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DOC 2017-01 University Promotion Policy for Clinical Faculty/Faculty of Practice

University of Dayton. Faculty Affairs Committee

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TITLE: UNIVERSITY PROMOTION POLICY FOR CLINICAL FACULTY/FACULTY OF PRACTICE

SUBMITTED BY: Faculty Affairs Committee

DATE APPROVED: February 17, 2017

ACTION: Legislative authority

REFERENCE: II. B. 1.c. Will require faculty vote as specified in this section of the Constitution of the Academic Senate.

Introduction

Many units within the university, particularly the professional schools, are engaged in training students in professional skills and values that will enable them to become licensed members of a profession. This requires engaging them in a form of experiential learning taught by faculty who have both the professional skills and licensure to do so and are experienced in clinical pedagogy. Universities increasingly recognize this expertise in the form of clinical faculty. In 2016, the Academic Senate approved the titles of "Clinical Faculty/Faculty of Practice." Such faculty were defined as: "Individuals with full-time appointments to the University faculty whose professional experience and competence as a practitioner is deemed beneficial and necessary to the educational mission of the unit (particularly professional schools but not limited to them) and departments. The status is reserved for a person who is engaged in campus – based instruction as well as the clinical/professional component of instruction."

The quality of faculty accomplishments in teaching, service, and professional development and/or scholarship, largely determines the quality of the institution as a whole. The University has recognized the importance of these aspects of faculty development in its Promotion, Retention and Tenure Policy for Tenure-track faculty. Like tenure, promotion decisions also are extremely important to the life of the institution. They are a means by which the University retains excellence in instructional programs, trains and contributes to the development of professionals, and promotes its mission for service. Accreditation standards for different professional schools and disciplines also require the opportunity for promotion and attendant benefits of promotion.

As with tenure-track faculty, it is essential that clinical faculty members be treated fairly and granted due process in the deliberations that determine promotion. This policy establishes general guidelines that govern University-wide procedures for promotion of clinical faculty. These guidelines and procedures are designed to ensure communication, fairness, and due process throughout the review process. This policy includes opportunities to respond in the event of disagreements over promotion recommendations and provides an appeals procedure.

In addition, this policy provides a process for initial and periodic review of promotion documents for procedural consistency and clarity of substantive criteria both at the unit and department level.

I. Establishment, Review, and Approval of Promotion Criteria and Procedures

A. General University-wide Criteria and Eligibility for Promotion Evaluations

1. Criteria for promotion of clinical faculty focus on the academic credentials and the academic and professional performance of the applicant. The faculty

member's performance will be evaluated within the parameters of her or his appointment and as appropriate to the profession in the areas of:

a. Teaching effectiveness, including classroom, didactic, individualized, and field-based or experiential forms of instruction.

b. Clinical or professional practice and development, and/or scholarship

c. Service, including professional, departmental, university, and community.

2. Consistent with this policy as well, as each unit's accreditation standards and other professional objectives, unit promotion policies will set forth detailed criteria and procedures for the granting of promotion.

3. Units will establish the criteria for appointment or promotion to the assistant, associate and professor levels; whether other rights or privileges such as security of position or voting rights may be available and the criteria for attaining them; and all the necessary procedures in the review and decision-making about rank.

4. Promotions will generally take place on 6 year intervals. Promotion or appointment to the assistant level will be determined by the unit. Application for promotion to the associate level shall take place in the 6th year of active full-time service or in accordance with professional standards of a particular discipline. The unit and department criteria for promotion shall reflect teaching, practice and service expectations which would be consistent with six years of active full-time service. Similarly, criteria for promotion to the professor level should reflect teaching, practice and service expectations consistent with six years of active full-time service beyond the prior promotion. Credit for prior service may be granted. Time devoted to leaves of absence or other interruptions may affect the total period of evaluation and the timing of departmental reviews. The effects of such interruptions on the period of evaluation and timing of reviews must be agreed to in writing by the faculty member, chairperson, dean, and Provost at the time that the interruption takes place or within six months of the initiation of the interruption.

5. Prior to submitting an application for promotion to the level of associate professor or professor, clinical faculty should receive, in addition to annual reviews, at least two departmental evaluations over a six year period. The School of Law and University Libraries will have only unit reviews.

