

INTRODUCTION

Excellence is the original and continuing goal of Virginia Commonwealth University (VCU). A prerequisite of this goal is the recruitment and retention of a distinguished faculty. This requires the appointment, promotion and tenure of a faculty in a way that encourages excellence in the creation, dissemination and application of new knowledge and artistic expression and fosters an atmosphere of free inquiry and innovation in a global setting.

Appointment, promotion and tenure are based on the merit of the individual, consideration of comparable achievement in the faculty member's particular field, and the faculty member's value to the mission, needs and resources of the university. Central to the appointment, promotion and tenure process is VCU's commitment to recognize and reward faculty members who help fulfill the mission and vision of the university.

The numbering in this document corresponds with items found in the *VCU Faculty Promotion & Tenure Policies and Procedures* document. Since it is not necessary to repeat all of the items from the university document, there are breaks in the numbering sequence of this document.

Policy Statement and Purpose

Virginia Commonwealth University has established its policies and procedures for faculty promotion and tenure. The *University Faculty Promotion and Tenure Policies and Procedures* and the *School of the Arts Faculty Promotion and Tenure Policies and Procedures* documents institute a unified promotion and tenure system throughout the university, while allowing variations in the academic units to accommodate their specific needs.

Noncompliance with this policy may result in disciplinary action, up to and including termination. VCU supports an environment free from retaliation. Retaliation against any employee who, in good faith, brings a concern, asks a clarifying question, or participates in an investigation is prohibited.

Who Should Know This Policy

All faculty eligible for tenure and/or promotion are responsible for knowing this policy and familiarizing themselves with its contents and provisions. Eligible faculty are also responsible for knowing university and departmental Promotion and Tenure Policies and Procedures.

Format for the Curriculum Vitae

ALL CURRICULUM VITAE SUBMITTED FOR REVIEW SHALL USE THE FORMAT in the School of the Arts *Faculty Promotion and Tenure Policies and Procedures*. Candidates may add and/or reorganize sub-categories to best showcase achievements and delete sub-categories for which there are no entries. Consult departmental guidelines for augmentation and clarification.

PROCEDURES

1.1 Goal

Conforming to the Virginia Commonwealth University *Faculty Promotion and Tenure Policies Procedures* as approved by the Board of Visitors on May 10, 2013, this document is in agreement with the policies and procedures for the School of the Arts. If the school document is silent on a topic, the department will adhere to the University promotion and tenure document. If the Department of Music document is silent on a topic the University and School documents shall be strictly adhered to. The Department of Music guidelines shall amplify the general university and school criteria, and specify the details and uniqueness involved in meeting the particular goals and objectives as related to the school and university.

The numbering in this document corresponds with items found in the VCU *Faculty Promotion & Tenure Policies and Procedures* document. Since it is not necessary to repeat all of the items from the university or school documents, there are breaks in the numbering sequence of this document.

2.1 General Criteria and Criteria Definitions For Tenured, Tenure-Eligible, and Term (Non-Tenure) Faculty Members

The criteria for evaluation of individuals for promotion and/or tenure include (1) Appropriate Credentials and Experience, (2) Demonstrated Continuing Scholarship and Professional Growth, (3) Demonstrated Quality in Teaching, and (4) Demonstrated Performance of Service Responsibilities within the University, School, and Department, and to the profession and broader community. Individual work plans, Annual Reports, and annual evaluations developed in accordance with the Faculty Roles and Rewards policy are integral to evaluating faculty performance on each of these criteria.

A. APPROPRIATE CREDENTIALS AND EXPERIENCE

The candidate must hold the appropriate terminal degree or its equivalent. The terms and/or qualifications determined by an equivalence, and individual certifying the equivalence, shall be clearly stated in writing at the time of the candidate's hiring and shall be available to the Promotion and Tenure Peer Review Committee and forwarded by the Department of Music chair to the School of the Arts Promotion and Tenure Committee. Equivalencies are determined by the search committee, the department chair and the dean. The candidate's faculty position and assignment shall be commensurate with the candidate's background and experience. *Appropriate Credentials and Experience* shall be rated as *satisfactory* or *unsatisfactory*. For promotion to the next academic rank, *Appropriate Credentials and Experience* must be rated as *satisfactory*.

B. CONTINUING SCHOLARSHIP AND PROFESSIONAL GROWTH

The candidate's continuing scholarship, professional growth, and research/creative activities are prerequisites for promotion and tenure; the candidate must demonstrate continuing accomplishments during the probationary period. *Continuing Scholarship and Professional Growth* must be evaluated as *excellent*, *very good*, *satisfactory*, or *unsatisfactory*.

Activities should demonstrate a commitment and contribution that reflect high standards of quality and competence. In a university environment characterized by academic freedom

and individual autonomy, it is the responsibility of each faculty member to establish and maintain an individual program of research/creative endeavor. It is not the prerogative of the university, school, or department to place limitations or definitions upon the creative, professional, and/or scholarly directions explored by each faculty member within his or her discipline.

