

## Faculty Appointment Policy

Recommendation from the Executive Committee (Sheldon Pollack, Chair) with the concurrence of the Promotion and Tenure Committee (Tom Kaminski, Chair) for the revision to the Faculty Handbook section 4.1.1 regarding Promotion and Tenure “Faculty Appointment Policy” (attachment 1) (attachment 2)

WHEREAS, Section 4.1.1 of the Faculty Handbook (“Faculty Appointment Policy”) of the University of Delaware provides that the faculty in a department must approve any faculty “appointment” to the department; and

WHEREAS, Section 4.1.1 further provides that the academic rank of the new faculty member must be approved by the Provost, and appointments with tenure must be approved by the Provost and President; and

WHEREAS, in the case of an external faculty hire, there is no provision in the Handbook providing for faculty participation in the decisions as to the academic rank of such appointee or whether tenure will be granted; and

WHEREAS, it is important that faculty in the department participate in the determination of the academic rank and whether tenure should be granted to such an appointee; and further, it is important that in the case of a senior lateral faculty appointment, the voting process for faculty approval follow the same procedure that otherwise applies in the case of internal faculty promotions and/or the granting of tenure in that department; and

WHEREAS, it also is important that the faculty and administrators who are making such decisions have sufficient information to make an informed decision with respect to the appropriate rank of such appointee, and where relevant, whether tenure should be granted; be it therefore

RESOLVED, that Section 4.1.1 of the Faculty Handbook shall be amended to provide that faculty in a department shall vote on the rank of an external candidate for an appointment in that department, and where relevant, whether tenure shall be granted to the appointee, according to the procedures set forth in that department’s bylaws and promotion and tenure document for votes on internal candidates for promotion and/or tenure; and be it further

RESOLVED, that Section 4.1.1 of the Faculty Handbook shall be amended to provide that departments shall set forth requirements in their promotion and tenure documents describing what, if any, materials (including but

not limited to a dossier, external letters of review, and teaching evaluations) substantiating evidence of excellence in scholarship and/or teaching must be provided by a candidate for a faculty appointment in that department at a rank higher than the candidate's rank in his or her current academic position and for any faculty appointment that includes the granting of tenure to a candidate who does not already hold tenure in his or her current academic position.

## **Attachment 1 to Resolution:**

### **Approval of Senior Faculty Appointments.**

Section 4.1.1 of the Faculty Handbook ("Faculty Appointment Policy") provides that the faculty in a department must approve any faculty appointment in that department: "To appoint any person to an academic rank requires a positive recommendation from the faculty of the academic unit to which the person is to be assigned." Section 4.1.1 further provides that the academic rank of the new faculty member must be approved by the Provost, and appointments with tenure must be approved by the Provost and President. While the faculty in the department must approve the "appointment," the language of Section 4.1.1 can be interpreted to mean that the Provost and President *alone* decide the rank of the appointee and whether tenure will be granted; there is express no provision for faculty participation in the decision as to the academic rank or whether tenure will be granted. Moreover, the Handbook provides for no procedure describing which "faculty of the academic unit" must approve the "appointment." Departmental bylaws and promotion and tenure documents commonly restrict voting in promotion decisions for internal candidates to those faculty who are at or above the rank to which the candidate is applying, and in tenure decisions, to those faculty with tenure.

Under the current procedure, in the case of an external hire, someone who has never been granted tenure in his or her current academic position can be awarded tenure and/or a promotion in rank by the University with no review by the department's promotion and tenure committee. Likewise, the college and University promotion and tenure committees play no role at all in the review even though the appointment may include a promotion in rank and/or the granting of tenure to someone who does not already hold tenure in their current position.

Furthermore, when faculty vote on the appointment of a senior hire who may be offered a promotion and/or tenure, they must make their decision without the benefit of a dossier, external letters of review, or teaching evaluations of the candidate. The candidate is reviewed solely on the resume they submitted and whatever letters of reference they provided to the search committee—letters that are not necessarily written by objective third-parties or shared with the department as a whole. In short, those who come up for a

promotion and/or tenure within the University undergo a rigorous review process that is missing in the case of an appointment of a senior lateral hire.

