

APPENDIX C: GUIDELINES FOR PROMOTION AND TENURE REVIEWS

Section I. Introduction

The primary functions of a university are to preserve, discover and transmit knowledge. In keeping with the mission of the social work profession, the faculty of New York University's (NYU) School of Social Work (SSW) considers the following three interactive domains of activity to be the core imperatives of excellence in academic performance:

- 1.1 Teaching – the transmission of knowledge, skills and values of the profession
- 1.2 Research and scholarship
- 1.3 Service to the School of Social Work

Section 2. Guiding Principles

Promotions and tenure are based on the development and dissemination of knowledge, and the application of scholarship to teaching, research, and practice. Although all candidates for tenure and promotion should be judged according to a standard of excellence in scholarship and teaching, it is anticipated that the candidates will vary in the relative distribution of accomplishments among teaching, research, and service, depending on individual areas of endeavor and expertise.

The faculty of the School of Social Work supports a definition of excellence in teaching, scholarship, research, and service that focuses on the following:

2.1 Performance as an Educator

Excellence in teaching is a prerequisite for faculty tenure and promotion. Outstanding accomplishment as a social work educator generally includes the demonstrated ability to:

- 2.1.1 synthesize and integrate knowledge from diverse fields of inquiry and apply it to curriculum and course design,
- 2.1.2 relate course design and learning assignments to the entire scope of the profession of social work,
- 2.1.3 incorporate current research and new developments in social work and related areas into courses content, bibliographies and assignments,
- 2.1.4 create innovative teaching methods and materials,
- 2.1.5 involve students in critical thinking and reflection on their own learning and practice and
- 2.1.6 create a stimulating and safe learning environment.

2.2 Performance as a Scholar

Excellence in scholarship is the major criterion for tenure and promotion. The primary method for assessing scholarship is the extent and manner of its dissemination, and its contribution to the knowledge base. Outstanding accomplishment as a scholar generally includes the demonstrated ability to:

- 2.2.1 integrate, criticize, and clarify extant knowledge,
- 2.2.2 conceptualize and theorize in an original and rigorous way,
- 2.2.3 pursue and expand professional knowledge via new lines of inquiry,
- 2.2.4 engage in original research, practice and service delivery outcome studies, and program and policy evaluation,
- 2.2.5 articulate the applicability of research and theory to professional practice, and
- 2.2.6 communicate one's original scholarship and research to a wide audience via peer-reviewed publications and presentations.

2.3 Performance of Professional Service

Outstanding service to the School, University, profession, the community and/or the larger society is included in the criterion for tenure and promotion. Excellence in service includes but is not limited to the following:

- 2.3.1 integrate and organize scholarship toward creating awareness or practical solutions, including mounting a major concerted effort to meet a pressing need,
- 2.3.2 translate scholarship into action through such activities as developing innovative programs, providing consultation, being an expert witness, etc.,
- 2.3.3 take leadership roles in professional publications, and
- 2.3.4 take leadership roles in professional organizations and related activities.

Section 3. Standards

A high standard of excellence and effectiveness in teaching is essential to a professional school in a research university. In order to have a reasonable prospect of gaining tenure at NYU, a candidate must have a record of excellence in scholarship, including research, publications, and program and policy development, among other professional contributions, together with a record of effective teaching. Although all candidates for tenure and promotion should be judged according to a standard of excellence in scholarship and teaching, it is anticipated that the candidates will vary in the relative

distribution of accomplishments among teaching, research, and service, depending on individual areas of endeavor and expertise.

The evaluation for promotion to Full Professor is essentially the same as for a tenure candidate. However, the candidate must have achieved a significant milestone or marker beyond the work considered at the point of awarding tenure. A reasonable period of time after the granting of tenure is necessary to attain this level of achievement. The docket must clearly indicate which work distinguishes the candidate's achievements since the last review. The candidate's work is expected to have national and/or international recognition.

Section 4. Composition of the Committee, Method of Selection and Voting Privileges

The Faculty Promotions, Reappointments and Tenure Committee consists of five (5) tenured members of the full-time faculty. All members of the Committee are elected by the faculty. For applications for promotion to Full Professor, a special Ad Hoc Committee will be convened of all Full Professors. (per vote of Faculty May 15 2006)

Section 5. Review Process and Procedures for Promotion and Tenure for Tenure-Eligible Positions

5.1 Stage 1: Faculty Promotions, Reappointments and Tenure Committee Review

The initiation of a request for consideration for promotion is made by the candidate. The candidate may seek the counsel of the Dean and/or Chairperson(s) in determining whether and when to seek a promotion. In order to facilitate tenure and promotion reviews, the candidates are expected to meet with the Dean the spring semester before the academic year their materials will be reviewed. Their material needs to be submitted to the Faculty Promotions, Reappointments and Tenure Committee by September 30th.

The Dean's Office will notify the Faculty Promotions, Reappointments and Tenure Committee of faculty members requiring evaluation and recommendation with regard to tenure and promotion by the end of the first week of the fall semester.

The Faculty Promotions, Reappointments and Tenure Committee Chairperson will notify faculty candidates of required material for tenure or promotion consideration. All candidates for tenure and/or promotion consideration will be required to submit the following teaching portfolio material:

- 5.1.1 candidate's statement of her/his teaching philosophy,
- 5.1.2 course syllabi developed and/or revised by the candidate as an individual,
- 5.1.3 student course evaluations,
- 5.1.4 number of current BS and/or MSW advisees (if applicable),

- 5.1.5 a list of doctoral students on whose committees the candidate has served, including titles of doctoral proposals or dissertations. (Indicate role of candidate on the committees), and
- 5.1.6 a list of school-wide and university committees the candidate has served on, and in what capacities.