Data substantiating the quality of Continuing Scholarship and Professional Growth must be derived from a variety of sources with no single source serving as the sole criterion. Some of the commonly accepted data sources in the Virginia Commonwealth University Department of Music are:

- Peer evaluations by colleagues within the department, school, and university, and by colleagues within the profession who are external to this university
- Assessment of professional accomplishments such as performances, and/or presentations at conferences, etc., where such participation contributes to the field.
- Evaluations of publications, presented papers, seminars, creative activities, professional practice, and/or consultations. When professional assignments are executed without rigorous or exploratory requirements, with or without remuneration, such work shall be listed as service.
- Evidence that the candidate has remained current in the field and maintained an ongoing program of professional growth.
- Scholarly research, including all published and in-press journal articles, book chapters, books published, and manuscripts in draft. Substantial review-essays may be included in this category.
- Scholarly editions of music published or accepted for publication by a reputable press.
- Presentations and clinics, both invited and competitive, at regional, national, or international meetings or for a similar professional gathering.
- Compositions, published and unpublished.
- Recitals on campus and elsewhere, including solo performances and performances with chamber groups, orchestras, or other ensembles.
- Performances related to scholarship.
- Creative activity such as mixed media, stage direction, and stage design.
- Guest conducting appearances.
- Recordings and recording contracts.
- Development of new technologies.
- Certain reviews of books, articles, compositions, performances, and other creative activity.
- Grants and contracts for research and/or creative activities.
- Awards and honors for research/creative activity.

C. TEACHING

Demonstrated quality in Teaching is essential for promotion and tenure, and shall be evaluated as *excellent, very good, satisfactory or unsatisfactory*. A teacher in the Department of Music is an artist and/or scholar who brings creative, intellectual, and technical expertise of the discipline to the classroom, studio, or performance space. Teaching in the Department of Music takes place in the following situations: one-on-one teaching situations between student and teacher; ensemble courses with a number of

students directly involved along with the teacher in the intellectual or creative process; and traditional lecture courses.

Teaching shall be evaluated based primarily upon the impact of the faculty member's teaching in programs relevant to the mission of the Department of Music. Faculty members shall demonstrate mastery of their subject matter and be proficient in communicating this understanding to students. Faculty members should demonstrate that their students and/or communities learn. There should be evidence of the candidate's sustained commitments to instruction, to inclusion of mentoring and availability to students as a component of teaching, to sustained effectiveness as a contributor to intellectual and professional development through devices such as course design, course material, curriculum development, and attention to other mechanisms of enhancing learning and educational programming. Mentoring, and other forms of beneficial interactions between the candidate and learners, may be given appropriate weight as part of the teaching criteria as determined by the academic unit. Demonstrated quality of teaching may include service learning and community-engaged teaching that connects students and faculty members with activities that address community-identified needs through mutually beneficial partnerships and/or service-learning that deepens students' academic and civic learning.

Factors to be considered in evaluating teaching may include but are not limited to items listed below.

A teacher in the Department of Music:

- Has a thorough and appropriate knowledge of the discipline
- Organizes the course information and curricular ideas
- Has appropriate teaching techniques
- Communicates and imparts knowledge, skills, and processes appropriate to the discipline
- Develops the intellectual and creative abilities of the students
- Demonstrates concern for students
- Develops teaching and curricular innovations
- Utilizes a fair and impartial process for student evaluation
- Mentors students
- Maintains high professional, academic, and ethical standards
- Remains current in the discipline and relates important advancements in the discipline to students
- Inspires the student to achieve excellence in the discipline

Data substantiating the quality of teaching must be derived from a variety of sources with no single source serving as the sole criterion. Some of the commonly accepted data sources in the Virginia Commonwealth University Department of Music are:

- Cumulative student evaluations which are required for every course and are required for the peer review process
 - Candidates are encouraged to maintain a file of their own evaluations
 - Independent studies
- Assessments of candidate by colleagues (required)

- Peer evaluations based on class or lesson observations, student recital hearings and juries, or on other performances or activities of students
 - Teaching awards and recognition
- Self-assessment of teaching
 - Comment on the level of educational value, artistic quality, and success of students who perform solo or chamber recitals or who have significant solo roles in ensembles (for faculty members whose duties involve teaching and preparing students for these performances)
- Student surveys and letters of support
 - May include coaching
 - Unsolicited comments from students and colleagues indicating the influence of the candidate's teaching
 - Documented evidence of recruitment and/or retention of students
- Course materials and documents produced or developed by the candidate as submitted by the candidate
 - Candidates are encouraged to develop a teaching portfolio
- Documentation of student and alumni accomplishments in courses and beyond VCU
- Documented efforts to improve teaching effectiveness
 - Grants for curriculum development
 - Work with the Center for Teaching Effectiveness
- Classroom observation by department chair and members of the Peer Review Committee
- Directing theses and dissertations
- Mentoring
- Evidence of recognition as a pedagogue (based on materials such as publications and reviews, work with national educational institutions or committees, and student awards). For professor, the candidate must have achieved a documented national reputation or recognition as a successful teacher
- Workshops, festivals and lectures, including evaluations of presentations and materials

D. SERVICE

Service refers to those activities that contribute directly or indirectly to the well-being of the university, school, department, profession and broader community. These activities may be solicited, unsolicited, paid or unpaid. There are two broad categories of service: professional service and community service. For promotion and tenure assessment, professional service in the area of the candidate's expertise is given primary consideration. Service must be evaluated as *excellent*, *very good*, *satisfactory* or *unsatisfactory*.

Service includes engaging in the application of learning and discovery to improve the human condition and support the public good at home and abroad. Demonstrated performance in service may include community-engaged service, which is the application of one's professional expertise to address a community-identified need and to support the goals and the mission of the university and the community partner.

