

Tenure and Promotion Guidelines & Procedures

*Institute of Environmental Sustainability
Loyola University Chicago*

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Preparing people to lead extraordinary lives

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The following guidelines have been developed for the evaluation of faculty for promotion and/or tenure in the Institute of Environmental Sustainability (IES). All guidelines conform to the policies in the Faculty Handbook of Loyola University Chicago (2014).

PROCEDURE AND CRITERIA FOR TENURE AND PROMOTION TO ASSOCIATE PROFESSOR

In accordance with guidelines detailed in *Faculty Handbook of Loyola University Chicago (2014)*, faculty become eligible to apply for tenure and promotion from Assistant to Associate Professor in the sixth year of service. The process is initiated in the spring semester of the fifth year, and all decisions regarding promotion and tenure must be finalized by the conclusion of the candidate's sixth year. A mid-tenure probationary review is conducted for every faculty in a tenure-track line, which help to prepare the faculty for the ultimate tenure review. The Director will assign a Promotion & Tenure (P&T) Committee of no fewer than three tenured professors in the Institute who will review the submitted material and observe the candidate's teaching each semester. By the middle of the spring semester of the candidate's third year, the P&T Committee will recommend to the Director whether the candidate should continue on the tenure track to pursue tenure and promotion to Associate Professor. The Director will consider this information in making his/her recommendation to the Provost. A successful review will permit the candidate to petition the Provost for a one semester research leave in the fourth year of the probationary period, and proceed to work towards tenure. The guidelines below clarify the responsibilities of the candidate, the IES Promotion & Tenure Committee, and the IES Director in this process.

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Candidate's Responsibilities

During the spring semester preceding the beginning of a candidate's sixth year on the tenure track, the candidate will initiate the tenure-evaluation process by submitting a dossier, comprised of electronic documents whenever possible, to the IES Director who will then forward it to the IES Promotion & Tenure Committee. The dossier should include the following materials:

- Updated *Curriculum Vitae*
 - List of courses taught
 - List of research activities and accomplishments
 - List of professional service involvements, both on- and off-campus
- Candidate's statement (not to exceed six pages) should include an assessment of his/her role in furthering the mission of the IES and the University as well as summaries of his/her performance in teaching, research and service. This narrative should describe publications, grants submitted and received, and other professional contributions, as well as works in progress and on-going research and future research plans (i.e., the candidate's research program). In addition, it should contain general information about courses developed and taught as well as summaries of teaching performance, mentorship and student supervision. In addition, overviews of service at every level should be presented.
- Appendices should be included to support the candidates' contributions to teaching, research and service. These appendices should include, but are not limited to: 1) summary of student course evaluations and copies of all IDEA reports for all courses taught as well as copies of

course materials including syllabi, samples of exams, in-class exercises, assignments, and student work, 2) copies of published books, reprints, manuscripts under review, in press or accepted for publication (which should indicate the journal to which the paper was submitted, and documentation of submission/acceptance from the journal's editorial office) including expected publication date, and a description of the candidates' contribution to a multi-author papers; 3) pdf copies of grant proposals submitted with reviewers' comments, and the notice of award (NOA) for all funded proposals. Full appendices will be maintained in the IES Director's office and made available upon request to the members of the IES Promotion & Tenure Committee, and the University Rank and Tenure Committee (URTC).

- The names, addresses and contact information of at least five professional colleagues outside LUC who will conduct and complete a Promotion & Tenure review of the candidate's dossier and comment on how the candidate's research advances the field. The Promotion & Tenure Committee will select two of these individuals, and (at least one) additional evaluator chosen from a list assembled by the Committee. Potential reviewers should not have a conflict of interest as defined by the following criteria: 1) Known family relationship as spouse, child, sibling, or parent; 2) business or professional partnership; 3) past or present association as thesis advisor or thesis student; 4) collaboration on a project or on a book, article, report or paper within the last 48 months; 4) co-editing of a journal, compendium or conference proceedings within the last 24 months.
- The candidate may, but need not, indicate Loyola colleagues both from within and outside of IES who may be solicited for letters of support by the Promotion & Tenure Committee. These faculty should have related academic expertise that will allow them to provide a meaningful and disinterested appraisal of the candidate's work and/or be familiar with the candidate's teaching.

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Timeline for Faculty Member

Faculty candidates for tenure and/or promotion shall notify the IES Director by April 15th of their fifth academic year (which immediately precedes the year of the review), and submit to the IES Director the list of potential external reviewers familiar with the candidate's research by May 1st. The candidate must also submit his/her complete petition and dossier to the IES Director by August 15th. The Committee must submit its report to the IES Director by October 15th. Finally, the IES Director must submit his/her recommendation to the University Rank and Tenure Committee (URTC) via the Faculty Administration Office by December 1. This general timeline is subject to slight revision. Candidates can expect a decision by the middle of the spring semester of their sixth year. The decision will take effect at the beginning of the fall semester of their seventh year.

