

# Dixie State University Policy

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## 641 Faculty Retention, Promotion and Tenure



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### I. Purpose

- 1.1 This policy establishes the guidelines for the faculty review process at Dixie State University (DSU).

### II. Scope

- 2.1 This policy applies to all tenure-track and continuing status faculty and the administrators and staff responsible in the retention, promotion, and tenure process.

### III. Definitions

- 3.1 **Candidate:** A full-time employee with a faculty appointment who submits a portfolio for a required or optional review under this policy.
- 3.2 **Continuing Status:** Faculty members who have earned the terminal degree required in their discipline of appointment will apply for tenure. Faculty members who have not earned the terminal degree required in their discipline of appointment at the end of their probationary period may be awarded post-probation Continuing Status. Receiving Continuing Status will depend on such faculty demonstrating excellence in teaching and exhibiting a strong commitment to serving students, colleagues, the department, the institution, and the greater community. Granting Continuing Status after the probationary period acknowledges that the faculty member is valued by the institution. Continuing Status faculty members have specific rights and responsibilities regarding institutional and faculty governance. Because granting Continuing Status is regarded as a critical personnel decision, it is imperative that a thorough, responsible screening be part of the process. Continuing Status

faculty members are required to undergo Post-Probation Review, although they are not eligible for Post-Probation Review increases, which are reserved for tenured faculty.

- 3.2.1 Faculty appointed to probationary continuing status or continuing status positions may hold the academic ranks of associate professor, assistant professor, and instructor.
- 3.2.2 If a probationary continuing status faculty member earns the required terminal degree prior to applying for continuing status, s/he will apply for tenure instead, with years of service credited equally and no change in the probationary period. An official transcript showing the required terminal degree must be sent by the awarding institution to the Human Resources Office.
- 3.2.3 If a faculty member receives the terminal degree required in the discipline of appointment after having been awarded continuing status, s/he may elect to submit an application for tenure in the review cycle following degree posting or in any year thereafter. An official transcript showing the required terminal degree must be sent by the awarding institution to the Human Resources Office.
  - 3.2.3.1 A continuing status faculty member who chooses to apply for tenure once s/he becomes eligible would still be considered non-probationary and would incur no employment jeopardy by applying.
- 3.2.4 Specific faculty positions, including professional positions and all positions outside academic departments, are ineligible for tenure. A new faculty member's letter of appointment indicates if the position of the faculty member will be eligible for continuing status or tenure after a successful Final Probationary Review.
- 3.3 **Day:** Within this policy, "day" refers to a "calendar day" unless "business day" is specified. A day when the University is open for business, excluding weekends and holidays, is considered a business day.
- 3.4 **Deadlines:** A non-business day is a day on which the University is not open for business. If a deadline included in this policy falls on a non-business day, the deadline will be changed to the next business day.
- 3.5 **Faculty:** For the purposes of this policy, a faculty member is a full-time employee with any type of faculty status as defined in Policy 631 Faculty Categories.

- 3.6 **Non-Compliance:** Failure to submit an Intermediate Probationary, Post-Probation, and Final Probationary review portfolio according to the schedule outlined in this policy will result in disciplinary action as outlined in DSU Policy 633: Faculty Rights and Responsibilities, up to and including non-reappointment or termination in accordance with DSU Policy 371: Faculty Termination.
- 3.7 **Probation:** A six (6)-year period of probationary employment is required for faculty appointed to ongoing, full-time positions. Scheduled evaluations and reviews during the probationary period evaluate performance and provide constructive feedback as faculty progress. At any time the contracts of probationary faculty members who do not meet the standards of the department or the expectations of the institution may be subject to non-renewal in accordance with the Utah Board of Regents policy R481, Academic Freedom, Professional Responsibility, Tenure, Termination, and Post-Tenure Review, and DSU policy 371: Faculty Termination. Probationary faculty members are at-will employees.
- 3.7.1 The institution is permitted, within the limits of academic freedom, statutory law, and constitutional law, the utmost discretion in determining who will be retained for tenure and continuing status appointments. Probationary faculty members are appointed on an annual basis according to the following schedule in accordance with Utah Board of Regents policy R481:
- 3.7.1.1 During the first academic year of service, notice of non-reappointment will be given not later than March 1 of the first year of academic service, or at least three months in advance of termination.
- 3.7.1.2 During the second and subsequent years of academic service, notice of non-reappointment will be given not later than December 15 of the academic year, or at least six months in advance of termination.
- 3.7.1.3 The formal probationary period for faculty members whose appointment begins after 1 September (midyear appointments) starts at the beginning of the following academic year on 1 July.
- 3.7.1.4 Serving as a department chair during the probationary period has no impact on the length of the probationary period. A post-probation faculty member with rank in a DSU academic department who accepts appointment as a dean or other full-time

administrative position retains faculty status, rank, and tenure during his/her administrative appointment, but is not considered to have a current faculty appointment. Years served as a dean or other full-time administrative position can accrue toward rank advancement as applicable, although application for such advancement may not be submitted while the individual is serving in a non-faculty appointment, and Post-Probation Reviews are not required while a faculty member serves in as a dean or in another administrative position. (See DSU Policy 105: Academic Structure.)