6. A candidate who successfully completes the promotion process will be granted promotion with his or her next contract.

B. Unit and Departmental Authority and Responsibilities

1. Each academic department will adopt clear criteria and procedures for promotion of clinical faculty.

2. The College of Arts and Sciences, School of Business Administration, School of Education and Health Sciences, and School of Engineering will each have an elected, representative unit clinical promotion committee *comprised of both tenured and clinical faculty from the unit*. Each unit's procedures may determine the size, composition between tenured and non-tenure track faculty, and allow for the dean to appoint up to two additional representatives in any given year. The School of Law and University Libraries, because they have fewer than 30 tenure and tenure-track members, will not be required to conduct elections. They will set appropriate processes in place to establish unit promotion committees, and those processes will be reviewed by the University Clinical Promotion Committee (hereafter, the University Clinical Committee).

3. The Unit's Clinical Promotion Committee will

a. make a recommendation for promotion on each individual candidate to the dean, and

b. review and approve its department-level criteria and procedures for promotion.

4. Any disagreements between a department and a unit promotion committee related to approval of departmental promotion criteria and procedures will be resolved by the appropriate dean.

C. University Academic Senate Authority and Responsibilities

1. The Academic Senate will establish the University Clinical Committee and provide oversight of the elections of faculty members to the University Clinical Committee.

2. The Academic Senate will determine all University-wide procedural policies on Promotion of Clinical Faculty and explicate such policies in the Faculty Handbook. If the University Clinical Committee notes inconsistencies between documents not covered by University-wide procedural policies on promotion and tenure, those procedural inconsistencies will be submitted to the Academic Senate for resolution.

D. The University Clinical Committee

1. The University Clinical Committee will

a. review and approve the promotion policies of all units for consistency with University policies and procedures

b. annually review the promotion process for adherence to appropriate procedures and present a report to the Chairperson of the Academic Affairs Committee of the Board of Trustees and the President of the Academic Senate.

The President of the Academic Senate will annually present this report to the Executive Committee of the Academic Senate.

2. *The University Clinical Committee will consist of five members: three will be tenured faculty members and two will be clinical faculty members.*

a. *The three tenured University Clinical Committee members will be elected by tenured members of the University Faculty.*

b. *The clinical faculty members will be elected from all clinical faculty of the university. The clinical faculty representative must have been promoted to the associate level or higher.*

c. Departmental chairpersons, assistant and associate deans, and deans are ineligible to serve on this committee.

d. The University Clinical Committee will elect a chairperson from those duly elected.

e. Members of the University Clinical Committee will serve three-year terms (maximum of two consecutive terms). *The chairperson will be selected from among the five committee members and shall serve for one year, and may serve consecutive terms. Terms will begin effective June 1 of the year elected.*

f. Individuals who cannot complete their term of office will be replaced from the list of candidates in the year in which the member was elected. Candidates not elected to the University Clinical Committee will be listed by area in the order of votes received, beginning with the highest, and will, in that order, be asked to fill vacated positions.

g. *The size and composition of the University Clinical Committee shall be reviewed after three (3) years from adoption of this policy to determine whether the balance between tenured and clinical faculty is appropriate as well as the balance of representation between different units and departments.*

3. The University Clinical Committee will approve those unit documents that define clear substantive criteria and procedures consistent with University policies, including mechanisms for communicating throughout the entire promotion and tenure process.

4. After the initial approval has been received by a unit, the University Clinical Committee will review that unit's policies every three years. Whenever substantive changes are proposed, the unit promotion documents must be approved by the Clinical Committee for consistency with University policies and procedures.

5. In the event the University Clinical Committee does not approve unit documents or proposed changes to them, and if the dean of that unit disagrees with the decision of the University Clinical Committee, the matter will be resolved by the President in consultation with the Provost.

6. The Provost's office will be responsible for providing administrative support for the work of this committee and assuring that all documents are distributed in a timely and appropriate manner.

II. Common Processes for Promotion Evaluations

A. Common process for pre-promotion review

1. *The approved University Clinical Promotion policy will be shared with the candidate by the Office of the Provost within the first month of the start of the candidate's initial contract. Similarly, the unit and department criteria and procedures will be shared with the candidate by his or her respective unit and department within the first month of the start of the candidate's initial full-time contract. These policies will be the basis of the promotion reviews.*

2. Each unit dean will establish a timetable regarding the submission and review of materials.

3. During the pre-*promotion* period to the level of associate and professor, every candidate will receive a minimum of two reviews of teaching; *clinical or professional practice and development, and/or scholarship* and/or artistic accomplishment; and service by the department and the appropriate dean, with the final review conducted the year prior to the final departmental promotion recommendation. The School of Law and University Libraries will have only a unit review.

