POLICIES AND PROCEDURES FOR
PROMOTION AND TENURE REVIEW

These policies and procedures for promotion and tenure for the College of Human Resources & Education supplement those of WVU Policies and Procedures for Annual Faculty Evaluation, Promotion and Tenure issued by the Provost’s office for the current year. Departmental-level annual review committees, in cooperation with chairs, should review the WVU Policies and Procedures for Annual Faculty Evaluation, Promotion and Tenure and the College of Human Resources & Education Policies and Procedures for Promotion and Tenure Review prior to convening. Faculty members should neither initiate nor participate in institutional decisions involving a direct benefit (initial appointment, retention, annual evaluation, promotion, salary, leave of absence, etc.) to members of their immediate family or household.

1. **Department Level.** The Department Committee will (a) conduct an organizational meeting to establish time schedule and procedure, (b) suggest external reviewers as prescribed by the WVU Policies and Procedures for Faculty Evaluation, (c) conduct a thorough and fair review of the Candidate, and (d) address the recommendations to the Department Chairperson with a copy to the Candidate. The Department Chairperson will (a) review the process and criteria with the faculty, (b) maintain the schedule specified in the annual calendar, (c) assure fair and consistent evaluations, (d) conduct a thorough and fair review of the Candidate, and (e) address his or her recommendation to the Candidate. All recommendations regarding tenure automatically are forwarded to the Dean’s Office. If a positive recommendation for a discretionary promotion is received from the Department Committee or the Chair, the Chair forwards the Department recommendation to the College-level Committee. If recommendations for a discretionary promotion are both negative, the file will be submitted to the Dean for information only. A faculty member may submit a rebuttal to the Department Committee and Department Chair evaluations. The rebuttal must be submitted to the Dean within five (5) working days of receipt of the evaluations. If both departmental reviews for a discretionary promotion are negative, a faculty member may petition the Dean for a review of negative departmental recommendations.
The petition should reach the Dean within five (5) working days following receipt of notification of the negative recommendations, and will result in a review of the file by the College-level Committee and the Dean. Failure to petition the Dean for such a review will result in stopping the process for consideration for promotion at the departmental level.

2. **College Level.** The College-level Committee will (a) conduct an organizational meeting to establish time schedule and procedure, (b) conduct a thorough and fair review of the Candidate, (c) address its recommendation to the Dean, with copies to the Department Chairperson and the Candidate, and (d) forward the Department Committee and the Department Chairperson recommendations to the Dean.

   Review letters must use consistent terminology in describing the activity of a faculty member in Teaching, Research, and Service as contained in the letter of appointment or subsequent modification. Review letters should include an evaluation of the faculty member's accomplishments in Teaching, Research, and Service. The statements in review letters should communicate clearly the accomplishment of the faculty member. The following terms **must** be used in all letters for evaluating Teaching, Research, and Service.

   - **Excellent** (characterizing performance of high merit)
   - **Good** (characterizing performance of merit)
   - **Satisfactory** (characterizing performance sufficient to justify continuation but not sufficient to justify promotion or tenure if such evaluations occur over time)
   - **Unsatisfactory**

   Judgments should be clearly supported with descriptive and explanatory information so that subsequent users of the letter, including the Candidate, can understand the rationale supporting the judgment. Any suggestions to the faculty member should be logically linked to the content of the review letter. The tone of the review letter is important, and
committees should take care to avoid emotionally-charged words and vague generalizations.

The last paragraph of a review letter should clearly state the Committee's recommendation for or against retention, tenure, and/or promotion. The written evaluation must be signed by all members of the Committee, the vote shown, dated, and forwarded to the Department Chairperson. Committee members may include a minority statement as part of the evaluation statement. The individual(s) responsible for the minority statement should not be identified.

FACULTY CANDIDATE FILE

Working with the Department Chairperson, the Candidate is responsible for preparing the Faculty Candidate File prior to the calendar date specified. This file should contain documented evidence of accomplishments in Teaching, Research, and Service. The Candidate may include duplicate parts of his/her personnel file, workload reports, evaluations of courses, reprints of articles, certificates of accomplishment, letters documenting service, and other evidence of accomplishments in Teaching, Research, and Service. In the case of a promotion and/or tenure review, the file should contain documentation relating to activities since initial appointment or since the last promotion. In the case of first or second year faculty member review, the file should contain documentation relating to activities since being hired at WVU. The materials should be organized in the following order.

