

## II. REAPPOINTMENT, TENURE, AND PROMOTION (RTP) OF FACULTY

Because attracting and keeping the best people is the only way to ensure the quality of research and teaching that will enable the university to fulfill its mission of creating top-level human capital for Ecuador and serving as the main driver of the nation's high quality research and technology transfer, the processes governing both external hiring and internal reappointment, promotion, and tenure of Yachay Tech faculty must be taken with utmost seriousness and cannot be compromised at any time or for any reason. Adherence to the highest of academic, technical and moral standards for granting academic tenure is crucial to retention of the best faculty and to development, enhancement, and maintenance of the university's reputation as a world-class research institution.

This section defines academic tenure and describes the set of internal processes to be followed for reappointment, promotion, and tenure of Yachay Tech's faculty. For definitions of the various ranks (titles) for tenure-line faculty see the section on Faculty Ranks and Titles.

### Academic Tenure

Academic tenure denotes a permanent state of employment in which faculty members have contracts under which they are guaranteed a "continuous appointment" — *i.e.*, contracts which do not need to be periodically renewed. Tenure guarantees freedom of research, freedom of teaching, and freedom of expression to intellectuals and thinkers of all academic specialties. It allows professors and universities to serve the country and the world by providing an intellectual perspective and much needed diversity of political opinions. Tenure also allows faculty to openly discuss a multiplicity of issues ranging from politics and morality to scientific practices and ethics without direct threat and fear of persecution. A tenured appointment can only be terminated by lawful retirement, by voluntary resignation of the faculty member, or by closure of the department, school or university in which the faculty member is employed. In exceptional circumstances tenure may be revoked in well-documented cases in which the faculty member refuses to perform his/her basic duties (as defined by the faculty member's academic rank and contract) at the university.

To achieve the goal of attracting and retaining the best possible permanent faculty, tenure decisions can only be based on an accurate, unbiased and fair evaluation of the candidate's true excellence in research, scholarship, and teaching. Any considerations that are unrelated to research, teaching, or administrative activities — (*e.g.*, political affiliation, sex, race, color, national origin, age, disability, religion or sexual orientation) are to be strictly excluded from the tenure decision. The mechanics of this evaluation are described below. In particular, in addition to providing the methodology and principles for this process, the following sections also provide guidance about which people and which university governance bodies are qualified to perform this evaluation.

**The decision to grant tenure is a confident judgment that the faculty under consideration will spend an entire lifetime of exceptional research, teaching, and scholarly leadership and will produce significant and lasting advances in areas within their chosen field(s).**

Promotion to a tenured faculty rank is, by far, the most important of the many promotions which are part of a faculty member's academic career. It should be taken very seriously because of the permanence it provides for a faculty member and the long-term effect of the decision for the university. Wise tenure decisions are crucial in building the quality and international reputation of Yachay Tech and will increase the university's ability to attract top human talent.

### General Provisions

The provisional (probationary) appointment period at Yachay Tech is seven years. Assistant Professors are hired as untenured, tenure-track faculty and may remain at the university for a probationary period of no more than seven years. The decision to grant academic tenure must be made, and the candidate must be informed, by the end of the sixth year of the probationary period. If tenure is granted at that time, Assistant Professors are promoted to the rank of Associate Professor with tenure; as a result, the probationary period is effectively reduced to six years. Assistant Professors who are

denied tenure are allowed to remain in their untenured position for one year after the tenure decision. In this case, the probationary period effectively assumes its maximum length of seven years.

Under exceptional circumstances, credit toward tenure for previous service at another university may be granted and the provisional (probationary) period of an Assistant Professor may be less than seven years. Such credit is subject to the concurrence of the Chancellor and should be granted only after careful consideration. Ordinarily, this credit should not exceed three years. More years of credit toward tenure may be granted in extraordinary cases.

A Lecturer who is promoted to the rank of Assistant Professor (or above) must meet all of the qualifications for a tenure-track position, must be evaluated in the same manner as other candidates for a tenure-track positions, and may, with his or her concurrence and at the discretion of the Chancellor, be given up to four years of provisional status credit for time spent as a Lecturer at Yachay Tech.