Institute Responsibilities

PROMOTION AND TENURE COMMITTEE

The Director will establish an IES Promotion & Tenure Committee of five members at least three of whom will be from IES. The committee will consist of tenured faculty members at a rank equal to or higher than the rank pursued by the candidate. The Committee Chair will be assigned by the IES Director. The Promotion & Tenure Committees charged with evaluating faculty for promotion to Professor will be comprised only of those who have attained the rank of Professor. If the IES does not have enough members at the required rank, the Committee will include members at the required rank from other appropriate academic units to bring the number of committee members up to five.

Each semester, senior faculty in IES will observe junior faculty (and candidates for promotion) in their classrooms. Their written notes will become part of the candidate's portfolio, and will be discussed in the end-of-semester review of teaching. The P&T Committee may solicit tenured IES faculty who are at the associate level or above for their opinions of the research and teaching performance of the candidate and on the candidate's overall contributions to the Institute and University. The URTC may also solicit LUC faculty within and/or outside of the Institute whose opinions might bear upon its deliberations. The solicitations will be reviewed by the appropriate committee members, but otherwise will remain confidential.

In addition, the IES P&T Committee will solicit evaluations from individuals outside the University whose research expertise would allow them to critically evaluate the candidate's tenure materials. Two external reviewers will be selected from a list of five possible evaluators provided by the candidate. The Committee chair will receive suggestions from the other Committee members and will independently solicit at least one additional external review from an individual who was not included on the candidate's list.

The Promotion & Tenure Committee will meet formally after the candidate has submitted his/her complete tenure packet including external reviews to obtain their charge and set deadlines for the process, and again after all committee members have completed their review and assessment of the contents of said packet, to discuss the outcome and prepare their report for the IES Director.

The vote of the P&T Committee will be determined by secret ballot and its recommendation forwarded in writing to the IES Director along with all relevant documentation. This will

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include a letter, written by the Committee Chair and signed by its members, detailing the strengths and weaknesses of the candidate's record and incorporating perspectives of the Committee members. Results of the Committee vote will be included in the recommendation letter.

All documents reviewed by the Committee, as well as the content of discussions or deliberations within the Committee will be kept confidential.

If the candidate holds a joint appointment between IES and another unit of the University, the P&T Committee will consist of faculty from both units, and the number of committee members from each unit will reflect as closely as possible the distribution of time and effort as described in the original MOU. The weight of each unit's vote will be equal to the percentage articulated in the original MOU between units. The P&T Committee will follow the tenure and promotion guidelines of the home unit.

RESPONSIBILITIES OF THE IES DIRECTOR

The IES Director will make the final recommendation in accordance with the needs and goals of the IES and the University and inform the candidate of this recommendation, which will include both the recommendation of the Promotion & Tenure Committee and that of the Director. If the recommendation is unfavorable, the candidate will have the option of withdrawing his/her application. If so, the candidate will notify the IES Director in writing of this intent.

The IES Director will assemble all documentation into two electronic documents and will send them to the Office of Faculty

Administration. These documents will contain:

In Document #1:

This electronic file includes the following items, scanned as a single document, in this order:

- Recommendation of the IES Director
- Recommendation of the Institute P&T Committee
- Assessments of External Reviewers

In Document #2:

This electronic file includes the following items, scanned as a single document, in this order:

- Candidate Narratives/Statements on Research, Teaching and Service—as prescribed by IES guidelines
- Candidate CV
- For tenure applications, a copy of Director’s Mid-Probationary Review letter

CRITERIA FOR TENURE AND PROMOTION TO ASSOCIATE PROFESSOR

Faculty evaluation for promotion and tenure will be based on the general criteria specified in the Faculty Handbook of Loyola University Chicago (2014): Excellence in:

(1) teaching, (2) scholarship and research, (3) professional contributions and (4) service to students and the University.

Specific IES criteria include the following:

1) Teaching

- Senior faculty in IES will observe the teaching of candidates for tenure and promotion to Associate Professor each semester during their probationary period. Observations of

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these visits will be included as part of the candidates' records and will be discussed with the candidates each year during their meetings with the Associate Director. IES expects candidates to demonstrate improvement by addressing suggestions made by the senior faculty members and Associate Director.