In cases where an activity could be listed in either *Service* or *Continuing Scholarship and Professional Growth*, it is left to the discretion of the candidate where in the vitae the final listing is made. However, the candidate is encouraged to seriously consider the depth and

breadth of the work and the type of preparation involved in the process of making the final determination.

Service to the profession refers to undertakings such as participating or holding office in professional associations and societies, professional adjudications and other contributions made as a result of professional endeavors.

Academic service refers to activities within VCU, such as serving on committees, overseeing programs, consulting with committees or peers, lectures, conducting workshops, providing instruction beyond assigned teaching load, and providing other services or assistance.

Administrative service also refers to those service duties that are normally expected of individuals holding administrative positions such as chairs, directors or deans.

Community service refers to activities where the candidate applies professional expertise to the broader community, such as serving on committees, administering programs, consulting, lecturing, conducting workshops, providing instruction, or providing assistance relating to the candidate's profession.

Service activities outside VCU that relate to fulfilling one's civic duty should not be considered in evaluating Service.

2.1.1 Application of Criteria and Criteria Ratings For Tenured, Tenure-Eligible And Term (Non-Tenure) Faculty

Faculty member performance with respect to *Continuing Scholarship and Professional Growth*, *Teaching*, and *Service* shall be rated (in descending order) as excellent, very good, satisfactory or unsatisfactory. Credentials and experience shall be rated as satisfactory or unsatisfactory. All written reports and evaluations of tenure and tenure-eligible faculty performance ratings shall use this terminology.

The candidate's continuing scholarship, professional growth, and research/creative activities shall be rated according to the following categories:

Excellent Continuing Scholarship and Professional Growth

A rating of excellent denotes a sustained pattern of exemplary accomplishment, making a high level contribution to the discipline.

Very Good Continuing Scholarship and Professional Growth

A rating of very good signifies accomplishments notable for their substantial quality over several years.

Satisfactory Continuing Scholarship and Professional Growth

A rating of satisfactory represents achievements in research/creative activities that suggest future potential for sustained growth and development.

Unsatisfactory Continuing Scholarship and Professional Growth

A rating of unsatisfactory represents an absence of research/creative activity, or research/creative activities whose quality or modest quantity do not meet the prevailing norms for the profession.

The candidate's teaching shall be rated according to the following categories:

Excellent Teaching

A rating of excellent denotes a sustained pattern of exemplary accomplishment in teaching, making a high level contribution to students.

Very Good Teaching

A rating of very good signifies teaching accomplishments notable for substantial quality over several years.

Satisfactory Teaching

A rating of satisfactory represents achievements in teaching activities that suggest future potential for sustained teaching growth and development.

Unsatisfactory Teaching

A rating of unsatisfactory represents an absence of quality teaching, or modest teaching quality that does not meet the prevailing norms for the department, school or profession.

The candidate's service activities shall be rated according to the following categories:

Excellent Service

A rating of excellent denotes a sustained pattern of exemplary service accomplishment, making a high level contribution to the department, school, university, profession or community.

Very Good Service

A rating of very good signifies service accomplishments notable for ongoing quality and quantity.

Satisfactory Service

A rating of satisfactory represents achievements in service activities that suggest future potential for sustained growth and development.

Unsatisfactory Service

A rating of unsatisfactory represents an absence of service activity, or service activities whose quality or modest quantity do not meet the prevailing norms for the department, school, university, profession or community.

2.1.1A Ratings for Promotion

Continuing Scholarship and Professional Growth Criteria for Promotion to Each Academic Rank

For promotion from instructor to assistant professor, the candidate must show skills in

Continuing Scholarship and Professional Growth and exhibit potential for continued development in this area.

For promotion from assistant to associate professor, the candidate should have attained a sustained and recognized level of *Continuing Scholarship and Professional Growth*. The candidate must have continued to demonstrate potential in this area, currency in the discipline, and commitment to personal growth in the field which shows a pattern of accomplishment in scholarship that indicates progress toward national reputation or recognition.

For promotion from associate professor to professor, the candidate must demonstrate a continuing, high level of proficiency and pattern of accomplishments in *Continuing Scholarship and Professional Growth* as recognized by colleagues and peers. Documented national reputation or recognition is required.

Teaching Criteria for Promotion to Each Academic Rank

For promotion from instructor to assistant professor, the candidate must demonstrate criteria from among those listed in “Factors to be Considered in Evaluating Teaching” and exhibit potential for the development of further effectiveness as a classroom/studio teacher.

For promotion from assistant to associate professor, the candidate should have demonstrated the teaching capability indicated by the potential shown above in “For promotion from instructor to assistant professor” and must have shown leadership in departmental curricular development and program enhancement. Furthermore, the candidate must have continued to demonstrate through teaching the candidate’s currency in the discipline and a commitment to personal growth in the field.

For promotion from associate professor to professor, the candidate must demonstrate a sustained high level of proficiency in teaching recognized by colleagues and peers as well as students current and past.

Service Criteria for Promotion to Each Academic Rank

For promotion from instructor to assistant professor, the candidate must exhibit service accomplishments and show potential for continued contributions in the area.

For promotion from assistant to associate professor, the candidate should have attained a sustained and recognized level of service. The candidate must have demonstrated the potential for continued service.

For promotion from associate professor to professor, the candidate must demonstrate a high level of continued involvement in service as well as a commitment for future service contributions.

Appropriate Credentials and Experience

This category must be rated as satisfactory or unsatisfactory. To rise to the next academic rank, candidates must be rated satisfactory in Appropriate Credentials and Experience.