1. **Candidate's Statement.** The Candidate must submit a personal statement which makes a strong case for their professional efforts in Teaching, Research, and Service. This statement may include, for example, the Candidate's philosophy of teaching, past activities and future plans for instruction, research and scholarly interests, and service in relationship to overall goals and responsibilities. The final section of the Candidate's Statement should include a listing of the supplementary material provided, clearly labeled, with a brief statement of why each has been included in the Candidate File.
2. **Letter of Appointment.** The second item in the Faculty Candidate File should be a copy of the Candidate's letter of appointment signed by the appropriate University officials. Copies of any subsequent documents signed by the appropriate University officials which alter the Candidate's work assignment or expectations for promotion or tenure must be included. No Candidate will be evaluated on the basis of performance of "specific work assignments or expectations" in any way that is different from "general University criteria elaborated to take account of the distinctive character of the discipline," unless the Candidate's file contains an appropriately signed document which clearly indicates the basis for this difference.

3. **Curriculum Vitae.** A current curriculum vitae should be included as the third item in the file.

4. **Annual Review Letters and Corresponding Workload Reports.** The Annual Review Letters should be placed before the corresponding Workload Reports.

5. **Supplementary Material.** Supplementary Material should be organized as indicated at the end of the Candidate's Statement. There should be separate sections for Teaching, Research, and Service. Refer to the examples of supporting documentation included in the section entitled "Professional Expectations of Faculty Members."

Prior to formal submission, Candidates are encouraged to obtain informal evaluation of file contents from colleagues who are not serving on review committees and outside Chairpersons. Candidates also have the option of withdrawing their candidacy for promotion or tenure at any time after their file has been submitted for candidacy prior to the completion of the Department Committee review. Granting a request to withdraw from consideration in the critical year will result in the issuance of a one-year terminal contract.
COMPLETION AND ACCESS TO THE FILE

Consult the WVU Policies and Procedures for Annual Faculty Evaluation, Promotion and Tenure.

PERSONNEL FILE: EXTERNAL EVALUATIONS FOR PROMOTION AND TENURE

1. The Departmental Promotion and Tenure Committee (with optional participation by the Chairperson) and faculty member each propose a list of names of appropriate evaluators who are suggested because of their professional competence in the discipline.
   a. Each list should contain four to six names.
   b. A paragraph describing each evaluator should be submitted indicating qualifications to serve in this capacity. Any personal or professional relationship the faculty member has or has had with the evaluator should be identified.
   c. Persons who have been closely associated with the person being evaluated, such as co-authors or doctoral research advisors or advisees, may be asked to serve as external evaluators. Like other evaluators, they should be requested to identify their professional or personal relationship with the Candidate.
   d. The faculty member has the right to review the list of potential evaluators, to comment upon those who may not provide an objective evaluation, and to request deletions. The faculty member's comments and requests should be forwarded in writing to the Chairperson or Dean. In selecting evaluators, the Chairperson or Dean may consider the faculty member's comments and requests. The faculty member does not have the right to "veto" any possible evaluator, nor is the final selection of evaluators to be achieved through obtaining the consent of the faculty member.
   e. If external reviewers from non-university settings are used, there should be an explanation of their qualifications that focuses on their professional competence in the discipline that led to their selection rather than selection of a reviewer from a university setting. As a general principle, reviewers or research from non-university settings should be used only under very special circumstances, and should be a minority rather than a majority among the reviewers selected.
f. External reviewers of research from universities should be at or above the rank to which promotion is sought. For external reviews of service, individuals in non-university settings may be more appropriate as referees.

g. The list of names and comments or requests concerning those identified should be forwarded to the Chair or Dean no later than September 10 of the academic year in which review for promotion or tenure is to occur. An earlier deadline may be used; many units use the date of May 15 of the academic year preceding review as their deadline.

2. The Chairperson or Dean should select a sufficient number of names from each list to result in evaluations from two or more persons on each list.
   a. A minimum of four external evaluations ordinarily is required.
   b. A copy of the letter used to request external evaluations should be included in the faculty member's file with identifying information removed.
   c. Evaluators should be asked to return their evaluations on plain sheets of paper, rather than on letterhead which may provide identifying information, and to include only their signature at the bottom of the last page.

3. The letter soliciting a review of the Candidate should include information about the Candidate's critical year, as well as an indication, if appropriate, of consideration of promotion in a year earlier than normally expected. The packet of materials sent to reviewers should include a current curriculum vitae. Including University and College guidelines in the packet might also be helpful to the reviewers.