- The candidate's IDEA evaluations should show, over a five-year period, average raw scores of around 50 (at least 45) in the "excellent teacher and excellent course" categories. Candidates whose evaluations have shown a positive trend over time will be reviewed favorably, even if the five year average falls short of 50. In cases where the faculty member has fewer than five years of IDEA evaluations, the older Environmental Science Department evaluations will be included, wherein the candidate must receive positive reviews (i.e., agree or strongly agree) from 60% of respondents on instructor and course-related categories. The written comments from the IDEA evaluations and the Environmental Science Department evaluations should be primarily positive.
- Negative comments from students must be addressed by the candidate especially when several students express the same concern. The candidate's IDEA evaluation scores must indicate the faculty member has addressed these concerns and shown improvement.
- Candidates must hold regular office hours and be available to make alternate arrangements for students who cannot meet the regularly scheduled office hours. This information should be delineated in each course syllabus.
- Candidates are expected to regularly (≥ 4 over 6 years) mentor formal academic undergraduate student research either through formal courses (i.e., ENVS 391, BIOL 395) or

LUROP experiences.

Additional evaluative contributions can include, but are not limited to, presentations made by the candidate on teaching, contributions to student learning and/or assessment in IES, University or public seminars/workshops on teaching, and presentations on teaching pedagogy at meetings of regional and/or national professional societies.

2) Scholarship and Research

Evidence of scholarship and research activity includes, development of an active research program which supports graduate and undergraduate students and secures external funding as Principal Investigator; submission of grant proposals that receive strong reviews suggesting future success in securing external funding; presenting

research seminars at IES, LUC, or other institutions; presentations at regional, national or international professional societies; publications in the candidate's field in refereed journals, authored text books, edited text books, authored book chapters and development of relevant mathematical models. Evaluation of a candidate's research will consider the quality of the work, as well as the quantity of published products and the degree to which the candidates' research is original and advances the field. Web-based reference services, such as The Web of Science, will be used to quantify how many times the candidate's publications have been cited by others, and the quality of the journals will be assessed by their average impact factors.

Specific evaluation criteria for Tenure and Promotion to Associate Professor are as follows:

- By the middle of the third year of a tenure-line appointment, candidates for tenure and promotion to Associate

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Professor should be publishing research in peer-reviewed journals in the candidate's discipline or to peer-reviewed interdisciplinary journals. These should be based on work done at Loyola which demonstrate the development of the candidate's own original research program. Candidates should have at least four manuscripts in peer-reviewed journals published or in-press in the five years preceding application for tenure and promotion to Associate Professor. The length of articles and scientific significance, as measured by citations and journal impact factor, will also be considered, as will authorship on contributions to other scholarly works (e.g., reference and text books). For promotion to Associate Professor, the candidate's publications should be cited in published works of other researchers by the end of the candidate's fifth year.

- Candidates are expected to regularly submit (average of one/year) extramural grant proposals to fund their research, when not already funded by external agencies. Our goal is that the cumulative indirect cost from funding received should exceed the amount of start-up money the faculty member received when hired. However, we recognize that our faculty represent a wide array of research areas which may not ordinarily allow for large grant amounts. If no extramural grant applications are funded, the candidate must submit reviews and review summaries of all external grant applications submitted since joining IES as part of his/her promotion package. Excellent reviews indicating the candidate's own research ideas as novel and promising are expected. The candidate may include rebuttals to weak or negative reviews. In years that candidates are without extramural support, they must apply for in-house funding for support of research.

- Over five years, candidate's authorship on abstracts of research presented at regional, national and/or international meetings must average at least one/year. Candidates and/or members of their Loyola research team (e.g., grad students, undergraduates, post-doctoral fellows, and research assistants/associates) must be first author and presenter for at least 50% of these presentations.

3) Professional Contributions

Professional contributions include all service and accomplishments not defined as research, which establish a faculty member's professional reputation outside of Loyola and can contribute to the general development of the broader profession. These can include, but are not limited to:

- professional society activities, including
 - editorial work
 - serving on review panels of funding agencies
 - hosting professional meetings or workshops
 - holding administrative offices
 - chairing committees of professional societies
 - chairing conference sessions
 - participating in or organizing conferences
- educational activities, including:
 - publishing articles which survey current teaching practices or describe new instructional techniques
 - publishing articles for the education of the general public
 - production of educational products; public outreach via media sources

4) Service to Students, the Institute, and the University

Service for the University is required of all IES faculty as an important and consistent part of their duties. The types of service considered in evaluation of the candidate are those that further the best interests of the IES, students or University

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through cooperative and constructive contributions.

Service to the University includes a willingness to actively serve on University-wide activities and committees. Performance in this area may be evaluated from reports to the faculty at IES meetings, committee minutes and discussions with committee members.

Service to the IES may include serving on IES committees, participating in course and curricular development, mentoring faculty colleagues, supporting and participating in planning major IES academic events, and cooperating with the Director and other faculty members to facilitate smooth fulfillment of Institute responsibilities. It is exemplified by a willingness to shape and promote Institute goals.

Service to the community may include giving tours of IES to outside groups, speaking at meetings of local organizations, providing consulting services and advice to organizations outside of Loyola, and collaboration with community groups, non-for-profit organizations, professional organizations, businesses, or government agencies.