The following chart displays the minimum criteria (in terms of *satisfactory, very good or excellent*) for each academic rank for *Continuing Scholarship and Professional Growth, Teaching, and Service*.

2.1.1. B Basic Criteria for Promotion and Tenure

	Assistant	Associate	Professor
Excellent*		1	2
Very Good	1	2	1
Satisfactory	2		

* A rating of *Excellent* in either *Continuing Scholarship and Professional Growth* or *Teaching*, and a rating of *Very Good* in the other areas is required for promotion to associate professor. A rating of *Excellent* in both *Continuing Scholarship and Professional Growth* and *Teaching*, and *Very Good* in *Service* is required for promotion to professor.

Appointment, Promotion to Assistant Professor

Promotion to assistant professor requires suitable preparation and experience in the discipline, satisfactory performance of all academic duties, and demonstrated potential for further professional development in teaching continuing scholarship and professional growth and service. From among the criteria of *Continuing Scholarship and Professional Growth, Teaching, and Service*, the candidate for assistant professor must be ranked at least *satisfactory* on two of these criteria and at least *very good* on one of these criteria.

Appointment, Promotion and/or Tenure to Associate Professor

Promotion to associate professor requires a terminal degree or equivalent, a sustained, demonstrated pattern of accomplishments in the areas of *Continuing Scholarship and Professional Growth, Teaching, and Service*. Candidates for the rank of associate professor must have achieved sufficient quality and quantity of sustained endeavors which enable them to be judged as (1) effective, conscientious, and impartial teachers, (2), creative, independent, and productive artist/researchers, and (3) individuals who have produced meaningful service. From among the criteria of *Continuing Scholarship and Professional Growth, Teaching, and Service*, the candidate for associate professor must be ranked *excellent* in the area of *Continuing Scholarship and Professional Growth* or *Teaching* and at least *very good* in the other criteria.

Appointment, Promotion and/or Tenure to Professor

Promotion to professor requires a terminal degree or equivalent. Promotion to this rank is a significant achievement that demonstrates exceptional contributions in *Continuing Scholarship and Professional Growth, Teaching, and Service*. Promotion to professor shall be reserved for those who have been recognized nationally by their peers for their professional achievements. From among the criteria of *Continuing Scholarship and Professional Growth, Teaching, and Service*, the candidate for professor must be ranked *excellent* in *Continuing Scholarship and Professional Growth* and *Teaching* and at least *very good* in *Service*.

Candidates must be effective researchers and teachers and show a pattern of distinguished accomplishment in scholarship that indicates progress toward a national or international reputation in their discipline. When the rank of professor is being considered, factors to be considered in evaluating national or international significance may include but are not limited to the following:

- Evidence of quantity and quality of publications, including books and publication in major peer-reviewed professional journals, collections, and Festschriften.
- Evidence of performances and professional activities at a high artistic level in professionally significant venues, both in the United States and other countries.
- Evidence of performances of major compositions
- Evidence of performances at a high artistic level at Virginia Commonwealth University.
- Evidence of performances and professional activities at a high artistic level with professionally significant musical organizations
- Evidence of national reputation or recognition as a scholar, composer, performer, clinician, or other creative artist (for professor a documented national reputation or recognition is required)
- Books or articles in respected professional journals by or about the candidate
- Grants, fellowships, prizes and awards of substantive consequence
- Important recording or publishing contracts
- Positive reviews of publications, performances, and other artistic activity
- Reviews by critics having national prominence
- Presentation of papers, performances, workshops, or seminars at national professional conferences
- Election to office of a national professional organization
- Assessment by external evaluators stating that the quality of the candidate's work is equivalent to other work being presented on a national level
- The significance of the credentials of the external evaluators

2.1.2 Application of Criteria and Criteria Ratings for Promotion for Term (Non-Tenure) Faculty

Faculty with Term appointments are valued members of the faculty and are eligible for promotion following the same criteria and procedures described above. The weighting of the candidate's mix of duties is stated in the approved annual Individual Work Plans and assessed by the chair in the candidate's annual report.

The voting rights of the faculty when considering promotion of Term faculty shall be the same as when considering promotion and/or tenure for tenure-eligible faculty, and promotion for tenured faculty.

3.0 Appointments

All faculty appointments shall be tenured, probationary (tenure-eligible), term (non-tenure) or adjunct (non-tenure).

Adjunct (non-tenure) appointments are part-time. All other appointments shall be full-time and tenured, probationary (tenure-eligible), or term (non-tenure).

Unless otherwise specified in the contract letter, when the term of the appointment of a full-time faculty member is not to be renewed, the faculty member shall be notified:

- a. At least three months prior to the expiration of the appointment during the first year at the University;
- b. At least six months prior to the expiration of the appointment during the second consecutive year at the University
- c. At least 12 months prior to the expiration of the appointment after two consecutive years at the University.

The total period of appointment at the instructor rank shall not exceed seven years.

3.1 Tenured Appointments

A tenured appointment is an appointment that continues until the faculty member either voluntarily leaves the University or is dismissed for cause as specified in Section 11.1 of the *VCU Faculty Promotion & Tenure Policies and Procedures* document. Tenure is conferred by criteria and procedures established by the university document and supplemented by school and appropriate department guidelines. Tenure is granted only at the rank of associate professor or professor. Tenure is conferred based on the faculty member's demonstrated capabilities, academic achievement and the University's anticipated long-term academic needs.