- 3.7.1.5 A probationary faculty member who accepts a full-time administrative position relinquishes his/her faculty status, with the exception that s/he may negotiate to have prior years of faculty service counted toward post-probation status and rank advancement if s/he accepts a faculty position immediately after serving in the administrative position.
- 3.7.1.6 No credit toward tenure, continuing status, or non-probationary status can be awarded for term appointments or non-full time positions at DSU or other institutions.
- 3.7.1.7 Certain situations such as family medical leave or military duty may merit temporarily suspension of the probationary period. The faculty member must make a written request for approval of the suspension to the chair, the dean and the Provost. Periods of duty spent off campus or on scholarly activity or educational leave are counted as part of the probationary period unless other written agreement is made.
- 3.7.2 In specific circumstances and solely at the discretion of the University, a new faculty member who has both exceptional qualifications and experience at a regionally accredited institution may be awarded a reduction in the probationary period with the written approval of the Dean and the Provost.
  - 3.7.2.1 A one (1) to two (2) year reduction is allowed based on the amount and quality of documented previous tenured experience. The maximum two (2) year credit allows an experienced, exemplary faculty member to undergo the required Intermediate Probationary Review in the second as opposed to third year and the required Final Probationary Review in the fourth rather than the sixth year. Any exception made in extraordinary

circumstances must be approved in writing by the Dean and the Provost.

3.7.2.2 A reduced probationary period may only be awarded within the first two years of appointment and may not be negotiated after that point.

- 3.8 **Professional Faculty:** Post-probationary status for full-time faculty members appointed to positions rather than academic ranks, hired outside the faculty salary schedule based on professional skills rather than academic credentials, and/or appointed outside an academic department. Such faculty members are not eligible for tenure or continuing status. Professional faculty positions may include but are not limited to professional faculty, lecturer, and lecturer/advisor, in residence faculty, clinical faculty, and instructional technologist / designer. Professional faculty members have voting rights in faculty matters, but those rights do not include matters regarding tenure, continuing status, or rank. Faculty in these positions who demonstrate excellence in fulfilling their role assignment and who exhibit a strong commitment to serving students, colleagues, their department, the institution, and the greater community can be awarded Non-Probationary Status after the appropriate probationary period and reviews. Professional faculty members are required to submit Intermediate Probationary, Final Probationary, and Post-Probation reviews according to the schedule outlined in this policy. Professional faculty members are not eligible for promotion in the form of rank advancement. Professional faculty members are required to undergo Post-Probation Review although they are not eligible for Post-Probation Review salary increases, which are reserved for tenured faculty.
- 3.9 **Post-Probation:** Faculty members who have completed the probationary period may be awarded tenure, continuing status, or non-probationary status after a Final Probationary Review.
- 3.10 **Promotion:** Promotion in faculty rank is the acknowledgement by the institution of excellence in performance of teaching and service, professional competence and responsibility, community engagement, and/or scholarly research or creative work as appropriate to the faculty member's role statement. Faculty members eligible for promotion, which is also referred to as rank advancement, may apply in the sixth year of full-time Tenure-Track, Tenured, Probationary Continuing Status and/or Continuing Status employment after the last review. Length of service alone should not create an expectation of promotion. Faculty appointed to Professional positions do not hold rank and they are therefore ineligible to apply for promotion (see *Professional Faculty* definition 3.8).

- 3.10.1 Members of the faculty appointed to tenure-track positions who hold the terminal degree required in their discipline of appointment may be awarded tenure and the following ranks: assistant professor, assistant librarian, associate professor, associate librarian, professor, and librarian.
- 3.10.2 Members of the faculty appointed to probationary continuing status positions who have earned a master's degree but do not hold the required terminal degree required in their discipline of appointment may apply for and be awarded continuing status and the following ranks: instructor, assistant professor, and associate professor.
- 3.11 **Rank:** Academic ranks include the titles instructor, assistant professor, associate professor, professor, assistant librarian, associate librarian, and librarian. These titles are reserved for tenure-track, tenured, probationary continuing status, and continuing status faculty who have received that academic appointment in an academic department. All faculty members receiving these ranks must have earned a master's or doctoral degree.
- 3.11.1 A new faculty member who has earned the terminal degree required in his/her discipline of appointment typically begins service at the rank of assistant professor. A new faculty member who has not earned the terminal degree required in his/her discipline of appointment typically begins service at the rank of instructor. A new library faculty member typically begins service at the rank of assistant librarian. A professional faculty member is not appointed to an academic rank but is hired in a specific position.
- 3.11.2 Based on documented prior experience, a new faculty member may be appointed at a higher rank. A number of factors may be used in consideration of appointment at higher rank, including the relevance and quality of prior experience. Such an award is an exception to policy, is made solely at the discretion of the University, and cannot be negotiated after the faculty member's appointment. Appointment at higher rank must be approved in writing by the dean, the Provost, and the President. Appointment at higher rank has no bearing on a faculty member's probationary period.
- 3.12 **Retention:** A probationary faculty member is retained when s/he is offered employment for the following academic year, either through direct reappointment or the absence of non-reappointment.
- 3.13 **Review:** A faculty review is the process of peer and administrator examination

of a faculty member's portfolio for the purpose of appraising the faculty member's performance in his/her duties and responsibilities as outlined in the faculty member's role statement, DSU Policy 633: Faculty Rights and Responsibilities, and other applicable University policies.