4. Credit toward promotion granted for prior service

a. A candidate who is given two or fewer years credit toward *promotion* will receive two comprehensive reviews (as described in II.A.5 below).

b. A candidate receiving three or more years credit toward *promotion* will receive a minimum of one review of teaching; *clinical or professional practice and development, and/or scholarship*; and service by the department and the appropriate dean, with the final review conducted the year prior to the final departmental *promotion* recommendation. The number of and timing of the review(s) will be explicated in the candidate's first letter of hire or appointment to a clinical track under this policy. The School of Law and University Libraries will have only a unit review.

c. Any changes in the *promotion* clock after this first letter of hire or appointment to the clinical track may require a change in the review cycle. Such changes must be agreed to in writing by the faculty member, chairperson, dean, and Provost.

5. Pre-*promotion* review process

a. A candidate will submit review materials and supporting documentation for review to the responsible persons (i.e., departmental chairperson, departmental *clinical promotion* committee) at the departmental level. (The School of Law and University Libraries will have only a unit review. Materials will be submitted directly to the unit dean.)

b. After giving adequate consideration to the materials, each department/unit will provide written feedback to the candidate in a timely fashion as designated by the departmental (unit in the case of the School of Law and University Libraries) clinical promotion document. In addition to a statement regarding progress toward promotion, feedback will include comments of a developmental nature, in line with the criteria for *promotion*, indicating areas of concern and suggestions for improvement.

c. The candidate's review materials, supporting documentation, and the written feedback will be forwarded to the appropriate unit dean. The dean will then review the materials and provide written feedback to the candidate in a timely fashion.

B. Common application and final review process for promotion

1. Each unit dean will establish a timetable regarding the submission and review of promotion materials.

2. The review materials for promotion will be cumulative. Materials generated as a result of review at the departmental level (unit in the case of the School of Law and University Libraries), including letters from chairperson, clinical promotion committee, departmental promotion and tenure committee, and response, will become part of the application package and will be forwarded to the unit for review. Likewise, materials generated in the unit review, including letters from dean, unit clinical promotion committee, and responses, will be forwarded to the Provost for review.

3. Materials of a substantive nature which update the submitted application (e.g., acceptance or publication of a manuscript) can be added to the application by the candidate at any point in the promotion review process until the Provost's recommendation is made. It is expected that appropriate consultation will take place if materials are added that will affect the recommendation.

4. Each academic department (unit in the case of the School of Law and University Libraries) will develop a "Procedural Form" that itemizes the promotion steps that are to be followed in the department and unit. As steps are completed, each of the responsible persons (e.g., departmental chairperson, departmental promotion and tenure committee, clinical promotion committee, chairperson of the unit promotion and tenure committee, and dean) in the unit will provide his or her signature, acknowledging that steps were completed in accordance with the departmental and unit procedural policies and indicating the date in which steps were completed. Each candidate will be provided an opportunity to sign, acknowledging receipt of written documentation and the date it

was received. A candidate's signature will not indicate agreement with the feedback or recommendations at any given point.

5. Departmental Application and Review Process (does not apply to School of Law and University Libraries)

a. A candidate will submit his or her application and supporting documentation for promotion to the departmental chairperson by the date specified by the departmental clinical promotion documents.

b. After giving adequate consideration to each application, each department, in accordance with its unit promotion procedures, will make a promotion recommendation in writing to the appropriate unit clinical promotion committee regarding each candidate. A letter from both the departmental chairperson and the clinical promotion committee will go forward to the unit clinical promotion committee. These letters will specify the reasons for the departmental recommendations and will be copied to the respective candidate.

c. If the candidate chooses, he or she can respond in writing. This response will be forwarded with all related materials to the unit clinical promotion committee.