4. Letters soliciting external reviews should be mailed no later than October 1.

5. If four evaluations are not received by the time the file is to be closed, the deadline for including such evaluations in the file may be extended through the written consent of the faculty member, Chairperson and
Dean. A copy of the written consent should be included in the faculty member's personnel file.

Although external review of teaching is not required, you may wish to consider this possibility as a means of gathering additional information about a Candidate for promotion and tenure. If so, material such as course syllabi, exams, reading lists, or other material could be distributed. Choosing to pursue this option would suggest some modification of the attached sample letter.
Sample Letter for External Reviewers

October 1, yyyy

Dear Professor XXX:

Dr. _______________________ , an Assistant Professor of ______________ at West Virginia University, is being considered for tenure and promotion to the rank of Associate Professor. As part of our procedure for assessing the quality of Dr. ________________'s scholarly [service] activity, we seek the judgment of scholars [individuals] like you in his/her area of specialization. Thus, we ask that you help us by providing an objective evaluation of his/her contributions to the field and ability as a researcher [service provider].

Faculty members are expected to demonstrate substantial contributions in research [service] to be tenured or promoted. According to university guidelines, the term "significant contributions" in research means "performance in research which meets or exceeds that of peers recently achieving similar promotion and/or tenure who are respected for their contributions in research at peer research universities." The standard to be used in assessing Dr. ________________'s work is the quality of the work and the impact or potential impact on the field. In addition, I ask that you comment on whether the quality of work is comparable to or better than that of persons recently promoted and tenured at your university, or at other peer universities.

[For promotion to Professor, we place special weight on work done in the most recent five- or six-year period. A long-term Associate Professor will not be penalized for years of modest productivity, as long as more recent productivity has been achieved and maintained for a reasonable period of time. It is not uncommon for an external reviewer to consider one's total career for promotion to the highest rank. However, while not discounting work done since the last promotion, we also consider whether the candidate has demonstrated a "continuous program" of scholarship, normally as demonstrated by their publication record.]
If Dr. __________________ requests, he/she will be shown a copy of the substance of your evaluation, with all information identifying you, as the evaluator, removed. To facilitate this process, we ask that your actual evaluation be provided on plain paper (not letterhead) with only your signature on the last page, much as you might provide a review of a grant proposal or journal publication. Of course, your full letter and evaluation will be shared with committees and individuals involved in the review process. Following the conclusion of the review, all copies of your letter will be kept in a sealed file in the Dean's office and will not be used again.

Enclosed is a sample of Dr. __________________'s scholarly work and his/her curriculum vitae. Also enclosed are the university [, college, and departmental] guidelines for faculty evaluation, promotion and tenure.

Please forward your evaluation to Dean __________________, (address), by December 15, yyyy. If you are unable to provide an evaluation of Dr. __________________'s work, please contact me immediately at 304-293-XXX.

We recognize that writing recommendations of this type is time-consuming, and therefore are most grateful for your assistance. Your comments will be an important component of our evaluation process.

Sincerely,

XXXXXXXX
Chair

c: Dean __________________

Enclosures
# Checklist for External Review and File Components

Name ____________________________

<table>
<thead>
<tr>
<th>External Review Number (omit names)</th>
<th>Date Phoned</th>
<th>Date Sent</th>
<th>Date Received</th>
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<tbody>
<tr>
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<td>2.</td>
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<td>3.</td>
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<td>4.</td>
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<td>5.</td>
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<tr>
<td>6.</td>
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<td></td>
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**External Evaluator Selection Form**

**File Component Checklist**

<table>
<thead>
<tr>
<th>Component</th>
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<th>NO</th>
</tr>
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<tbody>
<tr>
<td>1. Candidate's Statement</td>
<td></td>
<td></td>
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<tr>
<td>2. Letter of Appointment</td>
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<tr>
<td>3. Curriculum Vita</td>
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<tr>
<td>4. Annual Review Letters and Corresponding Workload Reports</td>
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<tr>
<td>5. Supplementary Material</td>
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</tbody>
</table>

**Reviews** Letter (or Copy) Sent to Candidate by Reviewers

1. Department Faculty Committee
   Date _____________________

2. Department Chair
   _______________________
3. College Faculty Committee

4. Dean, HR&E

PROFESSIONAL EXPECTATIONS OF FACULTY MEMBERS

Consult the WVU Policies and Procedures for Annual Faculty Evaluation, Promotion and Tenure for the current year. In addition, the following are potentially applicable.