- 3.14 **College:** A College within the University is usually organized under a dean. However, in this policy, a College Faculty Review Committee refers to faculty members who have been grouped together for purposes of voting on faculty review matters. Colleges under deans may be subdivided as provided in this policy, but in no case will faculty members in a department be assigned to separate Colleges. Faculty members without appointment in an academic department will be assigned a College for the purpose of faculty reviews, and reasonable effort will be made to continue that assignment throughout the faculty member's appointment.
- 3.15 **Tenure:** Faculty members appointed to ongoing tenure-track positions who have earned the terminal degree required in the discipline of appointment by the time of the Final Probationary Review and who demonstrate excellence in teaching and exhibit a strong commitment to serving students, colleagues, the department, the institution, and the greater community can be awarded tenure after the appropriate probationary period and reviews. Granting tenure after the probationary period acknowledges that faculty members are especially valued by the institution, are competent in their disciplines, and are capable of continued excellence in teaching, service, and scholarly, research or creative contributions as appropriate to their role statement. Tenured faculty members have specific rights and responsibilities regarding institutional and faculty governance. Because granting tenure is regarded as the University's most critical personnel decision, it is imperative that a thorough, responsible screening be part of the tenure-granting process. Tenured faculty may apply for promotion and are required to submit portfolios for Post-Probation Reviews as scheduled. Tenured faculty members who receive favorable Post-Probation Reviews are eligible for salary increases as outlined in DSU Policy 341: Faculty Salaries.
- 3.16 **Tenure-Track:** The probationary period for faculty members in full-time ongoing positions identified as tenure-track wherein the appointed faculty member holds the terminal degree required in his/her discipline of appointment and is projected to meet the expectations of and must apply for tenure in the final year of the probationary period. Tenure-track appointments must be made within an academic department at one of the following academic ranks: assistant librarian, assistant professor, associate librarian, associate professor, librarian, or professor.

- 3.17 **Terminal Degree:** The level of and/or specific academic degree required for tenure as well as for various academic appointments at DSU. Academic disciplines may have specific standards listed in an addendum to this policy, but the minimum standards at DSU are:
- 3.17.1 Faculty members must have earned a master's degree to earn continuing status and/or to be awarded the rank of instructor, assistant professor, assistant librarian, associate professor, or associate librarian.
  - 3.17.2 Faculty members must have earned the terminal degree required in their discipline of appointment to earn tenure, the rank of professor, and/or be eligible for post-probation salary increases.
  - 3.17.3 Utah Board of Regents Policy R312 includes the following restrictions.
    - 3.17.3.1 The master's degree is the standard requirement for faculty teaching general education courses.
    - 3.17.3.2 Faculty teaching upper-division courses will have earned or be working toward the appropriate terminal degree for their field and specialty.

#### IV. Policy

##### 4.1 Review Criteria

- 4.1.1 The professional judgment of a faculty member's peers and colleagues is a significant factor in faculty self-governance. Typically, faculty members are reviewed based on criteria for teaching, service, community engagement, and, as applicable, scholarly, research, or creative work. All faculty members are required to satisfactorily perform the duties and responsibilities detailed in the faculty member's role statement in fulfillment of the University's mission. All members of the faculty are expected to perform their duties in accordance with DSU Policy 633: Faculty Rights and Responsibilities, including statements on ethics and responsible conduct. Documentation must be provided to substantiate the portfolio and allow review based on applicable criteria. Reviews involve both quantitative and qualitative information. Portfolios are evaluated on a case by case basis.
- 4.1.2 Standard criteria are applied as appropriate to the candidate's role statement and those criteria may be altered as needed based on a candidate's duties as listed in the role statement. Candidates are not necessarily reviewed on the same criteria, and criteria are not weighted

equally.

- 4.1.3 Departments and/or Colleges may add or modify criteria based on required or specialized activities for any subgroup of faculty. Such additional criteria must be approved by a majority of the full-time faculty in the organizational unit, must be submitted to Academic Council for approval, and must be linked from this policy as addenda before implementation.
- 4.1.4 Student evaluations will be considered to the extent that a faculty member's role statement includes teaching. Student evaluations of faculty members whose role statement does not include or emphasize teaching but who teach overload courses will be considered supplemental in the faculty review process.
- 4.1.5 Teaching effectively typically includes pedagogical technique and/or innovation; fair and timely evaluation of student work; quality feedback to students; maintaining professional competencies; teaching preparation; judgment in selecting and emphasizing course content to fulfill programmatic and institutional objectives; providing students with a broad scholarly perspective; openness and receptivity to students and their ideas; and willingness to work with colleagues to fulfill departmental and/or program goals. Documentation supporting teaching usually includes proficiency in curriculum development as demonstrated through instructional materials such as syllabi and assignments, tests, exams, etc., as well as examples of student work produced as a result of excellent teaching.
- 4.1.6 Faculty members are required to perform service on two levels: professional service to the University and community engaged service to outside organizations and/or the community related to the institution's mission
  - 4.1.6.1 All faculty members are expected to maintain office hours and be available to students and colleagues to conduct University business. Required additional professional service to the University typically includes but is not limited to advising and mentoring students; participating in shared governance in the form of membership on committees and attendance at meetings on and off campus; administrative duties; working on curriculum development, program review, and assessment; attending commencement ceremonies; and engaging in other service to the University. Documentation supporting professional service to the

University usually includes letters from committee chairs showing participation on committees; samples of curriculum development, program review, and assessment; and examples of student interaction and engagement.

- 4.1.6.2 Service to outside organizations and the community typically includes but is not limited to participation in regional and national professional organizations and activities, including holding appointed or elected office in such organizations; professionally related volunteer work and positions; public speaking and/or information dissemination involving professional expertise; and community and global engagement activities supporting the University mission.
- 4.1.7 Scholarly, research, or creative work is evaluated as appropriate to the candidate's discipline and role statement. Such work typically includes applied and theoretical research; creative activities which produce new works of art, music, or literature; publication of peer-reviewed work; and serving as an editor or referee for a scholarly publication, all of which if used as evidence by a candidate as part of a portfolio, should be complementary to the individual's disciplinary assignment.
- 4.1.8 Faculty members are expected to serve students, colleagues, the department, the University, and the greater community. Granting tenure, continuing status, or non-probationary status acknowledges that faculty members have made contributions appropriate to their Role Statement (See Faculty Evaluation policy) toward fulfilling the University's mission; are especially valued by the institution; have developed an established record demonstrating teaching effectiveness in their disciplines; and are capable of continued teaching, community engagement, service, and scholarly, research, or creative contributions.
- 4.1.9 Faculty members who have received tenure, continuing status, or non-probationary status are expected to demonstrate the same strong commitment to serve students, colleagues, the department, the University, and the greater community throughout their careers at DSU. Post-Probation Review criteria are the same as for other reviews.
- 4.1.10 Intermediate Probationary, Tenure, and Continuing Status reviews are based on the cumulative work of a faculty member during the probationary period, including any years brought towards tenure. Promotion and Post-Probation reviews focus on the faculty member's accomplishments since his/her last promotion.