All promotion decisions should be based on performance and scholarly achievement in the light of the general criteria for the rank under consideration (see below) rather than by time in rank.

For extraordinarily well-qualified candidates, an initial appointment at the rank of Associate Professor or Professor *with tenure* is possible with the approval of the Academic Council in accord with University guidelines that prescribe immediate tenure reviews.

As described below, procedures are also in place for nominating exceptional candidates for review for early tenure.

#### PROCEDURES GOVERNING PROMOTION and TENURE of FACULTY

When initially hired, Assistant Professors are first appointed for a four-year period. During the third year of this initial period, the faculty undergo a review (the mid-term review). Assistant Professors with positive mid-term reviews are reappointed for another three years. In the sixth year, the Assistant Professor undergoes a final tenure evaluation for tenure.

##### A. Mid-term tenure review and re-appointment

The purpose of the mid-term tenure review is to provide corrective action if needed and to suggest ways to improve performance at approximately the middle of the probationary period if warranted. In extreme cases of poor performance this review may also result in a termination of appointment at the end of the fourth year.

##### *1. Initiation of the Review*

- a. In the middle of the third year of the initial four-year appointment, the Head of the candidate's department meets with the Assistant Professor to explain the process of mid-term review and reappointment.
- b. The Department Head requests that the candidate prepare a Reappointment portfolio that includes the items listed below and present that portfolio to the Reappointment Review Committee (see 1.c, below).
  - i. A curriculum vitae which includes the following items:
    - Degrees, academic background, and professional experience;
    - List of research personnel supervised (graduates students, postdoctoral fellows, etc.) and description of their academic progress;
    - Honors, awards, and professional recognitions;
    - Committee service to Yachay Tech;
    - Sources of external and internal research support (excluding funding levels);
    - National if not international recognition of the candidate's scholarly activities;
    - List of publications that clearly indicates articles in peer-reviewed journals;
    - List of patents and pending patent disclosures;
    - List of professional consulting activities;
    - List of external and internal committee service; and

- List of courses taught at Yachay Tech (indicating levels) and copies of course syllabi.
- ii. A description of research accomplishments and goals (up to five pages).
- iii. A description of teaching philosophy, accomplishments, and goals (up to 3 pages).
- iv. A list of three names of persons who can act as external references (these should primarily be persons from international academic institutions, secondarily researchers in industry or national laboratories, e.g. IPIs.).
- v. Copies of at least five significant publications.

## 2. *The Reappointment Review Committee*

- a. The Department Head selects a chair of the Reappointment Review Committee from among the tenured departmental faculty. The chair of the Reappointment Review Committee solicits nominations to the committee from the departmental faculty. The number of nominations should be at least one more than the number of available committee slots. The Department Head selects the committee members from the list of nominations provided by the faculty.

Reappointment Review Committees should consist of 4 faculty members and the committee chair, all of whom must be tenured faculty members. One of the committee members may be from outside the department. Only tenured are eligible to serve on the Reappointment Review Committee and vote on the case

In departments with fewer than 4 tenured faculty members, the Reappointment Review Committee shall consist of all eligible tenured departmental faculty, including the Department Head and the Dean. If necessary to reach the required minimum number of committee members, additional tenured faculty members may be added by the Chancellor.

- b. The Reappointment Review Committee reviews the faculty member's Reappointment Portfolio and consults three experts of which at least two are to be external leaders from highly respected institutions in the relevant field who are asked to review the candidate's research accomplishments. These three experts must include at least one of the persons suggested by the candidate, but may include additional names. The committee reports its choices to the Department Head, who composes the requests for reference letters and sends them to the chosen referees. The Committee uses the established departmental criteria for tenure (criteria adopted by the department and approved by the Head, the Dean, and the Academic Council) to evaluate the candidate's achievements and his/her ability to achieve tenure within the next three years.
- c. The Reappointment Review Committee provides the Department Head with the reappointment package, which must include the Reappointment Portfolio submitted by the faculty member; a written report of the committee's evaluation and recommendation, including a detailed discussion of the expert's opinions; and the committee's assessment of the candidate's potential for obtaining tenure at the end of the probationary period. If the committee finds that the candidate is on track to obtain tenure, they may recommend that the candidate's position be renewed for three more years. If the potential for obtaining tenure is found to be low, then the recommendation should be to not renew the appointment and to not proceed with the final stages of tenure review. If the Assistant Professor's research accomplishments are exceptionally strong, the committee may recommend that the appointment is renewed for the next four years and that the candidate be promoted to the rank of Associate Professor without tenure. The committee may also recommend that promotion and tenure be considered at an earlier date than usual, thus shortening the probationary period.

