

**College of Health and Human Sciences**  
**PROMOTION AND TENURE POLICIES AND PROCEDURES**  
(Approved by Dean Underwood, August 22, 2023)

This document is a guide to the policies and procedures related to academic promotion and tenure that are specific to the College of Health and Human Sciences (HHS). These college-specific policies and procedures are consistent with those set forth in University policies and in related documents on promotion procedures and promotion criteria. The most important of these documents are available at [http://www.purdue.edu/hhs/faculty/promotion\\_tenure.html](http://www.purdue.edu/hhs/faculty/promotion_tenure.html)).

This document does not attempt to summarize all the University-wide and campus-specific documents referenced above. For example, this document includes few comments about the Campus Promotions Committee, about extensions of the probationary period, or about promotion criteria. Instead, this document almost exclusively focuses on the composition and functioning of the primary committees of the HHS units and of the HHS Area Committee. Consequently, HHS faculty eligible for promotion and/or tenure need to read and understand both this document and the University and campus-specific documents that apply to their specific academic appointments. They also need to read and understand the college's "Information on HHS Promotion Documents," and the documents outlining the criteria for promotion in their own academic units (i.e., their departments or schools), which are also available through the web page referenced above. Faculty who serve on promotion committees and those who advise or mentor other faculty eligible for promotion and/or tenure, also need to be familiar with those documents.

In this document, **boldfaced** sentences provide information specific to the College of Health and Human Sciences. Portions not in boldface are taken with only minor changes from University or campus-specific documents. Sentences that are new in this version of the document or that have been modified from those in the previous version of the document are underlined and in red type.

## **I. The Faculty Review System**

- A.** Faculty growth, productivity, and success require that primary committee chairs actively and annually convey to each colleague who is not a full professor the levels of performance and achievement that are viewed favorably by the primary and area committees.
- B.** The primary committee is chaired by the unit head. The committee shall also include all faculty in the unit who are tenured full professors or tenured associate professors. Faculty with joint appointments are primary committee members only in the unit that is their tenure home.
- C.** **To inform faculty about the levels of performance viewed favorably by promotion committees, unit heads should work collaboratively with their faculty to prepare one or more documents that summarize the criteria for promotion in their units. In particular, the documents should describe the promotion criteria for all categories of faculty with appointments in the unit (i.e., tenure-track and tenured**

faculty, clinical/professional faculty, and research faculty, if there are any). The documents should be distributed to all faculty and to the dean, who shall ensure they are available on the college's website. At least every five years, heads should work collaboratively with their faculty to carefully review and revise their documents. During the process of revision heads should consult with the dean when questions arise about the University and college guidelines for promotion, **and finally obtain the dean's agreement that any revision is consistent with those guidelines.**

## II. Annual Review

- A. During the spring semester of each academic year, the head of each unit shall convene the primary committee to conduct a review of the progress toward promotion of the unit's assistant and associate professors; clinical/professional instructors, assistant professors, and associate professors; and research assistant and associate professors. Faculty who are candidates for promotion during the same academic year shall not be reviewed.
- B. To facilitate this review, the head shall set a deadline for each faculty member to submit relevant materials, typically including an updated curriculum vitae or a draft promotion document (not including any external letters) that has been prepared according to the Instructions for Use with Faculty Promotion Form 36. In addition, faculty may provide the head with other information relevant to the review that they consider significant. **This information and the updated curricula vitae or draft promotion documents shall be provided to primary committee members at least five business days before their meeting.**
- C. When clinical/professional faculty are to be reviewed, any clinical/professional faculty of higher rank in the unit shall join the primary committee for that portion of the review meeting and participate in the discussion of the clinical/professional faculty under review. If no clinical/professional faculty of higher rank are in the unit, the chair of the area committee (i.e., the dean) shall consult with the unit head and then appoint one clinical/professional faculty member whose rank is higher than any faculty to be reviewed to join the primary committee for the review and discussion of the unit's clinical/professional faculty.
- D. Research assistant and associate professors who have at least a half-time appointment shall be reviewed at least every five years, as specified by University policy. When research faculty are to be reviewed, any research faculty of higher rank in the unit shall join the primary committee for that portion of the review meeting and participate in the discussion of the research faculty under review. If no research faculty of higher rank are in the unit, the chair of the area committee (i.e., the dean) shall consult with the unit head and then appoint one research faculty member of the appropriate rank (i.e., higher than any faculty to be reviewed) in or outside of HHS to join the primary committee for the review and discussion of the unit's research faculty.
- E. **In units with fewer than five tenured faculty, additional tenured faculty shall be appointed by the dean, following consultation with the unit head, to join a unit's**