## 4.2 Faculty Portfolios

- 4.2.1 The University requires that all documentation regarding and in support of a candidate's review portfolio be housed in the specified electronic system. All full-time employees with faculty appointments are required to maintain a current portfolio in the electronic portfolio system, whether or not a review is imminent. Since reviews are based largely on a faculty member's performance and activities in the period since the last review, it is logical that documentation and information that is outdated (e.g. relevant only to the period prior to the last review) will be periodically removed. The portfolio should include documentation of all aspects of a faculty member's assignment as detailed in the annual role statement. Before undergoing a review, the candidate is responsible to ensure that his/her electronic portfolio includes the following:
- 4.2.2 Human Resources form indicating eligibility, terminal rank in discipline, and faculty member's educational attainment. This form is not required for Post-Probation Reviews.
- 4.2.3 Optional Curriculum Vitae for the period under review with activities, and documentation manner that supports the University's criteria for review of portfolios.
- 4.2.4 Role statements for all years under review subsequent to Role Statement requirement in Faculty Evaluation Policy.
- 4.2.5 The Supervisor's Report is an honest and frank assessment by the faculty member's chair or dean as to how the faculty member is progressing in the quality of teaching, service, and fulfillment of role statement, as well as other activities, duties, and responsibilities relevant to the review process. This report will be sent to the candidate after the School Review is complete. In addition, it will be given to the University Review Committee for consideration in review. The faculty member has a right to respond to the Supervisor's Report
- 4.2.6 Written results of all previous portfolio reviews, including letters and/or reports issued by the College Faculty Review Committee, University Faculty Review Committee, Post Probation Faculty Review Committee, Supervisor (Chair or Dean), and Provost. All documentation in this category should be maintained throughout the faculty member's employment at the University and may not be removed as outdated.
- 4.2.7 Letters and/or reports from the College Faculty Review Committee,

University Faculty Review Committee, and Provost received throughout the current review process must be added to the portfolio before the next level of review can commence.

- 4.2.8 It is the responsibility of the faculty member to ensure that all required evaluations outlined in DSU Policy 642: Faculty Evaluations are included in the portfolio.
- 4.2.9 Evidence to support teaching criterion, as appropriate to role statement, such as:
  - 4.2.9.1 Samples of syllabi.
  - 4.2.9.2 Examples of faculty member's pedagogical techniques.
  - 4.2.9.3 Samples of assignments, quizzes, exams, and other methods of evaluating student learning outcomes.
  - 4.2.9.4 Examples of student work, particularly written and/or research-based work.
  - 4.2.9.5 Evidence of assessment activities.
- 4.2.10 Evidence to support service, such as:
  - 4.2.10.1 Documentation of service to the institution.
  - 4.2.10.2 Evidence of relevant community engagement and service related to the institution's mission to the profession, to the community, to outside organizations.
- 4.2.11 Other documentation as determined to be needed:
  - 4.2.11.1 Documentation of professional development, including required post-award reports.
  - 4.2.11.2 If desired or required by role statement, evidence of creative or scholarly activity, including research, publication, artwork, curriculum development, etc.
  - 4.2.11.3 General letters of support or recommendation as desired.
  - 4.2.11.4 Copy of Professional Development Plan, if one has been implemented. Refer to Policy 632 Faculty Responsibilities and Academic Freedom for more information about Professional Development Plans.

4.2.12 The following must be included in the portfolio before the next-level review can be completed, and these documents should permanently remain in the portfolio. In addition, any formal, written response to the above listed documents submitted by the candidate must be included in the portfolio.

Level of Review	Documents Required Before Review
College Faculty Review Committee	<ol style="list-style-type: none"> <li>1. Letter from the candidate to chair of College Faculty Review Committee.</li> <li>2. Human Resources document that indicates eligibility, terminal rank in discipline, faculty member's educational attainment, etc.</li> </ol>
University Faculty Review Committee	<ol style="list-style-type: none"> <li>1. Letter from Supervisor (College Chair or Dean)</li> <li>2. Letter from College Faculty Review Committee to University Faculty Review Committee.</li> </ol>
University Post-Probation Review Committee	<ol style="list-style-type: none"> <li>1. Letter from candidate to Chair of University Faculty Post-Probation Review Committee.</li> <li>2. Supervisor's Report (Chair or Dean).</li> </ol>
Provost' Review	<ol style="list-style-type: none"> <li>1. Letter from University Faculty Review Committee to Provost</li> <li style="text-align: center;"><b>-Or-</b></li> <li>2. Letter from Post-Probation Faculty Review Committee to Provost.</li> </ol>

4.2.13 Any member of a College Faculty Review Committee has the right to access the electronic portfolio of a faculty member who has submitted an application to that committee and to participate in the review, regardless of voting rights, rank, or discipline. All faculty members eligible to participate in the review should have access to relevant portfolios through their office computers. Department Chairs, Deans, and the Provost or their designee(s) have the right to review the electronic portfolio of any faculty member under their jurisdiction at any time.