TEACHING. Supporting documentation for the evaluation of performance in teaching might include evidence drawn from such sources as the collective judgment of students, student advisors, and colleagues who have visited the faculty member's classes. It also might include analyses of course content, evaluation of textbooks or videotapes, the development and use of instructional technology and computer assisted instruction, studies of success rates of students taught, pedagogical scholarship in refereed publications and media of high quality or other evidence deemed appropriate and proper by the Department and College. Quality of instruction applies to six components of instructional activity that may be assessed, some of which extend beyond classroom teaching.

1. Classroom Activities
2. Supervision of Students (undergraduate, master's, and doctoral)
3. Advising Activities (undergraduate, master's, and doctoral)
4. Curriculum Development
6. Non-traditional Teaching (e.g., schools, industry, service agencies).

The following list represents examples of documentation that a Candidate can use. It is not expected that the Candidate for promotion, tenure, and/or continuation of appointment will have to complete two separate listings as a part of the overall portfolio. The type of documentation suggested below can be transcribed directly onto the Workload Report outline or attached to it as an addendum.
1. **Classroom Activities** include knowledge of subject matter, effectiveness of instruction, and interactions with students.
   - Student evaluations of courses (traditional and non-traditional).
   - Course objectives, syllabi, reading lists, exams.
   - Evidence of student achievement, such as any student awards or publications received as a reflection of the Candidate's classroom activities or supervision.
   - Teaching awards or recognition for outstanding teaching.
   - Data identifying typical semester teaching load, number of students in each class, participation in university classes other than those assigned, sponsorship of guided studies and special topics, and extension duties.

2. **Supervision of Students** includes monitoring of students in practicum settings (e.g., classrooms, clinics, agencies) and as research and teaching assistants at the University.
   - Statement of number of students supervised annually, with estimates of time spent in supervision.
   - Description of supervision procedures.
   - Student evaluations of supervision experience directed by Candidate.
   - Supervision objectives, guidelines, evaluations.

3. **Advising Activities** involve participation in individual and small group advising and research advising when serving as a graduate committee member or chairperson for theses and dissertations.
   - Statement of number of annual program advisees with estimate of time typically spent in program advising.
   - Description of advising procedure for both on- and off-campus students and for undergraduate and graduate students.
   - Description of any other personal development or education planning with students.
   - Statement of number of master's and doctoral committees served on, number of theses and dissertations chaired, and estimate of time spent in these advising activities.
   - Evaluation of graduates.
4. **Curriculum Development** involves participation in curriculum-related activities for Department, College, University, State, or larger constituency. Also included in this area are design of new courses, redesign or modification of existing courses, and program evaluation.
   - Description of curriculum development activities undertaken. State Candidate's role in the activity and provide estimate of time involved in each activity.
   - Description of ways in which existing courses have been modified.
   - Submission of exhibits of any curriculum policies, program evaluation tools, and/or materials developed by Candidate.
   - Submission of Senate approved material for new courses or course changes developed by Candidate.

5. **Development of Course Materials, Teaching Techniques, and Technological Support Materials for Instruction** involves preparation of course materials, new or innovative teaching techniques, and the integration of technological systems in on-campus, off-campus, and distance education.
   - Description of any innovative teaching techniques and/or procedures used.
   - Exhibits of new course materials.

6. **Public School Professional Development Efforts** involve courses, workshops, continuing education, curriculum collaboration, action research, and professional development networks.
   - Description of professional development efforts, including the Candidate's role.
   - Exhibits of curricular and resource materials developed to support professional development efforts.

7. **Non-traditional Teaching** includes assigned activities such as continuing education, extension activities, and presentations of workshops.
   - Description of continuing education activities.
• Description of extension activities.
• Description of workshops presented.
• Exhibits of products related to educational reform efforts.

RESEARCH AND SCHOLARLY ACTIVITY. The following is a listing by areas of those activities that should be given weight in the evaluation of Research and Scholarly Activity. The listing is not exhaustive and may be modified as long as the accomplishments of the Candidate are presented in an organized manner and critically reviewed. To summarize, the key factors in the evaluation of scholarly research are critical review, particularly at the initial evaluation level, and accurate acknowledgment of the various types of scholarly work. The following categories are applicable.

1. Publications* (Textbooks may support Research or Teaching categories; a textbook for K-12 use would normally be considered under Teaching.)