A recommendation for a tenured appointment is initiated only by an academic unit within the school. For initial appointment recommendation with tenure the candidate, must, prior to appointment, undergo a tenure review by the Search Committee and the School of the Arts Promotion and Tenure Committee which shall convene for this purpose. This review shall be conducted using the appropriate departmental and school guidelines. The School of the Arts Promotion and Tenure Committee shall promptly submit its recommendation to the dean, along with the recommendation of the Search Committee.

3.2 Probationary (Tenure-Eligible) Appointments

Probationary appointments are granted to faculty members with suitable preparation and experience who are appointed in positions identified by the department and/or school as appropriate for tenured faculty. Tenure eligible status applies to faculty members who hold positions that have been approved by the dean and the appropriate department chair as tenurable positions. For positions outside a department, the dean shall make such determinations. Such individuals are considered to be serving probationary periods as defined by the university's promotion and tenure policies. Instructors are not eligible for tenure. Tenure may be held either at the school or departmental levels for the school's deans and directors.

The maximum period of probationary service of an assistant professor is six academic years. At the end of this six-year period, the faculty member must be given an appointment with tenure or a one-year terminal appointment.

An initial appointment at the rank of professor or associate professor may also be a probationary appointment. The maximum period of probationary service is two years as a professor and three years as an associate professor. At the end of these periods the faculty member must be given an appointment with tenure or a one-year terminal appointment.

Any contractual conditions that would affect the promotion and tenure process shall be documented at the time of hiring and disclosed at all levels of review.

With certain outstanding exceptions (e.g. Fulbright and Guggenheim fellowships), the period to be considered for the initial review shall be from the time of hiring. The period for subsequent reviews shall be from the last promotion.

The Faculty Mentor

A tenure-eligible faculty member whose initial appointment is at the rank of assistant professor shall be assigned a tenured faculty mentor (or mentors) at the beginning of the probationary period. The mentor's role is to provide ongoing guidance as the probationary faculty member prepares for promotion and tenure. The mentor shall meet with the probationary faculty member at least once each semester to review progress, answer questions, and offer suggestions. Specific areas in which the mentor shall provide guidance include the following:

- Understanding university, school, and department promotion and tenure policies and procedures
- Record-keeping
- Making effective use of teaching evaluations
- Reviewing candidate's materials for the third-year review and the promotion and tenure review
- Prioritizing faculty scholarly, service, and teaching activities

3.2.3 Evaluation of Probation

In the third year of the probationary period for a tenure-eligible faculty member whose initial appointment was at the rank of assistant professor, a review shall be conducted to evaluate progress toward tenure. Before the end of the fall semester of the faculty member's third year, the department chair shall appoint a third-year review committee consisting of three of the department's tenured faculty members. By January 15 of that academic year, the faculty member being reviewed shall forward to the committee a current curriculum vitae following the approved School of the Arts promotion and tenure format (see Appendix), plus other materials deemed useful as documentation of work completed or in progress. The faculty member should outline a research plan for the remainder of the probationary period as a part of a Narrative Statement at the end of the curriculum vitae. In addition to the curriculum vitae, the committee shall collect materials including, but not limited to, the following:

- Signed student evaluations of instruction
- A signed evaluation by the department chair
- A written statement from the faculty mentor documenting mentorship process

The committee may employ other means of gathering information as needed, including direct observations of teaching. The committee shall evaluate the faculty member's progress toward meeting the criteria for promotion and tenure as stated in the school's *Faculty Promotion and Tenure Policies and Procedures* and in this document, and shall prepare and deliver a written report on its findings to the department chair by April 30. Confidentiality shall be maintained throughout the committee's review. The committee's report shall address separately the criteria of *Appropriate Credentials and Experience, Continuing Scholarship and Professional Growth,*

Teaching, and *Service*, with particular attention to any specific areas of deficiency that may exist. The report shall also include a recommendation either for continued probation or for termination, indicating the numerical vote for this recommendation. The committee's report shall become a part of the faculty member's permanent file. The department chair shall share the report's finding with the faculty member and shall make use of it in counseling the faculty member regarding his or her progress. This report becomes a part of the candidate's Promotion and Tenure file and shall be available to the Peer Review Committee.

The department chair, the reviewing faculty of the department, or the candidate may request a review for a recommendation to grant tenure. A faculty member may be reviewed for tenure once before the normal review occurring at the end of the probationary period. Faculty members reviewed for tenure before the end of their full probationary period shall not be subject to any extraordinary requirements and shall be required to meet the same standards required of them at the end of the full probationary period. A decision to terminate a probationary appointment may be made during any year of the probationary period and need not wait until the end of the normal probationary period.

TERM (Non-Tenure) APPOINTMENTS

Term positions are non-tenurable ranks. For school level term appointments, the dean determines which position shall be determined as term. For departmental level appointments, the dean and department chair shall make such designations. Assignments of term positions are based upon school and department needs, position descriptions, and budgetary allocations. Should a term faculty member subsequently be reassigned to a tenurable position, the years of service as a term faculty member are not counted as part of the probationary period.

The School guidelines detail the criteria, policies and procedures to be followed when a member of the term faculty is moved to a tenure track appointment. When this occurs, all of the achievements and accomplishments of the faculty member become part of the tenure track review process.