### 4.3 Committees

4.3.1 For the purposes of this policy, confidential information is that which

not generally known to the public. The confidentiality of information related to the processes outlined in this policy is to be respected. The confidentiality extends indefinitely, not just during the review period. Members of all committees and others with access to this information participate in the process with the understanding that all matters related to faculty reviews, including deliberations and voting results, must remain confidential. The rule of confidentiality does not expire. Even after a review is completed, committee members are prohibited from discussing any actions, deliberations, and recommendations of the committee, or any information about candidates derived from the review process. Individuals who violate this confidentiality will be considered in violation of DSU policy and may be subject to disciplinary action.

4.3.1.1 Candidates under review are discouraged from directly approaching committee members concerning disposition of their review beyond any supervisor and/or mentor relationship previously established between two members of the faculty. This does not preclude social, business, and casual interaction where the candidate's application and the process are not discussed. This does not prohibit a committee chair or administrator from requesting more information from a candidate when needed.

4.3.1.2 Although the University respects the need for confidentiality in the review process, it makes no guarantee toward that end.

4.3.2 The College Faculty Review Committee will deliberate and provide written recommendations regarding applications for Intermediate Probationary, Final Probationary, and Promotion reviews for all faculty assigned to that College Faculty Review Committee. The College Faculty Review Committee is comprised of the faculty in the College(s), with the right to vote on a specific candidate's application determined by this policy.

4.3.3 College Faculty Review Committees are organized by the Vice President Academic Services, the Faculty Senate, and the Office of Human Resources in consultation with organizationally affected faculty. To ensure an equitable and legal faculty review process, as well as compliance with applicable employment laws, regulations, and other University policies, a subset of a College Faculty Review Committee may only be established with written permission from the Provost and the Office of Human Resources.

- 4.3.3.1 Organizational units may not create any review process or committee outside of those specifically designated by this policy although they are encouraged to foster mentorships and to develop and distribute specific departmental criteria to be applied by College and University Faculty Review committees. Any such specific criteria must be approved by Academic Council and included as an addendum to this policy.
- 4.3.3.2 The necessity may arise for the University to combine established committees to accommodate relevant variations in organizational composition such as a limited number of tenured faculty members (less than 3), absence of full professors, Equal Opportunity requirements, etc.
- 4.3.4 Within the membership of the College Faculty Review Committee, voting rights are dependent on an individual faculty member's status and rank except as limited by the single vote rule, which states that no individual may cast more than one vote on a candidate's application in the same academic year. Voting members of the University Faculty Review Committee should not cast votes in the College Faculty Review Committee although the non-voting chair of the University Faculty Review Committee is eligible to vote in his/her assigned College Faculty Review Committee. Votes should be based on comprehensive review of each candidate's portfolio and application of appropriate criteria. A quorum, consisting of two-thirds of the faculty members eligible to vote on a candidate's application, is required for all votes.

<b>VOTING ELIGIBILITY BY FACULTY STATUS</b>			
Faculty Member Voting Eligibility	Candidate applying for Non-Probationary Professional Status	Candidate applying for Continuing Status	Candidate applying for Tenure
Tenured	Y	Y	Y
Continuing Status	Y	Y	N
Professional Track	Y	N	N
Probationary*	N	N	N

\*Includes tenure-track, probationary continuing status, and probationary professional faculty.

4.3.4.1 Intermediate Review: In each College Faculty Review Committee, all tenured and continuing status faculty members, regardless of rank or discipline, are eligible to participate in the Intermediate Review process. The College Faculty Review Committee must consist of at least three (3) tenured or continuing status faculty members or the Provost shall appoint other faculty members to serve on the committee from within the same college (see section 3.14).

4.3.4.2 Tenure Review: In each College Faculty Review Committee, all tenured faculty members, regardless of rank or discipline, are eligible to participate in the consideration of and to vote on recommendations for candidates applying for tenure. The College Faculty Review Committee must consist of at least three (3) tenured or continuing status faculty members or the Provost shall appoint other faculty members from the same college to serve on the committee.

4.3.4.3 Continuing Status Review: In each College Faculty Review Committee, all tenured faculty members and faculty members with continuing status, regardless of rank or discipline, are eligible to participate in the consideration of and to vote on recommendations for candidates applying for continuing status.

4.3.4.4 Promotion Review: In each College Faculty Review Committee, all probationary, tenure-track, tenured, and continuing status faculty members of equal or higher rank as that for which the candidate has applied, regardless of discipline, are eligible to participate in the consideration of and to vote on recommendations in individual cases on matters of promotion. Other committee members may participate in the consideration of candidates for promotion but may not vote.

4.3.4.4.1 Professors and librarians are eligible to vote on all candidates for promotion.

4.3.4.4.2 Associate professors and associate librarians are eligible to vote on candidates applying for associate professor, associate librarian, and assistant professor.

4.3.4.4.3 Assistant professors and assistant librarians are eligible to vote on candidates applying for assistant professor.

4.3.4.4.4 Faculty members appointed outside of an academic department and/or without an academic rank listed above are ineligible to vote on matters of promotion.

<b>VOTING ELIGIBILITY BY ACADEMIC RANK</b>			
Rank of Voting Faculty Member	Candidate applying for Assistant Professor	Candidate applying for Associate Professor / Associate Librarian	Candidate applying for Professor / Librarian
Professor / Librarian	Y	Y	Y
Associate Professor / Associate Librarian	Y	Y	N
Assistant Professor / Assistant Librarian	Y	N	N
Instructor / appointment without one of the academic rank listed above	N	N	N

4.3.5 The Chair of the College Faculty Review Committee must be a tenured faculty member. The Chair will be elected by all full-time probationary and post-probation College faculty (as defined by the membership assigned to a specific College for the purposes of implementing this policy) and will serve a three year term. A chair may be reelected and succeed him/herself in subsequent terms.