6. Unit Application and Final Review Process (applies to all units)

a. The specific administrative process for submitting material, including to whom, must be specified in each unit's clinical promotion policies.

b. After giving adequate consideration to each application, each unit promotion committee will make promotion recommendations regarding each candidate in writing to the appropriate dean by the date specified in the unit clinical promotion documents.

c. After giving adequate consideration to the application, the unit dean will inform each candidate, in writing, of the recommendation and the reasons for it no later than the first business day following December 14. In units that conduct departmental reviews, this letter will be copied to the departmental chairperson. After ensuring the candidate has received notification, the departmental chairperson will share the recommendation with the departmental clinical promotion committee. The dean will also inform the unit clinical promotion committee of the recommendation.

d. Candidates or concerned individuals (e.g. departmental chairpersons, clinical promotion committee) who wish to submit a written response to the dean have until the first business day following December 21 to do so.

e. The dean will then consider any additional evidence and responses and send a recommendation in writing to the Provost, along with the completed "Procedural Form," cumulative file, and the response(s) of any candidate or

concerned individuals no later than the first business day after January 1. In units that conduct departmental reviews, this letter will be copied to the departmental chairperson, no later than the first business day following January 1. After ensuring the candidate has received notification, the departmental chairperson will share the recommendation with the departmental clinical promotion committee. The dean will also inform the unit clinical promotion committee of the recommendation.

7. Provost Recommendation Process

a. Candidates or any other concerned individuals (e.g. departmental chairpersons, clinical promotion committee or promotion and tenure committee members) have until the first business day following January 15 to file a written response to the dean's recommendation with the Provost.

b. The Provost will review all materials and make recommendations to the President no later than the first business day following January 30. Each candidate will be informed in writing of the Provost's recommendation. Candidates or any other concerned individuals (e.g. departmental chairpersons, clinical promotion committee or promotion and tenure committee members) who wish to submit a written response to the Provost will have until the first business day following February 15 to do so.

8. Final Administrative Authority

Final administrative authority rests with the President. Each candidate will be informed in writing of the President's decision. This decision will also be copied to the Provost, the appropriate dean, and the appropriate departmental chairperson.

9. Mediation and Appeals

If the candidate chooses to appeal the President's decision, he or she may begin the mediation process in accord with the Faculty Handbook, Section IV.E. If mediation does not resolve the complaint, the candidate may make use of the *grievance processes set out in the Faculty Hearing Committee on Grievances Bylaws and Operating Procedures*. The Board of Trustees will serve as the court of last resort in the appeals process.

10. Report to the Board of Trustees

a. The President will provide the Board of Trustees with a report of promotion actions at the spring meeting. The summary report will minimally include statistics regarding the gender and minority status of candidates.

b. The University Clinical Committee will receive a copy of the President's summary report on promotion and tenure no later than two weeks prior to the spring Board meeting.

c. The Clinical Committee will review the clinical promotion process for adherence to appropriate procedures and will examine the President's summary report before compiling a report of its own to present to the Academic Affairs Committee of the Board of Trustees at the Board's spring meeting. This report will also be provided to the President of the Academic Senate who will present it to the Executive Committee of the Academic Senate.

III. Implementation of the University clinical promotion policy

A. Clinical positions prior to the adoption of this policy.

Each unit will identify faculty positions which meet the requirements for reclassification as clinical faculty or faculty of practice as defined by the Clinical and Courtesy Appointments Policy. These reclassifications will be approved by the Office of the Provost. Faculty members who are currently serving in these positions will be reclassified as the position is reclassified. Consistent with Section I(A)(4), the faculty members who are reclassified will be eligible for consideration for assignment to a level following the approval of this policy and the adoption of unit and departmental policies and procedures for promotion of clinical faculty or faculty of practice.

B. Work of the Clinical Committee

1. *Elections for Clinical Committee members will be conducted in Fall 2017.*
2. *Each unit will submit its procedural policies for clinical promotion to the Provost's office. Those materials should be submitted as early as January 1 and no later than April 1, 2018.*
3. *The Clinical Committee will review all clinical promotion procedures by May 15, 2018.*

C. Composition and Rotation of members

1. *Starting with the first election, one member of the Clinical Committee will be elected to serve a one-year term, two will be elected to serve two-year term, and two more will be elected to serve three-year terms.*
2. *The Clinical Committee is to be comprised of tenured faculty until such time as sufficient numbers of clinical faculty are promoted to serve on the committee.*
3. *The majority of the tenured members will come from units with clinical faculty.*