primary committee for the review of the progress toward promotion of assistant professors. If any associate professors will be reviewed, and a unit has fewer than five tenured full professors, the dean shall appoint additional tenured full professors from outside the unit to join the primary committee for the review of the associate professors' progress toward promotion.

- F. **By June 30** the unit head shall provide written feedback to all faculty who were reviewed. The feedback shall include an evaluation of the faculty members' progress toward promotion and/or tenure.

### III. Tenure-track and Tenured Faculty Promotion Procedures

#### A. **Nominations for Promotion and/or Tenure**

1. **Before the end of each academic year,** unit heads shall notify their faculty about the dates of the primary committee meetings for the next academic year. In addition, heads shall indicate the spring or summer deadline by which faculty nominated for promotion and/or tenure must submit the promotion documents and supplemental materials that will be sent to external referees.
2. **During the spring primary committee meeting,** tenure-track assistant professors and untenured associate professors who will be in their penultimate probationary year during the next academic year shall be automatically nominated for promotion and/or tenure. Faculty in the final year of their probationary period can only be considered for promotion and/or tenure if their department head and dean request and receive the approval of the provost for a primary committee discussion and vote on their case.
3. Other faculty become promotion candidates if they are nominated for promotion and the nomination is seconded **at the spring primary committee meeting. The head shall notify faculty of their nominations shortly after that meeting and remind them of the deadline to submit their promotion documents and the supplemental materials for external referees. However, nominees have the option at any stage in the promotion process to request specifically and in writing that they not be considered for promotion and/or tenure during the next academic year.**
4. Tenured faculty members who have not been considered for promotion during the previous three years and who are not nominated for promotion **during the spring primary committee meeting** but who consider themselves ready for promotion may nominate themselves and be candidates for promotion during the next academic year. **These faculty must submit their promotion documents and supplemental materials to the head by the same deadline set for faculty nominated by the primary committee.**
5. **Responsibility for the content of a promotion document is shared by promotion candidates and their heads.** Unit heads are responsible for making sure candidates

are aware of their right to review and augment their own promotion documents. Candidates have the opportunity to help create their documents and to receive a copy of the document (not including the confidential comments of the unit head and the dean, and the letters from external referees) that is submitted to the primary committee, area committee, and Campus Promotions Committee. It is also the responsibility of candidates to ensure that the information in the promotion document is accurate before it is sent to external reviewers or primary committee members. However, unit heads and senior faculty who assist in preparing the document should check on items such as the status of publications and the candidates' roles in grant-funded projects.

## B. Primary Committee Review and Voting

- 1. Promotion documents prepared according to the Instructions for Use with Faculty Promotion Form 36 shall be made available to primary committee members at least five business days before the meeting at which the primary committee will vote on promotion candidates. By the same date, any supporting materials (e.g., reprints of candidates' publications) that were sent to external referees, and any other supporting materials required by the primary committee or supplied by the candidate, shall be made available to committee members. At the primary committee meeting, a committee member shall present each candidate's case, and general discussion and a vote on the candidate will follow.**
2. At the meeting to vote on promotion candidates, at least five tenured faculty members must be present to discuss and vote on candidates for promotion to associate professor. When this minimum number is not available in the candidate's department, additional tenured faculty shall be appointed by the dean, following consultation with the unit head. The additional primary committee members shall participate in all primary committee discussions and votes on candidates for promotion to associate professor. Similarly, the primary committee must include at least five tenured full professors to consider cases of promotion to full professor. When this minimum number is not available in the candidate's department, additional tenured full professors shall be appointed by the dean, following consultation with the head. The additional primary committee members shall participate in all primary committee discussions and votes on candidates for promotion to professor.
- 3. At the beginning of the primary committee meeting to consider candidates for promotion, the head shall remind members of the requirement that they keep confidential all remarks made at the meeting and all votes on promotion candidates. (See Section VIII of this document.) The head shall also remind members of the conflict of interest policy for promotion committees. (See Section IX of this document.) Finally, the head shall remind members of an important principle governing promotion and tenure documents at Purdue that is stated in the University's "Criteria for Tenure and Promotion on the West Lafayette Campus:"**