Candidates will also be required to submit material pertaining to their scholarly and research activities, including the following:

- 5.1.7 candidate's self-study statement (following guidelines/standards for reappointment, promotion, and tenure)
- 5.1.8 current curriculum vitae,
- 5.1.9 copies of candidate's scholarly work (maximum of five (5) papers, book excerpts, or other scholarly material which the candidate believes best exemplifies his/her work),
- 5.1.10 copies of grant proposals, research applications, and/or completed research reports (maximum of three (3)),
- 5.1.11 published reviews and/or commentaries of the candidate's scholarly work (if applicable), and
- 5.1.12 a copy of the third year review (applicable to tenure candidates only).

Candidates will be asked to submit twelve (12) copies of this material to the Faculty Promotions, Reappointments and Tenure Committee by September 30th.

Curriculum Area Chairpersons, Program Directors, and other relevant faculty members (such as former Chairpersons of a curriculum area or former Program Directors) will be required to submit confidential written evaluator statements to the Faculty Promotions, Reappointments, and Tenure Committee. In regard to the candidate's qualifications, Chairpersons, Program Directors, and other relevant faculty members will be asked to confine their remarks to items one (1) through six (6) listed above.

In tenure and promotion evaluation considerations, the Faculty Promotions, Reappointments and Tenure Committee will obtain five (5) letters of evaluation from external reviewers, all of which will be chosen by the committee. Only tenured faculty from research universities (Carnegie Foundation classification: doctoral/research universities - extensive) or from other leading social work programs not part of research extensive universities will be considered eligible external reviewers, and in cases of promotion to full professor, the external reviewer must have the rank of full professor. External reviewers will be provided the standards for tenure (See "Guiding Principles" above) or promotion (See "Guiding Principles" above). External reviewers will be assured of confidentiality to

the extent protected by law, and will be asked to submit their review and curriculum vitae by November 15th.

The Faculty Promotions, Reappointments, and Tenure Committee meets to deliberate and vote on the merit of the material submitted by the candidate, external reviewers, and Chairpersons, Program Directors, and other relevant faculty members of the School. Secret ballot votes are tallied by the Chairperson, followed by a memo to the Dean summarizing the Faculty Promotions, Reappointments and Tenure Committee's findings, *the numerical vote*, and recommendations on the faculty member's promotion or tenure. The memo is finalized and forwarded to the Dean by December 1st, along with other docket material. Concurrently, the Committee submits in writing to the candidate a brief memo outlining its vote and recommendations to the Dean.

5.2 The Candidate's docket consists of the following:

- 5.2.1 Faculty Promotions, Reappointments and Tenure Committee memo outlining its findings, numerical vote, and recommendation,
- 5.2.2 material submitted by the candidate (teaching portfolio and scholarly/research activities),
- 5.2.3 evaluator statements by Chairpersons, Program Directors, and other relevant faculty members, and
- 5.2.4 five (5) external review letters and the curriculum vitae of each reviewer.

Two (2) copies of the docket are forwarded to the Dean: one (1) for the Dean's review and one (1) for the Provost's review. The original internal evaluator statements, external reviews, curriculum vitae of external reviewers, and Faculty Promotions, Reappointments and Tenure Committee memo are also forwarded to the Dean's Office.

(Note: Tenure may be awarded any time within six (6) years. However, wherever possible, the Dean shall indicate no later than the end of the third (3rd) year if a tenure-eligible faculty member is not likely to be recommended for tenure. The Dean shall put in writing to the candidate and to the Provost expectations for eventually receiving tenure based on prevailing tendencies at the end of the third (3rd) year.)

5.3 Stage 2: Dean's Review

The Dean is responsible for evaluating the docket presented by the Faculty Promotions, Reappointments and Tenure Committee and making a recommendation to the Provost. The Dean may solicit additional information and/or letters of evaluation from external reviewers. The Dean will inform the Chairperson of the Faculty Promotions, Reappointments and Tenure Committee of his/her own proposed recommendation to the Provost In the case where the Dean's

recommendation is contrary to that of the Faculty Promotions, Reappointments and Tenure Committee, the Dean will give the Committee an opportunity to provide further information or counter-argument before the Dean's final recommendation is made to the Provost. When the decision is finalized, the Dean will inform the candidate in writing of said recommendation.

The Dean will ordinarily make his or her recommendation to the Provost by March 1st. This constitutes the definitive recommendation of the school and will be accompanied by the docket and Faculty Promotions, Reappointments, and Tenure Committee recommendation.

5.4 Stage 3: Provost's Review

The Provost shall evaluate each tenure and promotion docket and recommendation submitted by the Dean. In evaluating a promotion or tenure recommendation submitted by a Dean, the Provost may solicit additional information and/or letters of evaluation, and may in unusual cases appoint an ad-hoc advisory committee composed of tenured faculty to seek further counsel.

The Provost shall support or oppose the Dean's recommendation in his/her final decision. The Provost will inform the Dean of his/her pending decision. In those cases in which that the Provost's decision will be contrary to the recommendation of the Dean, the Provost will provide the Dean with the reasons and give the Dean an opportunity to provide further information or counter-argument before the Provost's final decision. The Provost shall notify the Dean of the final decision, along with reasons thereof if the Dean's recommendation is disapproved.

Section 6. Guidelines for Appeal

In the event of a negative decision, the candidate has the right to file a grievance in accordance with the provisions of the University's Faculty Grievance Procedures appearing at pp. 61-63 of the Faculty Handbook (1999 ed.).

The tenure clock for faculty is set forth in formal University rules adopted by the Board of Trustees. The current rules are found in the University's statement on Academic Freedom and Tenure, Title I and II reprinted in the Faculty Handbook (1999 ed.) on pp. 25-35.