3.3 Continuing Review of Faculty

The School of the Arts annual review policy and process includes not only an evaluation process near the close of the academic year, but also an opportunity for faculty members to establish future goals which are agreed upon with the department chair in accordance with the Faculty Roles and Rewards policy. Individual faculty and chair determine in writing the type and kind of individual emphasis to be placed upon the areas of Continuing Scholarship and Professional Growth, Teaching, and Service. However, it is understood that individual goal setting and evaluation does not preclude the quality expectations of teaching, research and service contributions of faculty.

7.0 Academic Review Procedures for Promotion and Tenure for Tenured, Tenure-Eligible and Term (Non-Tenure) Faculty

7.1 Promotion and Tenure Initiated at the Department Level

The department chair appoints a peer review committee with total faculty representation to consist of at least three tenured faculty, with a minimum of two tenured faculty from within the department, when possible, and at least one tenured faculty from outside the department. To complete the committee there must also be at least one student representative. The student member of the committee shall have full voting rights.

For term (non-tenure) faculty members, the committee must have a majority of tenured faculty members, including at least one from outside the department, and at least one term (non-tenure) faculty member. To complete the committee there must also be at least one student representative. The student member of the committee shall have full voting rights.

The chair of the committee is appointed by the department chair. The department chair shall notify the candidate of the proposed peer review committee, and the candidate shall have the right to challenge any member of the committee for cause. Such challenges must be made in writing to the department chair within five working days following the date the candidate is notified of the committee composition.

7.1.1 Peer Evaluation

The peer review committee shall conduct a substantive evaluation of the candidate's record and performance, including all accumulated student evaluations, individualized work plans developed in accordance with the Faculty Roles and Rewards Policy, prior reviews and written internal and external evaluations. Only the peer review committee shall solicit and receive external evaluations. Evaluations may be solicited from both persons suggested by the candidate and persons suggested by the committee. The file shall list all persons solicited for letters and identify each person as either named by the candidate or named by the committee. The committee shall state, in final reports, the qualifications of external evaluators and their positions within the profession. Department of Music guidelines shall specify the details of the use of external evaluations in the unit's academic review process.

Typically the period of review is from the time of hire or from the last promotion. Activity prior to this demonstrates a sustained pattern of activity and accomplishment and may be considered. The peer review committee shall add a written report to the candidate's file which shall include the numerical results of a secret ballot for or against recommending promotion and/or tenure and the rationale for the recommendation. The peer review committee shall forward the file to the department chair.

In the case of a department chair being recommended for tenure and/or promotion, the dean functions, in the process, in relation to the department chair the way the chair functions in relation to a faculty member. Thus, the dean should initiate the review process, form the peer review committee, notify the chair of the proposed committee, and review the chair according to the appropriate policies and procedures.

Committee Process

At the first meeting of the peer review committee, the committee chair shall:

- Oversee the election of a secretary who shall record the minutes and document all committee proceedings.

- Discuss with the committee its responsibilities, the schedule of meetings, the timetable for the review process, the candidate materials, and the need for confidentiality.
 - Candidate materials include, but are not limited to, vitae information, peer evaluations, student evaluations, alumni evaluations, external reviews, and letters solicited by the committee.
- Assign tasks and establish deadlines.
- Schedule an interview with the candidate.

Candidate Materials

The candidate must prepare documentation of *Continuing Scholarship and Professional Growth, Teaching, and Service*. All materials should be professionally presented, with appropriate labeling and description. These materials shall include but shall not be limited to:

- A current curriculum vitae in the required School of the Arts format.
- Continuing Scholarship and Professional Growth
- Teaching
- Service
- A list of potential external evaluators.
- A list of contacts for items in Continuing Scholarship and Professional Growth, Teaching, and Service
- A list of professional contacts
- A list of current and former students
- The candidate must provide complete documentation for each entry on the curriculum vitae. Candidates should respond in writing to any queries addressed by the committee.

External Evaluation

External evaluation shall be an integral part of the review process for tenure and for promotion in rank. Evaluators shall be selected from a list compiled by the peer review committee, including names of potential evaluators recommended by the candidate. Each candidate shall have a minimum of three external evaluators. Each evaluator shall be carefully selected to ensure that all areas of the candidate's expertise are examined by qualified reviewers. External reviewers must be individuals with expertise in the candidate's field or a related scholarly field, be from outside VCU, and be an individual who can provide an independent review of the candidate's work. External evaluators need not have the same academic rank for which the candidate is being considered. Persons who have co-authored publications, collaborated on research, or been institutional colleagues or academic mentors/advisors of the applicant should normally be excluded from consideration as outside evaluators. The peer review committee report shall list all individuals solicited for letters and identify each person as either named by the candidate or named by the committee, and identify the relationship of the external reviewer to the candidate. The external reviewer must describe the nature of his/her relationship with the candidate in the review letter.

Only the peer review committee shall solicit and receive external evaluations. All letters from external evaluators shall be confidential unless disclosure is required by law. This policy shall be conveyed to the external reviewers when letters are solicited. All solicited letters must be included in the candidate's file. The committee and department chair shall state, in final reports, the qualifications of external evaluators and positions within the profession.

Evaluators agreeing to review the candidate's qualifications shall be instructed to evaluate the candidate's work and performance in the areas of continuing scholarship and professional growth and/or service against the criteria for excellence that have been established in the discipline. Evaluators are not to make recommendations for or against promotion and/or tenure.