4.3.5.1 No faculty member scheduled for a mandatory review by the College Faculty Review Committee during the three-year term may be elected as chair. The chair may not submit an optional review to the College Faculty Review Committee during his/her period in office.

4.3.5.1.1 The College Chair remains a voting member of the College Committee at the level indicated by his/her rank.

4.3.5.1.2 A faculty member scheduled for a Post-Probation Review during his/her period in office is eligible to serve as chair of the College Faculty Review Committee.

- 4.3.5.1.3 The Chair of a College Faculty Review Committee may not simultaneously serve in any capacity on any other review committee or any appeals committee or hearing board that might be called upon to hear an appeal of a review process or outcome.
  - 4.3.5.2 Deans and department chairs are not eligible to serve as Chair. Deans do not vote at any level of the faculty review process, and the department chairs retain voting rights appropriate to their rank and status when he or she does not write the Supervisor Report.
  - 4.3.5.3 The chair of the University Faculty Review Committee is responsible for ensuring that an election for a new College Faculty Review Committee chair are completed by March 15 in the last year of the College Faculty Review chair's term. If, by March 15 in the last year of a chair's term, a new chair has not been elected, the dean(s) of the affected College(s) will appoint an eligible faculty member chair to serve as chair for a one-year term.
- 4.4 The University Faculty Review Committee is comprised of representative elected tenured members of the faculty.
- 4.4.1 The University Faculty Review Committee will deliberate and provide written recommendations regarding applications for Intermediate Probationary, Final Probationary, and Promotion reviews for all University faculty. The Committee has the responsibility to recommend non-reappointment of a probationary faculty member who, in the judgment of the committee, has not made satisfactory progress toward tenure, continuing status, or non-probationary status as appropriate.
    - 4.4.1.1 Based on comprehensive review of each candidate's portfolios and application of the appropriate criteria, all members of the University Faculty Review Committee are eligible to vote on all applications, regardless of rank.
    - 4.4.1.2 A quorum of two-thirds of the voting members of the University Faculty Review Committee is required for each vote.
    - 4.4.1.3 Deans and department chairs are not eligible to serve as on the University Faculty Review Committee.
    - 4.4.1.4 The single vote rule applies to voting members of the University

Faculty Review Committee such that no individual may cast more than one vote on a candidate's application in the same academic year. Voting members of the University Faculty Review Committee should not cast votes in their College Faculty Review committees although they may participate in that review. The chair of the University Faculty Review Committee is eligible to vote in the College Faculty Review Committee of his/her appointment.

4.4.2 The University Faculty Review Committee will consist of a minimum of nine (9) tenured faculty members elected from representative divisions of the faculty at large. Deans and department chairs may not serve on the University Promotion and Tenure Committee during their appointment or assignment to administrative office. The members will serve staggered three-year terms.

4.4.2.1 The voting members of University Faculty Review Committee will be representative of all Colleges within the University. Committee members must be tenured faculty members who have been elected for three-year terms by the full-time regular faculty assigned to each College. One-third of the committee members' terms will expire each year. Committee members may be reelected and succeed themselves as representatives.

4.4.2.2 The Faculty Senate is responsible for holding elections to populate the University Faculty Review Committee. If, at the end of an academic year (June 30), the Faculty Senate has not fully populated the University Faculty Review Committee, the Provost and the deans will appoint an appropriate number of eligible representative faculty members to serve one-year terms on the committee.

4.4.2.3 No faculty member may simultaneously serve as chair of the College Faculty Review Committee and as a member or chair of the University Faculty Review Committee.

4.4.2.4 If requested by the chair of the University Faculty Review Committee, the Provost will designate a mutually agreed-upon individual to serve as a non-voting secretary to the committee during that president's term in office. The secretary can be either a faculty or staff member as requested by the chair. The secretary is under the same confidentiality restraints as all other committee members.

- 4.4.2.5 No faculty member scheduled for a mandatory review by the University Faculty Review Committee during his/her three-year term of office may be elected as chair of that committee. No faculty member may submit an optional review that will go to the University Faculty Review Committee during his/her period as a member or chair of that committee.
  - 4.4.2.5.1 Faculty members scheduled for a Post-Probation Review during that period are eligible to serve as members of the University Faculty Review Committee.
  - 4.4.2.5.2 The chair of the University Faculty Review Committee may not simultaneously serve in any capacity on any other review committee or any appeals committee or hearing board that might be called upon to hear an appeal of a review process or outcome.
- 4.4.3 The Provost and the Faculty Senate President will jointly designate a tenured professor to act as a non-voting chair of the University Faculty Review Committee for a three year period. Such appointment must be made by February 15 in the last year of the previous chair's term. An individual chair may not immediately succeed him/herself in the position of chair.
- 4.4.4 Department chairs, deans, and other University administrators may not attend meetings or participate in the deliberations of the University Faculty Review Committee except by specific invitation from the committee.
- 4.5 Post-Probation Review is intended to evaluate, and facilitate continued faculty development consistent with fulfillment of the University mission and goals in compliance with relevant Board of Regents policies.
  - 4.5.1 The Post-Probation Faculty Review Committee will perform continuing reviews of the portfolios of post-probation faculty members according to a regular schedule.
  - 4.5.2 The Post-Probation Faculty Review Committee will be comprised of at least five (5) tenured faculty of full rank (professor or librarian) with appropriate representation from various academic areas.
    - 4.5.2.1 The five (5) committee members will be elected for three (3) year terms on a staggered basis.