“Length of service in rank by itself should not ensure promotion or cause denial of promotion. Normally, a faculty member’s entire record is relevant for tenure and promotion at all levels. Primary Committees should guard against unsubstantiated interpretations of gaps or delays in the record. Ideally, issues of timing should not be paramount, and discussions should focus instead on the question of whether the faculty member has provided evidence of a sustainable and impactful record that warrants promotion and/or tenure as appropriate, applying the relevant disciplinary and interdisciplinary standards and norms.”

4. Each committee member is required to submit a secret ballot for each candidate. Submissions of a blank ballot, recusals, and otherwise un-submitted ballots are not considered as votes. In addition to providing for a “yes” or “no” vote, the ballot shall provide an opportunity to show reasons for the vote cast, with space allocated for comments and explanations. The reasons for all votes are expected to be provided, but this is especially important in the case of negative votes, since comments can be the basis for feedback for faculty improvement.
5. The unit head shall not cast a vote in the primary committee unless the committee has fewer than seven members. **In other words, the head votes with the rest of the primary committee only when the total number of committee members, including the head, is five (the minimum allowed) or six. Whether or not the head’s vote is counted with those of other committee members and included with the totals on Line 8 of the Nomination for Promotion form (i.e., the Form 36), the head’s recommendation is shown on Line 9 of the form, along with the head’s comments.**
6. The provost, the Dean of the Graduate School, the Dean of Libraries, and the academic deans may not be voting members of primary committees.
7. Within ten business days after the primary committee meeting, the head shall notify candidates of their promotion progress. The reasons for negative decisions shall be conveyed to candidates within this same time frame.
8. Those candidates who receive a simple majority vote are sent forward to the Area Committee for review, unless the candidate chooses to withdraw his/her candidacy at this stage. In addition, the head may endorse a candidate who does not receive a majority vote and send forward the nomination with his/her statement providing a rationale for the divergence from the primary committee, unless the candidate requests in writing that the head not take such action.
9. Candidates who do not receive a majority vote of the primary committee and who are not endorsed by the committee chair may, within 15 business days of receipt of notice of the negative decision on promotion and/or tenure, submit in writing to the dean a request for a written statement of the reason for the decision. This request initiates the procedures for review of negative tenure and promotion decisions that

are described in Section VI of the University's "Procedures for Granting Academic Promotion and Tenure."

### C. Area Committee

1. The HHS Area Committee is chaired by the HHS dean. The dean shall not cast a vote in the area committee. Rather, the dean's recommendation shall appear separately from the area committee's recommendation on the promotion document.
2. **An associate dean of the College of Health and Human Sciences who is a tenured full professor shall be appointed by the dean to serve as a non-voting member of the committee.**
3. **If the dean cannot attend a meeting of the area committee or the Campus Promotions Committee, the dean shall appoint a replacement who is both an associate dean and a tenured full professor. The appointee shall function in the dean's stead as chair of the area committee, as a voting member of the Campus Promotions Committee, or in both roles, as needed.**
4. **All unit heads shall be voting members of the area committee and shall present their units' promotion candidates. In addition to the unit head, the voting faculty of each unit shall elect one other tenured full professor from their unit to serve a three-year term as a voting member of the area committee. Each unit's faculty shall elect a second tenured professor from the unit to serve a three-year term as an alternate. Alternates shall replace a regular member from the same unit when that member is unable to attend an area committee meeting.**
5. **The number of full professors without administrative responsibilities who serve on the area committee must be at least equal to one third of the area committee's membership. To ensure that this requirement is met, no tenured professor considered for election to the area committee shall hold the position of Assistant or Associate Head, or Assistant or Associate Dean, in the College of Health and Human Sciences. In addition, professors must have at least a half-time appointment in their units in order to be eligible to represent their units on the area committee.**
6. **An elected faculty representative to the area committee may be reelected and serve consecutive terms.**
7. **Promotion documents prepared according to the Instructions for Use with Faculty Promotion Form 36 shall be made available to area committee members at least ten business days before the meeting at which a vote of the area committee will take place. By the same date, any supporting materials (e.g., reprints of candidates' publications) that were sent to external referees shall be made available to area committee members. At the area committee meeting, heads shall present their units' promotion candidates. After each**

candidate's case is presented, a general discussion and a vote on the candidate shall follow.