In addition to the external evaluators, other sources of information for external evaluation include, but are not limited to those listed in section 2.1.1. Such factors as the significance of activities listed in 2.1.1, as well as the credentials of the external evaluators may be used to establish a candidate's national reputation or recognition required for promotion to professor.

7.1.2 Department Chair

After receiving the file from the peer review committee, the department chair reviews the file using departmental policies and procedures as a reference, requests supplementary material as needed, states the qualifications of external evaluators and their positions within the profession, adds a written recommendation and forwards the recommendation, the file, and the peer review committee report to the school promotion and tenure committee.

7.1.3 School of the Arts Promotion and Tenure Committee Evaluation

The chair of the promotion and tenure committee receives the file from the department chair, and the school committee reviews the file using the guidelines of the School of the Arts as a reference. The school committee reviews prior recommendations and enters a written report of its proceedings including the results of a secret ballot for or against recommending promotion and/or tenure and the rationale for the recommendation. The complete file is forwarded to the Dean of the School of the Arts.

8.1 The Dean

After receiving a file, the dean reviews the file and adds a recommendation addressing the fiscal and programmatic impact of the proposed academic personnel action on the school. Addressing programmatic impact shall at least involve a review of the substantive case being made for tenure or promotion, and may further include other programmatic issues such as the long-term direction of the program, the role of the faculty member in realizing the mission of the department, and the faculty member's competence in fulfilling this role. The dean forwards the original file to the vice president for academic affairs. A copy of the file, complete with all reviews and recommendations, is given to the candidate.

If the recommendation is not supported by either the peer review committee, the chair of the department, or the school tenure and promotion committee, then the dean has the option of returning the file, no more than once, to those review bodies that did not support the proposed personnel action and request consideration. When promotion and/or tenure is not recommended, the dean informs the candidate of this decision. At this time the dean also gives the candidate a copy of the file, complete with all reviews and recommendations and notifies the candidate of the right to add a written statement to be included in the file. The candidate has ten (10) working days after notifications by the dean to add a statement to the file. The dean forwards the original file, containing the candidate's written response and all recommendations and letters to the vice-president for academic affairs.

8.2 The Vice President

The vice president for academic affairs shall receive and review files and add a recommendation addressing the University fiscal and long-range planning impact of the proposed academic personnel action.

If the administrative review of the vice-president supports promotion and/or tenure, the vice president shall forward the original complete file to the president with that recommendation.

If the administrative review of the vice president does not support promotion and/or tenure, the vice-president shall inform the candidate of the decision in writing and notify the candidate of his or her right to appeal to the University Appeal Committee. The candidate has fifteen working days from notification to appeal the decision of the vice-president. The candidate initiates an appeal by sending a letter to the University Appeal Committee indicating where and how he/she believes the review process has erred.

9.0 Appeal Process

9.1 Grounds for Appeal

A decision to deny tenure and/or promotion may be appealed by the candidate only on the following grounds:

1. The proper procedures, as specified by the university, school, and department guidelines were not followed.
2. Factually incorrect information was provided by someone other than the candidate, and utilized in the peer review or administrative review process.
3. Inadequate consideration of unit criteria or use of impermissible criteria.

9.2 Appeal Process

The University Appeal Committee shall receive all appeals. The candidate must provide a written request to appeal a decision to deny tenure and/or promotion to the chair of the Appeal Committee. The request must specify how proper procedures were not followed, and/or the information that is factually incorrect, and/or inadequate consideration of the unit criteria or use of impermissible criteria. The Appeal Committee shall review the documents in question and decide if grounds for an appeal exist.

If the committee decides that adequate grounds for an appeal exist, then it shall contact those review bodies identified in the denial and extend to them the opportunity to respond to the appeal in writing and/or at a scheduled meeting of the Appeal Committee. The Appeal Committee should provide a copy of the appeal to the review bodies and request a written response to the appeal. The candidate may attend all open meetings of the Appeal Committee and may be accompanied by one nonparticipating advisor.

The candidate shall receive the right to address the Appeal Committee at a time convenient for both the candidate and the committee members. Such presentations shall be limited in scope to

the specific errors in procedure or judgment alleged in the written appeal request. New subject areas, not addressed in the appeal, may not be introduced.

The candidate may suggest to the Appeal Committee the names of additional witnesses to speak at the hearing. The Appeal Committee may decide that it needs limited additional information of testimony and may call appropriate witnesses. It shall confine any such hearings to those questions or issues specified in the appeal.

After reviewing the record and hearing testimony, the University Appeal Committee shall take one of the following actions and shall forward its recommendation to the president.

- a. Vote to support the appellant. When the Appeal Committee votes to support the appellant, the committee shall forward the file to the president with a letter describing its recommendation with copies to the appellant, the vice-president, and the dean. The letter shall include a rationale for the decision and the number of committee members voting for and against the decision.
- b. Vote to deny the appeal. When the Appeal Committee votes to deny any appeal, the committee shall forward the file to the president with a letter describing the recommendation with copies to the appellant, the vice-president, and the dean. The letter shall include a rationale for the decision and the number of committee members voting for and against the decision. In the event of a tie vote the appeal is considered denied.
- c. Decide that the candidate's file should be reconsidered at a prior level of review and remand it to the dean for reconsideration. The Appeal Committee may direct the formation of a new peer review committee using the processes specified in section 7.11 or 7.1.21 of the *VCU Faculty Promotion & Tenure Policies and Procedures* document. When a new peer review committee is ordered or when the addition or deletion of material has altered the file, the file shall go through all previous review steps including new internal letters from all review bodies. New material may be added to the file only by this option.