## 3. *Authority Decisions*

- a. The Department Head reviews the committee report. (S/he may also wish to consult with other constituent individuals and groups involved in the interview process.)
- b. After making a preliminary decision, the Department Head meets with the Reappointment Review Committee to discuss the decision and to explain any non-concurrence. Following this meeting, the Department Head sends the committee report to the **tenured** faculty in the department and schedules a meeting of the departmental faculty to discuss the case. To ensure that faculty have enough time to undertake a thorough evaluation, this faculty meeting must take place at least 10 days following the receipt and distribution of the report.

- c. All tenured faculty receive the report and participate in the faculty meeting.
  - d. During the faculty meeting, the chair of the Reappointment Review Committee presents the case to the faculty, in the Department Head's presence, and advocates for the candidate. The Department Head then presides over an open discussion by the faculty and eventually calls for a vote. The vote is public and reaching a quorum requires that half of the voting faculty have cast a vote. Votes may be cast in person or electronically. Electronic votes must be received by the Department before the meeting and should be accompanied by a brief explanation. The Department Head informs the faculty of the electronic votes and explanations during the meeting. The result of the faculty vote is very important in informing the Department Head about the opinion of the faculty.
  - e. The faculty vote is non-binding to the Department Head. The vote is purely advisory, but the results are recorded and presented in the next step.
  - f. The Department Head then sends the reappointment package, the Reappointment Review Committee report, the results of the department vote, and his/her own conclusions to the Dean. In case the Department Head and the review committee (or the faculty vote) disagree, the Dean will convene a meeting of the committee (or the eligible voting faculty, if the vote is the source of disagreement) and the Department Head to discuss the source of the disagreement.
- a. Following resolution of disagreements (if any), the Dean ensures that the Reappointment Review Committee report and Department Head's report are distributed to the tenured faculty and calls a meeting of only the **tenured** faculty of the entire school (both departments) for discussion and a vote based on the committee and the department faculty recommendations. This meeting proceeds in the same manner as the department meeting, with the Reappointment Review Committee chair presenting the case, the Dean presiding over the meeting, and the meeting culminating with a vote of the tenured faculty members.
  - b. The faculty vote is non-binding to the Dean. The vote is purely advisory, but the results are recorded and presented in the next step.
  - c. The Dean submits the reappointment package, which includes the Reappointment Committee's report, the Department Head's report, the votes of the Department and School faculty, the external reference letters, the candidate's detailed CV, and a brief report describing the basis for the Dean's recommendation (see detailed requirements in Section C) to the Academic Council at least one week prior to the council meeting in which the case is scheduled to be discussed.
  - d. At the Academic Council meeting, the proposing Dean discusses the case and recommends an action. The other Deans ask questions, make comments and eventually vote on the case. The Chancellor and Rector, although present, do not participate in this vote. The vote is advisory (non-binding) to the Chancellor and the Rector. Following the vote, the Chancellor makes a decision to either proceed with the appointment or not and communicates that decision to the Dean and the Rector. The Chancellor's decision is advisory to the Rector who makes the final decision on the cases. Following a positive recommendation, the Rector is responsible for forwarding the recommendation to the CG for final ratification.
  - e. Following this last step, the Dean informs the candidate with a written statement and a personal meeting. This should happen at least one year before the end of the initial four-year appointment. If the recommendation is positive, the candidate is reappointed for an additional three years after the initial four-year period (until the end of the seven-year probationary period). If the recommendation is negative, the candidate remains in employment for one more year — until the end of the first four-year period — after which he/she is no longer employed by Yachay Tech.