2. Presentations

3. Grants and Contracts

4. Other Scholarly Work

1. Publications may include peer-reviewed and non peer-reviewed published work.

Peer-reviewed Publications*:
• Journal Articles
• Books Authored
• Books Edited
• Chapters in Books
• Monographs
• Conference Proceedings
• On-line Publications

Non Peer-reviewed Publications:
• Journal Articles
• Books Authored
• Books Edited
• Chapters in Books
• Monographs
• Conference Proceedings
• On-line Publications
• ERIC Documents

*Heavily weighted activity under R&SA area.

2. **Presentations** may include peer-reviewed and non peer-reviewed presented work.

   Peer-reviewed Presentations:
   • National/International
   • Regional
   • State/Local

   Non Peer-reviewed Presentations:
   • National/International
   • Regional
   • State/Local

3. **Grants and Contracts** may include externally and internally funded work.

   External Funding:
   • Private Foundations
   • State and Local Agencies
   • Federal Agencies

   Internal Funding:
   • WVU Senate Grants
   • WVU Foundation Grants
   • Other Internal Sources (e.g., travel, international)

4. **Other Scholarly Work** may include software written, exhibits, or other scholarly products.
   • Software Written
   • Technical Reports
   • Other Scholarly Products
     • published curricula
     • developed tests
The following examples are provided as suggested format for citations. The citation format, however, may be changed so that it is consistent with a Candidate's field of study.

**Journal Article**

**Chapter in Book**

**Book**

**Paper Presented**

**SERVICE.** If a service activity is professional in nature and relates to one's role and function at WVU, no distinction will be made between paid and unremunerated services. Conference attendance or regular membership in an association does not in itself signify professional productivity and should therefore not be considered in evaluating faculty performance for purposes of promotion, tenure, or continuation of appointment.

Service contributions considered for evaluation are those which are within a person's professional expertise as a faculty member and are performed
with one's University affiliation identified. The professional service categories below include all service activities related to one's role as a professional.

1. Service to the Area (e.g., research center), Department, College, and University
2. Service to Local, State, Regional, National, and International Audiences

The following examples are provided. Format may be altered as needed.

1. **Service to the Area, Department, College, and University** (do not include master's or doctoral committees).

<table>
<thead>
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<th>Level</th>
<th>Role</th>
<th>Frequency of Meetings This Year (or estimate of hours)</th>
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<tbody>
<tr>
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<td>Department</td>
<td>Member</td>
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<td>Promotion/Tenure Committee</td>
<td>College</td>
<td>Chair</td>
<td>11 times</td>
</tr>
<tr>
<td>Curriculum Committee</td>
<td>College</td>
<td>Member</td>
<td>9 times</td>
</tr>
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<td>WVU Chapter, PDK</td>
<td>University</td>
<td>President</td>
<td>Monthly</td>
</tr>
<tr>
<td>Student Chapter, SEA</td>
<td>University</td>
<td>Advisor</td>
<td>Monthly</td>
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</table>

2. **Service to Local, State, Regional, National, and International Audiences.**

<table>
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<th>Activity</th>
<th>Occasion</th>
<th>Role</th>
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<td>Reviewer</td>
<td>Journal of Reading</td>
<td>March, June, November</td>
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<tr>
<td>PDK</td>
<td>Annual Meeting</td>
<td>Faculty Advisor</td>
<td>Indianapolis</td>
<td>mm/dd/yy</td>
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</table>
NCATE On-Site Review Team  Member  WV State Coll.  mm/dd/yy
Campus Visit

NIT Rehab. & Training Proj.  Consultant  Univ. of MD  mm/dd/yy-
Curriculum Review  mm/dd/yy (7 days)

In-service Workshop on Creativity  Conducted  Marion Co.  mm/dd/yy (6 hours)
Secondary Teachers’ Meeting

Note: Workshops may be entered under Teaching or Service, depending on the nature of the activity.

CALENDAR

The annual calendar for HR&E promotion and tenure will be created and distributed by the Dean. A sample calendar is attached. The HR&E calendar will be within the time frames established in the WVU Policies and Procedures for Annual Faculty Evaluation, Promotion and Tenure for the current year.

CRITERIA FOR TENURE OR PROMOTION

Consult the WVU Policies and Procedures for Annual Faculty Evaluation, Promotion and Tenure.

REQUIRED PERSONNEL ACTIONS/TIMELY NOTICE

Consult the WVU Policies and Procedures for Annual Faculty Evaluation, Promotion and Tenure for the current year.

DISCRETIONARY PERSONNEL ACTIONS

Consult the WVU Policies and Procedures for Annual Faculty Evaluation, Promotion and Tenure for the current year.

Approved by the Office of the Provost effective November 2, 2007