11.0 Procedure for Termination of Employment of Tenured Faculty Members

11.1 Reasons for Dismissal

Tenure is designed to protect the academic freedom of individual faculty members who have established themselves during the probationary periods. Tenured faculty members are expected to continue to strive for excellence in all of their academic and scholarly tasks. Adequate reason for dismissal of a tenured faculty member may be established by a demonstration of any of the following:

- Neglect, inability or failure to do the normal and expected satisfactory research, teaching and other services within the areas of presumed professional competence.
- Professional incompetence which includes failure to continue scholarly development within the individual's discipline and failure to fulfill School assignments.
- Moral turpitude
- Violation of academic or professional ethics.
- Unprofessional conduct that significantly adversely affects the functioning of the department, school or university.

- Violation of the VCU Rules and Procedures, as adopted by the board of visitors, provided the faculty member has been found guilty of an offense and a penalty of separation has been assessed pursuant to the Rules and Procedures.
- Bona fide financial emergency in a department or school, or reorganization or termination of programs as defined by established university policies and procedures.

11.2 Post-Tenure Review

All tenured faculty, including administrative faculty, are evaluated annually, using the established guidelines of the School of the Arts. Reviews are conducted at the next administrative level. The annual evaluation examines the faculty member's performance in light of expected contributions as established previously using the university's Roles and Rewards Policy.

The annual evaluation is the core of the university's ongoing post-tenure process, and it should contain a summary rating of excellent, very good, satisfactory, needs improvement, or unsatisfactory. On this scale, the appropriate rating for a tenured faculty member whose overall performance in previous years has been "satisfactory" or better, but whose current overall performance was rated "needs improvement" and the current overall performance has not met the conditions for improvement, the appropriate rating is "unsatisfactory."

11.2.1 Post-Tenure Review Panel

When a tenured faculty member receives one overall unsatisfactory annual evaluation, a five member panel of tenured faculty members (at least two of whom are from the faculty member's department and at least one of whom is from another department) shall be appointed to conduct a thorough review of the faculty member's performance. The purpose of this review is to promote faculty development. Within fifteen (15) working days of notification of a panel review, the faculty member and the chair of the department (or dean where annual review is conducted at the school level) shall each submit lists of five possible panel members to the school's promotion and tenure committee, which shall appoint the committee.

The chair of the school promotion and tenure committee shall notify in writing the faculty member, the chair of the department, and the dean of the proposed panel. Both the faculty member and the department chair (or the dean when annual evaluations are conducted at the school level) shall have the right to challenge any member of the panel for cause. Such challenges must be made in writing to the chair of the school promotion and tenure committee within five (5) working days following notification of the proposed panel. The school promotion and tenure committee shall make the final decision on panel composition. The chair, and/or the dean, and the faculty member must supply the panel all information pertinent to its task in no more than twenty (20) working days after the appointment of the panel. The information shall include such items as the department's workload policy, any written agreement about the faculty member's role and performance expectations under the university's Roles and Rewards Policy, all annual evaluations and supporting documentation for the period in question, and the faculty member's current vita and statement of activities since the most recent annual evaluation.

The chair and/or dean and the faculty member shall have full access to all of the submitted information and an opportunity to comment on or rebut any of the information within five (5) working days of being notified that the panel's information is completed. During its deliberations,

the panel has the right to call for testimony from anyone pertinent to the issues, and the chair and/or dean and the faculty member shall have full access to whatever testimony is gathered with ample opportunity to comment on or rebut the testimony.

11.2.2 Assessment of Annual Evaluation

The panel first evaluates the faculty member's performance in light of his or her role in the department. If the panel finds that the faculty member's performance was, in fact, satisfactory during the period in question, it shall issue a report to the chair and the dean delineating the reasons for its conclusion. The review is thus concluded. The dean shall monitor the chair's annual evaluations of the faculty member for the next two years and the panel's report shall be used in the dean's evaluation of the chair's performance. Where the annual evaluation is conducted by the dean, the dean's annual evaluations of the faculty member shall be monitored by the vice president for academic affairs and the panel's report shall be used by the vice president in evaluations of the dean's performance.

11.2.3 Improvement Plan

If the panel concludes that the faculty member's performance was unsatisfactory during the period in question, the panel, in conjunction with the chair and/or dean and the faculty member shall elaborate a two-year improvement plan intended to aid the faculty member to return to a satisfactory level of performance.

11.2.4 Assessing the Improvement Plan

At the end of the first year of the improvement plan, the panel shall either recommend continuation of the plan through the second year; modification of the plan; or if it is evident that no progress has been made toward improvement, it shall recommend to the chair and/or dean that they initiate dismissal for cause.

At the end of the two-year plan, the panel shall reconvene and again conduct a review of the faculty member's performance, using the provisions of the improvement plan and all information pertinent to the faculty member's performance during the period of the plan. If it finds that the faculty member's performance has been satisfactory, it reports its findings to the chair and the dean, and the review is complete. If the panel finds that the faculty member's performance has been unsatisfactory, it shall recommend to the chair and/or dean that they initiate proceedings for dismissal based on causes (a) or (b) as detailed in section "11.1 Reasons for Dismissal" of the University's Faculty Promotion and Tenure Policies and Procedures.

Approved 2007

Approved 3/29/2016 by the School of the Arts Promotion and Tenure Committee