#### *B. Tenure review and promotion to tenured ranks*

The final step of a tenure evaluation commences in the beginning of the sixth year (or sooner, if the candidate is being considered for early tenure), with a comprehensive tenure review. A decision is expected no later than the end of the sixth year. The process leading to the tenure review is very similar to that of the mid-term review and reappointment. The candidate prepares a Tenure Portfolio, a Tenure Committee is constructed and operates in the same fashion as the

Reappointment Review Committee, and the faculty and authority decision-making processes follow the same steps described above for the mid-term tenure review and re-appointment.

The only differences between the review process for Tenure and Promotion to Tenured Ranks and the review process for mid-term tenure review and re-appointment are as follows:

1. The Department Head asks the candidate for an updated version of the review materials (outlined in the section II.a.1.b, above) that were provided during the mid-term review. At this stage however, the Department Head requests a Tenure Portfolio that contains a minimum of six, rather than three, significant publications to be reviewed by the committee and included in the committee report.
2. In addition, the requested number of external references provided by the candidate is increased from three to six.
3. The Tenure Committee is compelled to choose three out of the six external references provided by the candidate; the remaining three are chosen by the committee from leaders in the relevant field at highly respected institutions.
4. Tenure Committee uses the established departmental criteria for tenure to evaluate the candidate's achievements and his/her ability to spend an entire lifetime of exceptional research, teaching, and scholarly leadership. Their judgment is based on the quality of the international referee responses, and an analysis of the candidate's publications, his/her teaching performance, and his/her service at the university. The overall goal is to assess the impact that the candidate has had in the international academic community and the candidate's ability to graduate students with a PhD degree.

Once the Tenure Committee report and evaluation is completed, the authority decision-making process follows the same procedures outlined in the A.3, above, culminating with the Dean presenting the case at a meeting of the Academic Council, the council voting, and the Chancellor recommending an action to the Rector. As with all personnel decisions for tenure-track faculty, the Rector makes the final decision to grant or to refuse tenure and forwards his/her decision to the CG for final ratification.

Following this process, a successful candidate receives academic tenure and is also promoted to the rank of Associate Professor with tenure (and typically receiving a commensurate salary increase based on the Yachay Tech scale). If the decision is negative, the candidate remains in employment for one more year — until the end of the probationary period — after which he/she is no longer employed by Yachay Tech.

### C. *Promotion to the rank of (full) Professor*

Following the award of tenure and the promotion to the rank of Associate Professor with tenure, a faculty member is expected to continue growing academically, to produce first-class research, to educate students of all levels and to promote Yachay Tech's international image. In order to incentivize the tenured faculty in this process of continuous evolution, it is expected that no later than six years after tenure they will again be considered for promotion — this time to (full) Professor, which is the most senior of the tenured ranks. This promotion provides much needed incentives and rewards in the form of both an honorific title change and, usually, a substantial salary increase.

The procedure for achieving this promotion is almost identical to the procedure for tenure outlined in the previous section. As before, the Department Head will initiate this process, in consultation with the Dean, at a time no later than six years following the granting of tenure and the promotion to Associate Professor with tenure. The Promotion Committee uses the established departmental criteria for promotion to (full) Professor to evaluate the candidate's achievements and his/her ability to spend an entire lifetime of exceptional research, teaching, and scholarly leadership. The only difference from the process outlined above for tenure is that the Promotion Committee is now constituted by full Professors and only full Professors vote at the faculty meetings. This is consistent with the principle of never involving lower ranks in the promotion of their superiors or peers, thus avoiding corruption and conflicts of interest.

If an Associate Professor with tenure fails to be promoted to full Professor, then he/she remains at the rank of Associate Professor and is entitled to ask for a re-evaluation three years after the previous judgment. The Department Head, in consultation with the Dean, may decide to accelerate this period based on exceptional circumstances.