8. **At the beginning of the area committee meeting, the dean shall remind members of the requirement that they keep confidential all remarks made at the meeting and all votes on promotion candidates. (See Section VIII of this document.) The dean shall also remind members of the conflict of interest policy for promotion committees. (See Section IX of this document.) Finally, the dean shall remind members of an important principle governing promotion and tenure documents at Purdue that is stated in the University's "Criteria for Tenure and Promotion on the West Lafayette Campus:"**

"Length of service in rank by itself should not ensure promotion or cause denial of promotion. Normally, a faculty member's entire record is relevant for tenure and promotion at all levels. Primary Committees should guard against unsubstantiated interpretations of gaps or delays in the record. Ideally, issues of timing should not be paramount, and discussions should focus instead on the question of whether the faculty member has provided evidence of a sustainable and impactful record that warrants promotion and/or tenure as appropriate, applying the relevant disciplinary and interdisciplinary standards and norms."

9. Each committee member is required to submit a secret ballot for each candidate. Submissions of a blank ballot, recusals, and otherwise un-submitted ballots are not considered as votes. In addition to providing for a "yes" or "no" vote, the ballot shall provide an opportunity to show reasons for the vote cast, with space allocated for comments and explanations.
10. Within ten business days after the area committee meeting, the dean or the dean's designee shall notify candidates of their promotion progress. The reasons for negative decisions shall be conveyed to candidates within this same time frame.
11. Those candidates who receive a simple majority vote of the Area Committee are forwarded to the Campus Promotions Committee along with documentation of whether and why the candidates have the dean's endorsement, unless the candidates state in writing that they do not wish the case to be forwarded. The dean may also send forward candidates who do not receive a majority positive vote of the Area Committee with a statement including the rationale for sending the case forward, again, unless the candidates request in writing that the dean not take such action.
12. Candidates who do not receive a majority vote of the area committee and who are not sent forward by the dean may, within 15 business days of receipt of notice of the negative decision on promotion and/or tenure, submit in writing to the dean a request for a written statement of the reason for the decision. This request initiates the procedures for review of negative tenure and promotion decisions that are fully described in Section VI of the University's "Procedures for Granting Academic Promotion and Tenure."

#### **IV. Promotion Procedures for Tenured/Tenure-Track Faculty with a Tenure Home in One HHS Unit and a Partial Appointment in Another Academic Unit**

- A. Some HHS faculty have joint appointments consisting of a tenure home in one HHS unit and a partial appointment in another academic unit. When these faculty are candidates for promotion, the procedures outlined above shall be followed in both the primary committee of the unit that is the candidate's tenure home and in the HHS Area Committee, but the following procedures shall also apply. Comparable procedures shall be followed when faculty have appointments in more than two academic units.**
- B. When such a jointly-appointed faculty member is nominated for promotion, the head of the unit that is the tenure home of the faculty member shall inform the head of the other unit of the nomination and of the schedule for the promotion process.**
- C. The head of the other academic unit shall be invited to provide the head of the unit that is the tenure home with a letter of evaluation of the performance and achievements of the candidate from the perspective of that unit. The letter should not, however, include a recommendation for or against promotion and/or tenure. If provided, this letter shall be included in the candidate's promotion document.**