Service to students overlaps with teaching duties and includes assisting students beyond the confines of the classroom. A faculty member must be willing to assist in various duties; examples include directing honor's projects, directing research projects, writing letters of recommendation, offering seminars and acting as a faculty advisor to IES students and student organizations.

PROCEDURE AND CRITERIA FOR PROMOTION TO PROFESSOR

Generally at LUC, application for promotion to the rank of Professor may occur no sooner than the beginning of the sixth year at the rank of Associate Professor. The Institute will consider applications from “exceptional” candidates (see below) with fewer than five full years at the rank of Associate Professor.

Procedures for Promotion to the Rank of Professor

The Institute will follow procedures similar to those detailed in the section for promotion to Associate Professor. The candidate will submit the same list of materials described earlier in this document in the “Candidate’s Responsibilities” section. The Promotion & Tenure Committee will be composed solely of faculty holding the rank of Professor. If there are insufficient numbers of faculty (fewer than five) in the Institute at this rank, the Director will request faculty from other academic units who are engaged in relevant research to serve on the committee.

The candidate will provide the IES Promotion & Tenure Committee with the names, addresses and contact information of at least five professional colleagues outside LUC who can write about the candidate’s national and international reputation and on how the candidate’s research advances the field.

The Promotion & Tenure Committee will select two of these individuals, and (at least one) additional evaluator chosen from a list assembled by the Committee. Potential reviewers should not have a conflict of interest as defined by the following criteria:

- 1) Known family relationship as spouse, child, sibling, or parent;
- 2) business or professional partnership;
- 3) past or present

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association as thesis advisor or thesis student; 4) collaboration on a project or on a book, article, report or paper within the last 48 months; 4) co-editing of a journal, compendium or conference proceedings within the last 24 months.

Criteria for Promotion to the Rank of Professor

Successful candidates for the rank of Professor must show evidence of excellence and achievement in (1) teaching, (2) scholarship and research, (3) professional contributions and (4) service to students and the University. Specific IES criteria include the following:

1) Teaching

For promotion to Professor, candidates are expected to have developed new courses for the IES curricula, and should have raw IDEA scores in the categories of “excellent teacher” and “excellent course” of 50 or greater. The written comments should be primarily favorable. Candidates should have a strong and sustained record of successful mentorship of graduate and undergraduate students in research.

2) Scholarship and Research

For promotion to Professor, the candidate must have an average publication rate of at least one article per year published in peer-reviewed journals in the five-year period preceding the application for promotion. These articles should be regularly cited by other researchers in the field. We will consider both the quality of the journal (as measured by the journal’s impact factor, or JIF) as well as the number of citations of each publication.

We will employ the metric: Article Impact Factor (AIF) = (JIF * citations) where “citations” represents the number of citations for the particular publication. Employing this metric, faculty have incentive to publish in the highest quality journals (which will increase the JIF) and simultaneously produce the highest quality research manuscripts, potentially increasing the number of citations, and increasing the AIF. Candidates for the rank of Professor must regularly submit extramural grant proposals for their work (an average of one proposal per year when not already funded) and must be funded for at least two of the five years preceding the application for promotion.

3) Professional Contributions

Serving as a reviewer of manuscripts for journals and reviewing grant proposals for funding agencies is expected. Leadership in professional societies (serving on editorial boards of journals, officers of professional societies, chairing professional society committees, chairing/hosting workshops or special sessions at professional meetings, hosting meetings, etc.) is strongly encouraged. Publishing contributions of new teaching techniques, pedagogies, teaching products, etc. is encouraged.

4) Service to Students and the University

Professors are role models for junior faculty and therefore are expected to be highly engaged in IES academic and co-curricular programming, outreach and committee service. They will be expected to take leadership roles in IES such as chairing search committees, chairing standing committees (such as the IES Academic Council), and participating in Promotion and Tenure committees.

Criteria for Early Promotion to Professor

Candidates who wish to apply for early promotion to the rank of Professor should confer with the Director of IES prior to

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submitting an application. For the purposes of early promotion to the rank of Professor, “exceptionality” will require a five year average of at least 1.5 peer-reviewed journals/year or one scholarly book plus three manuscripts in peer-reviewed journals, or two books and one peer-reviewed manuscript. In addition, for most environmental disciplines, the candidate should receive an average of at least \$100,000 in extramural funding per year since promotion and tenure was obtained and obtain IDEA scores averaging at least 60 in the “excellent instructor” and “excellent course” categories. Candidates should have an exceptional record of successful mentorship of graduate and undergraduate students in research. Leadership in professional societies (editorial boards of journals, officers of professional societies, chairing committees and hosting meetings etc.) is expected.

NOTES



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