To remedy this shortcoming in the procedure as it applies to the appointment of senior faculty (i.e., those above the rank of assistant professor), the Handbook should be amended to provide that the faculty in the department who otherwise are eligible under the department's bylaws and/or promotion and tenure document to vote to approve the granting of tenure to an internal candidate shall vote on whether tenure shall be granted to the external appointee. Likewise, the Handbook should be amended to provide that the faculty in the department who otherwise are eligible under the department's bylaws and/or promotion and tenure document to vote to approve the promotion of an internal candidate shall vote on the rank granted to an external appointee.

Finally, departments may decide that more information than just the candidate's resume should be provided to the department promotion and tenure committee so that faculty can make an informed decision. While a full dossier and review process comparable to that required for internal promotions and/or tenure decisions may not be necessary, some evidence of excellence in research and/or teaching should be provided to the department's promotion and tenure committee in cases where the candidate does not already hold tenure in his or her current position or where a promotion in rank comes with the appointment. Departments that decide to require additional information shall amend their promotion and tenure documents to specify what kinds of evidence must be submitted by a candidate for a senior appointment to support the granting of tenure in cases where the appointee does not already hold tenure in his or her current academic position and/or in cases where a promotion in rank above that of his or her current academic position comes with the appointment. Departments may specify that candidates submit a "mini-dossier" that includes less information and fewer external letters of review than what is required of internal candidates for promotion and/or tenure.

## **Attachment 2 to Resolution:**

### **Current Version of Section 4.1.1 ("Faculty Appointment Policy") of the Handbook:**

This policy shall apply to all academic units for the appointment to an academic rank. The policy shall be applicable to all full- and part-time positions, permanent and temporary positions, joint, secondary and adjunct positions, regardless of funding source.

- To appoint any person to an academic rank requires a positive recommendation from the faculty of the academic unit to which the person is to be assigned. The faculty of each academic unit may formally designate a subgroup to act for the unit as a whole, if it so wishes. Such subgroups may include search committees, department and college executive committees or senates.

- There shall be a search committee for each new or vacant faculty position. The University of Delaware Recruitment Manual for faculty, professional and salaried staff members sets forth the policy governing the establishment of search committees and the search procedures for filling faculty positions.
- The college dean and department chairperson act for the college and department faculty, respectively. It is understood that they consult with college or department faculty according to college and department policies and procedures in making their recommendations.
- Academic rank must be approved by the Provost and appointments with tenure must be approved by the Provost and President.

### **Proposed Revision of Section 4.1.1 (“Faculty Appointment Policy”) of the Handbook:**

This policy shall apply to all academic units for the appointment to an academic rank. The policy shall be applicable to all full- and part-time positions, permanent and temporary positions, joint, secondary, [affiliated](#), and adjunct positions, regardless of funding source.

- To appoint any person to an academic rank requires a positive recommendation from the faculty of the academic unit to which the person is to be assigned. ~~The faculty of each academic unit may formally designate a subgroup to act for the unit as a whole, if it so wishes. Such subgroups may include search committees, department and college executive committees or senates.~~
- The academic rank of such appointee must be approved by a favourable vote of those faculty in the academic unit who are eligible to vote under the department’s bylaws and/or promotion and tenure document in cases involving the promotion of an internal candidate for promotion; furthermore, appointments with tenure must be approved by the faculty in such academic unit who are eligible to vote under the department’s bylaws and/or promotion and tenure document in cases where tenure is granted to an internal candidate. Academic rank also must be approved by the Provost, and appointments with tenure must be approved by the Provost and President.
- Departments may specify in their promotion and tenure documents what, if any, evidence is required to be submitted by a senior external candidate for an appointment to support the granting of tenure in cases where the candidate does not already hold tenure in his or her current academic position and/or a promotion in rank above that of his or her current academic position. Departments may require “mini-dossiers” that include less information and fewer external letters of review than are required of internal candidates for promotion and/or tenure.
- There shall be a search committee for each new or vacant faculty position. The University of Delaware Recruitment Manual for faculty, professional and salaried

staff members sets forth the policy governing the establishment of search committees and the search procedures for filling faculty positions.

- The college dean and department chairperson act for the college and department faculty, respectively. It is understood that they consult with college or department faculty according to college and department policies and procedures in making their recommendations.
- ~~Academic rank must be approved by the Provost and appointments with tenure must be approved by the Provost and President.~~