#### D. Hiring external candidates at intermediate ranks

Similarity in procedures for hiring and promotion of tenure-track faculty allows Yachay Tech to hire external faculty at any step of the tenure and rank (title) ladder. An external faculty member can be hired at any untenured or tenured rank following exactly the procedures outlined above for that rank. For example, it is possible to hire an Associate Professor without tenure. As noted above, this rank is not a necessary step before an Assistant Professor is considered for tenure and can be used to reward exceptional performance at reappointment time following the first four-year contract. Similarly, an external candidate who may be too senior to hire at the Assistant Professor level, but not quite ready for a tenured appointment, may be considered as a candidate for hire at the rank of Associate Professor *without tenure*. This process can be utilized to help attract exceptional young faculty who may already have positions as Assistant Professors in other institutions by providing a rank promotion prior to tenure consideration. If that happens, the Department Head and Dean, with approval of the Chancellor, pre-negotiate the time frame for conducting the tenure review (the number of years after joining Yachay Tech as Associate Professor without tenure which may not be less than 2 years) with the new external candidate.

#### E. Hiring external candidates with tenure

Exception, usually mid-career or senior, faculty candidates may be hired with tenure. The process for the tenure decision is the same as that for all other faculty tenure decisions and must proceed as described in section B (above). Faculty who will be hired with tenure should be informed about the tenure-granting process, be made aware of the timeline for that process, and be allowed to make a decision about their start date based on the tenure decision timeline.

#### F. Early tenure decisions

As noted in A.2.c. (above) if, during the mid-tenure review, the Assistant Professor's research accomplishments are deemed to be exceptionally strong, the reappointment review committee may recommend that both promotion and tenure be considered at an earlier date than usual, thus shortening the probationary period. In addition, upon the recommendation of the Department Head and with the concurrence of the Dean, a faculty member may be considered for early tenure at any time prior to the end of their sixth year. Review for early tenure review will proceed as described in section B (above).

### **III. REQUIREMENTS FOR HIRING, PROMOTION, AND TENURE PACKAGES SUBMITTED TO THE ACADEMIC COUNCIL**

All hiring, promotion, and tenure packages presented to the Academic Council, the gatekeeper of academic quality at Yachay Tech, must include copies of the following documents:

1. Memo to the committee authorizing the hiring search, the reappointment, or promotion to any rank.
2. Committee report describing the proposed action with emphasis on the intellectual merit and with a detailed analysis of the candidate's substance, international impact and most significant work to date.
3. A detailed curriculum vita (CV) of the candidate.
4. The candidate's current and future research statement and goals.
5. The candidate's teaching statement.
6. A complete list of publications, with books, book chapters, refereed publications and conference presentations separately identified.
7. A copy of the sample letter (from the Department Head to external referees) requesting comments on research achievements, teaching, and comparison with others of similar academic age (varies with rank).
8. Copies of all the reference letters received:
  - Academic Council packages for both new appointments and internal promotions should include external letters of reference which address recent performance in research, impact, and teaching. For promotion cases,

internal letters from faculty members within the same school at Yachay Tech should be excluded because these members have already expressed their opinion and participated in voting at the school level.

- For tenured appointments (full Professors or tenured Associate Professors) six external letters for reference should be obtained from leaders in the field at highly respected institutions.
  - For Associate Professors without tenure, three external letters of reference should be obtained.
  - For Assistant Professors appointments, three letters should be obtained. If the candidate for an Assistant Professor position has obtained his/her PhD degree from Yachay Tech, internal letters are permitted. For mid-term reappointment of assistant professors, four letters are required.
9. A list of comments on the stature/qualifications of the referees including their positions, a brief account of their achievements, membership in academies, awards, etc. (to be provided by the committee).
  10. Comments on the content of the reference letters (to be included in the committee report), explaining possible inconsistencies or addressing conflicts of interest, reliabilities, or thoroughness of analysis.
  11. For tenured appointments (full Professors and tenured Associate Professors) copies of six significant publications.
  12. For untenured Assistant Professors appointments copies of three significant publications. For mid-term reappointments, and untenured Associate Professor appointments, copies of five significant publications.
  13. The rank and full title proposed for the candidate (*e.g.*, Assistant Professor of Geotechnical Engineering, School of Geological Sciences and Engineering).