- 4.5.2.2 The Faculty Senate is responsible for holding the elections to populate the Post-Probation Faculty Review Committee. All full-time, tenured, tenure-track, continuing status, and probationary faculty are eligible to vote, regardless of discipline or rank. If, at the end of an academic year (June 30), the Faculty Senate has not fully populated the Post-Probation Faculty Review Committee, the Provost and the deans will appoint an appropriate number of eligible representative faculty members to serve one-year terms.
- 4.5.2.3 No faculty member scheduled for a review by the Faculty Post-Probation Review Committee may serve on the committee or as chair during that year. The members and chair of the Faculty Post-Probation Review Committee may not submit a review to the committee during their term of office.
- 4.5.2.4 Department chairs and deans are not eligible to chair or be members of the Post-Probation Review Committee during their appointments.
- 4.5.3 The Provost and the Faculty Senate president will jointly designate a tenured full professor to act as a non-voting chair for a three-year period. Such appointment must be made by May 1 in the last year of the previous chair's term. An individual may not immediately succeed him/herself in the position of chair, although s/he may serve as a member of the committee prior to or immediately after serving as chair.
- 4.5.4 No supervisor of a faculty member under review may participate in the committee's review, other than in the form of administrative evaluations included in the faculty member's portfolio and letters written at the faculty member's request. Department chairs, deans, and other University administrators may not attend meetings or participate in the deliberations of the Post-Probation Faculty Review Committee except by specific invitation from the committee.
- 4.6 Retention, Promotion and Tenure Appeals Board
- 4.6.1 The Retention, Promotion and Tenure Appeals Board will hear appeals of decisions made by the Provost as needed. A probationary faculty member who receives a notice of non-reappointment may not appeal any decision.
- 4.6.2 Composition and selection of members of the Retention, Promotion and Tenure Appeals Board, as well as the procedures of that board are detailed in Faculty Responsibilities and Academic Freedom (Policy 632).

## 4.7 Schedule of Reviews

4.7.1 DSU requires all faculty members to undergo a set of regular and rigorous reviews throughout their careers. Faculty members must maintain a current portfolio in the required electronic format at all times and must submit it for review according to the following schedule:

### 4.7.2 Intermediate Probationary Review

4.7.2.1 Required of all full-time faculty members to take place in the Fall semester of the third year of the probationary period. A faculty member may reduce this amount of time with the written approval of the Dean and the Provost ( See Section 3.7.2)

4.7.2.2 A Letter of Intent signaling a faculty member's intent to apply must be submitted to the Chair of the College Faculty Review Committee by April 1 prior to the required review that will take place during Fall semester.

### 4.7.3 Final Probationary Review

4.7.3.1 Required of all full-time faculty members to take place in the Fall semester of the last year of the probationary period. Tenure, continuing status, or non-probationary status, if approved, goes into effect at the onset of the following academic year (July 1).

4.7.3.2 A Letter of Intent signaling a faculty member's intent to apply must be submitted to the chair of the College Faculty Review Committee by April 1 prior to the review that will take place during Fall semester.

### 4.7.4 Promotion Reviews

4.7.4.1 Faculty members eligible for rank advancement may apply by undergoing a Promotion review in every sixth Fall semester until final available rank is attained. New rank, if approved, goes into effect at the onset of the academic following year (July 1).

4.7.4.2 A Letter of Intent signaling a faculty member's intent to apply must be submitted to the chair of the College Faculty Review Committee by April 1 prior to the required review that will take place during Fall semester.

### 4.7.5 Post-Probation Reviews

- 4.7.5.1 All tenured and continuing status faculty members who have not undergone a Promotion, Final Probation, or Post-Probation Review during the previous five (5) years will undergo a Post-Probation Review during the Fall semester of the sixth year.
- 4.7.5.2 A Letter of Intent signaling a faculty member's intent to submit a portfolio for Post-Probation Review must be submitted to the chair of the Faculty Post-Probation Review Committee by October 1 in the year of the required review.
- 4.7.6 Additional reviews may be required as specified in a Professional Development Plan. Professional Development Plans are not required of all faculty members. Refer to Policy 633: Faculty Rights and Responsibilities for more information.
- 4.7.7 The Intermediate Review, Final Probationary Review, and a Post-Probation Review are mandatory. A faculty member who fails to submit a required letter and/or make a complete and current portfolio available for review according to the schedule listed in this policy will be considered in violation of this policy

## **V. References**

- 5.1 Utah Board of Regents Policy R312
- 5.2 Utah Board of Regents policy R481
- 5.3 DSU Policy 105: Academic Structure
- 5.4 DSU Policy 371: Faculty Termination
- 5.5 DSU Policy 633: Faculty Rights and Responsibilities
- 5.6 DSU Policy 639: Constitution of the Faculty Senate
- 5.7 DSU Policy 642: Faculty Evaluations
- 5.8 Title VI, 42 U.S.C. § 2000d et seq.
- 5.9 Title VII of the Civil Rights Act of 1964

## **VI. Procedures**

- 6.1 Intermediate Probationary Review
  - 6.1.1 An Intermediate Probationary Review is mandatory at the midpoint of

the probationary period for all probationary faculty members, and portfolios must be submitted according to the established schedule. The purpose of the Intermediate Probationary Review is to provide feedback and guidance to assist the faculty member in their progress toward post-probationary status.