#### **V. Promotion Procedures for Clinical/Professional Faculty**

- A. The University recognizes a non-tenure-track faculty status (i.e., clinical/professional faculty). These appointments provide the opportunity for career advancement for faculty members who focus on excellence in clinical/professional instruction.
- B. Clinical/professional faculty may be nominated for promotion by any member of the Primary Committee or by higher-ranking clinical/professional faculty in their department or school. Those faculty members whose nominations are seconded shall be voted on by the committee.
- C. Primary Committee
  - 1. Clinical/Professional faculty at the full professor level shall attend the portion of primary committee meetings during which candidates for promotion who are clinical/professional associate professors are being considered for promotion and shall vote on those candidates. When a clinical/professional full professor is not available in a candidate's unit, the dean shall, after consulting with the appropriate unit head, appoint a clinical/professional full professor from another unit to serve on the primary committee and vote on the candidates.
  - 2. Clinical/Professional faculty at the full professor and associate professor level shall attend the portion of primary committee meetings and vote on candidates for promotion who are clinical/professional instructors or assistant professors. When these candidates are being considered, at least one clinical/professional full professor



or associate professor shall serve on the primary committee and vote on the candidates. When no clinical/professional faculty at either of these ranks are available in a candidate's unit, the dean shall, after consulting with the unit head, appoint a clinical/professional full professor or associate professor from another unit to join the primary committee for the discussion and vote on those candidates.

#### D. Area Committee

1. **When clinical/professional faculty are considered for promotion by the area committee, the voting membership of the area committee shall be expanded. After soliciting nominations from all heads of units employing clinical/professional faculty, the dean shall select two clinical/professional faculty at the rank of full professor to serve on the area committee for a three-year term. The two clinical/professional full professors shall attend the portion of the committee meeting during which clinical/professional faculty candidates are being discussed and shall vote with the area committee on those candidates.**

### VI. Promotion Procedures for Research Faculty

- A. Research Faculty positions are intended to provide a career path that allows for independence, individual scientific growth, and the opportunity for promotion. They are envisioned to be equivalent to tenure-track faculty positions but without the responsibility of didactic teaching and without eligibility for tenure.

#### B. Primary Committee

1. **The procedures for review of research faculty who are candidates for promotion shall be consistent with University policy. In particular, if a research assistant or associate professor is a candidate for promotion in a unit that has other research professors of higher rank, the other research professors shall attend the portion of the primary committee meeting during which the research-faculty candidates are being considered and shall vote on those candidates.** When no research faculty member of higher rank is available in a candidate's unit, the dean shall, after consulting with the unit head, appoint a research faculty member of higher rank from another unit in or outside of HHS to join the primary committee for the discussion and vote on those candidates.

#### C. Area Committee

1. **When research faculty are considered for promotion by the area committee, the voting membership of the area committee shall be expanded to include a research full professor. After soliciting nominations from all heads of units employing research faculty, the dean shall select one research faculty member at the rank of full professor to serve on the area committee for a three-year term. The research professor shall attend the portion of the committee meeting during which research-faculty candidates are being considered and shall vote on those candidates. If no research professor is on the HHS faculty, the dean**

shall, after consulting with another college's dean, appoint a research professor to join the area committee for the discussion and vote on any research faculty candidates for promotion.

## VII. Tenure Considerations

- A. Some associate professors are appointed at Purdue with an initial probationary period rather than with immediate tenure. During their penultimate year or before, these faculty may be considered for the award of tenure without promotion. In these cases, the timetable and the procedures for review by the primary and area committees are the same as for promotion candidates. but the final steps after the area committee vote are a recommendation to the provost by the dean, and final approval by the provost.
- B. **In cases involving tenure-track assistant professors in their penultimate year, the criteria for promotion to the rank of associate professor shall also serve as the criteria for obtaining tenure. Assistant professors who fail to be promoted to associate professor in their penultimate year are considered not to have met the criteria for obtaining tenure. In these cases, therefore, nominations for tenure without promotion shall not be considered by primary committees or the area committee.**
- C. **An external candidate for a faculty position as an associate or full professor may be appointed with immediate tenure. Before offering such an appointment, a unit head must provide the members of the primary committee with information about the candidate's credentials. Then the primary committee shall vote on offering immediate tenure. In this case, the head also casts a vote in the primary committee. In exceptional circumstances when it is difficult or impossible to convene the primary committee for a discussion and vote on the candidate, primary committee members may be asked to vote by email. If a majority of the committee votes affirmatively, the area committee meets to discuss and vote on the candidate. After reviewing the record of the votes and the information about the candidate's credentials, the dean may request the provost's approval of an offer with immediate tenure. If the provost approves, such an offer can be made.**

