in five (5) above.