## VIII. Confidentiality

- A. Throughout the entire review process, Primary, Area, and Campus Promotions Committee members respond to each tenure or promotion nomination as individuals, interpreting achievements described in the nomination documents in light of standards appropriate for the nominee's discipline and the West Lafayette campus's "Criteria for Tenure and Promotion." In the course of these evaluations, open and candid discussions are a critical element to informing each committee member of the candidate's accomplishments. The confidentiality of remarks made at such meetings should, therefore, be carefully preserved and restricted to those within the promotions process to allow for full, fair, and free discussion of the merits of the case. Nothing in this provision of confidentiality allows participants in primary or other promotion committees to engage in illegal, unethical, or inappropriate behavior with impunity.

## **IX. Conflict of Interest Policy for Promotion Committees**

- A. Any member of a primary committee whose present or past relationship with an assistant or associate professor may be perceived to compromise that member's ability to make an objective assessment of that assistant or associate professor's credentials shall report confidentially, the potential conflict of interest to the committee chair before any primary committee meeting at which the assistant or associate professor's progress toward promotion shall be discussed. Similarly, any member of a primary committee or area committee whose present or past relationship with a candidate for promotion and/or tenure may be perceived to compromise that member's ability to make an objective assessment of that candidate's credentials shall report confidentially the potential conflict of interest to the committee chair before any primary or area committee meeting involving a discussion and vote on that candidate's promotion. A conflict of interest may be financial (as defined in and governed by [University policy III.B.2](#), Individual Financial Conflicts of Interest), personal, or professional. The following list, while not exhaustive, illustrates the types of relationships which constitute a conflict of interest:**
- 1. Marital, life partner, family, or dating/romantic/sexual relationships**
  - 2. An advising relationship (e.g., the faculty member having served as the candidate's Ph.D. or postdoctoral major advisor or equivalent)**
  - 3. A direct financial interest and/or relationship**
  - 4. Any other relationship that would prevent or have the appearance of preventing a sound, unbiased decision**
- B. Assistant or associate professors whose progress toward promotion shall be reviewed by the primary committee, or who are promotion candidates, who perceive that they have a conflict of interest with a primary or area committee member shall also report confidentially the potential conflict of interest to the relevant committee chair.**
- C. When a committee chair receives a report of a potential conflict of interest, or when the chair has information that suggests the existence of a conflict of interest between a promotion committee member and an assistant or associate professor to be reviewed by that promotion committee, the chair shall determine whether a conflict of interest exists.**
- D. When a conflict of interest exists, the promotion committee members involved must recuse themselves and not participate in any review of the assistant or associate professor with whom they have a conflict. In such cases, the committee chair shall, immediately before that review begins, announce simply that those committee members have recused themselves. When a member of the HHS Area Committee has a conflict of interest with a promotion candidate from the same unit, the alternate member from that unit shall replace the member with a conflict for the discussion**

**and vote on that candidate. Alternate members shall not replace committee members who recuse themselves because of conflicts with promotion candidates not from their own units.**

- E. In both primary and area committees, members who do not review an assistant or associate professor with whom they have a conflict of interest will be expected to participate fully in the deliberations on all other faculty under review.**
- F. If the chair of a primary committee or the area committee has a conflict of interest with a candidate under consideration, the relevant committee shall elect by majority vote a member of the committee to serve as chair for the consideration of any and all candidates for whom the chair has a conflict of interest. This individual shall also perform all the functions of the committee chair as described earlier in this document.**
- G. If the dean has a conflict of interest with any candidate being considered, presentation of the candidate to the Campus Promotions Committee shall be determined by the provost.**

**X. Changes in the University or Campus Promotion and Tenure Policies**

- A. The promotion policies and procedures that govern the entire University and the West Lafayette campus change from time to time. When any changes have the effect of nullifying, contradicting, or rendering inconsistent a provision stated in this document, those University or campus policies and procedures shall prevail.**

**XI. Interpretation of this Document**

- A. Any question of interpretation regarding the promotion and tenure policies of the College of Health and Human Sciences shall be referred to the dean of the college for final determination.**