## 6.1.2 College Faculty Review Committee

- 6.1.2.1 A faculty member required to undergo an Intermediate Probationary Review must obtain a signed form from Human Resources noting the candidate's current rank and status as well as his/her eligibility for rank advancement and/or tenure, continuing status, or non-probationary status. The form, which also includes the faculty member's educational credentials as evidenced by official transcripts on file and the terminal degree required in the faculty member's discipline, must be included in the portfolio.
- 6.1.2.2 On or before April 1 prior to the required Intermediate Probationary Review, the faculty member must submit a written letter of intent to the chair of the College Faculty Review Committee. The letter must request the appropriate review(s) and give permission to the chairs of the College and University Faculty Review committees to make the electronic portfolio available during the following Fall semester to all faculty eligible to participate in the review. The faculty member must also upload this letter into his/her portfolio.
- 6.1.2.3 On or before June 15, the chair of the College Faculty Review Committee will make available the portfolios of all faculty who have requested and are eligible for review and invite written comments from any interested party. Only the portfolios of faculty members who are eligible for review will be reviewed.
- 6.1.2.4 On or before September 15, the chair of the College Faculty Review Committee will send a written evaluation to the University Faculty Review Committee, regarding the faculty member's progress. A copy of this report must be concomitantly sent to the faculty member, who is responsible for ensuring that a copy is added to his/her electronic portfolio by September 15th. At the same time, the report will be made available for members of the College Faculty Review Committee to review. A copy will also be provided to the faculty member's department chair and

dean.

6.1.2.5 On or before September 15, the department chair or dean of the faculty member will send a written supervisor's report to the University Faculty Review Committee, regarding the faculty member's progress. A copy of this report must be concomitantly sent to the faculty member, who is responsible for ensuring that a copy is added to his/her electronic portfolio by September 15th.

6.1.2.6 At this time, the faculty member will have the opportunity, but not the obligation, to add a written statement to his/her formal review portfolio in response to the evaluation of the College Faculty Review Committee. Written notice of this option will be included in the copy of the report that is sent to the faculty member. If the faculty member chooses to add such a statement to the portfolio, that statement must be submitted to the chair of the University Faculty Review Committee by September 25th. If the faculty member submits a written statement to the chair of the University Faculty Review Committee by that date, the faculty member's statement will be considered in the review as it progresses. The faculty member must also include the written statement in his/her portfolio before September 25st.

### 6.1.3 University Faculty Review Committee

6.1.3.1 The University Faculty Review Committee will review each faculty member's portfolio in order to determine if the College Faculty Review Committee and the Supervisor's Report reasonably applied University procedural guidelines. The University Faculty Review Committee will write an evaluation based upon its assessment whether the College Faculty Review Committee's evaluation is supported by the evidence presented. This report, signed by the chair, will be made available for inspection by the committee members before it is forwarded to the Provost.

6.1.3.2 On or before November 1, the chair of the University Faculty Review Committee will forward a report on each Intermediate Probationary Review faculty member to the Provost. The report will contain an evaluation and an assessment of the faculty member's progress toward tenure, continuing status, or non-probationary status as appropriate.

6.1.3.3 Concomitant to sending the report to the Provost, the University Faculty Review Committee will send its report to the faculty member and to the faculty member's dean and department chair.

6.1.3.4 At this time, the faculty member will have the opportunity, but not the obligation, to add a written statement to his/her formal portfolio in response to the report of the University Faculty Review Committee. Written notice of this option will be included with the copy of the report that is sent to the faculty member. If the faculty member chooses to add such a statement to the portfolio, that statement must be submitted to the Provost by November 11. If the faculty member submits a written statement to the Provost by that date, the candidate's statement will be considered in the review as it progresses. The faculty member must also include the written statement in his/her portfolio by November 11th.

#### 6.1.4 Provost

6.1.4.1 The Provost will review each faculty member's portfolio, taking into consideration the review comments from the College and University Faculty Review committees, Supervisor's Report, consultations with the faculty member's dean and department chair as needed, and any other relevant factors. The Provost will use the appropriate criteria in order to prepare a final review to the President with respect to the faculty member's progress toward tenure, continuing status, or non-probationary status, stating reasons therefore.

6.1.4.2 On or before December 15, the Provost will send each Intermediate Probationary Review faculty member a final review letter with respect to the faculty member's progress toward tenure, continuing status, or non-probationary status.

## 6.2 Final Probationary Review

6.2.1 A Final Probationary Review is mandatory in the final year of the probationary period for all probationary faculty members, and portfolios must be submitted according to the established schedule.

### 6.2.2 College Faculty Review Committee

6.2.2.1 A faculty member required to undergo a review must obtain a signed form from Human Resources noting the candidate's

current rank and status as well as his/her eligibility for tenure, continuing status, or non-probationary status and for rank advancement. The form, which also includes the faculty member's educational credentials as evidenced by official transcripts on file and the terminal degree required in the faculty member's discipline, must be included in the portfolio.

- 6.2.2.2 On or before April 1 prior to the required Final Probationary Review, the candidate must submit a written letter of intent to the chair of the College Faculty Review Committee. The letter must request the appropriate review(s) and give permission to the chairs of the College and University Faculty Review committees to make the candidate's electronic portfolio available during the following Fall semester to all faculty eligible to participate in the review. The candidate must also upload this letter into his/her portfolio.
- 6.2.2.3 On or before June 15, the chair of the College Faculty Review Committee will make available portfolios of all candidates who have requested and are eligible for review and invite written comments from any interested party. Only the portfolios of faculty members who are eligible for review will be released. At that time, the chair informs all eligible voters of the date(s) on which the vote will occur and method that will be used for voting. Voting must be concluded by September 10.
- 6.2.2.4 On or before September 15, the chair of the College Faculty Review Committee will send a written report to the chair of the University Faculty Review Committee, which will include the final tally of the voting and the number of votes required for a quorum. This report must be concomitantly sent to the candidate, who is responsible for ensuring that a copy is added to his/her electronic portfolio by September 15th. At the same time, the report will be made available for all voting members of the College Faculty Review Committee to review. A copy will also be provided to the faculty member's department chair and dean.
- 6.2.2.5 On or before September 15, the department chair or dean of the faculty member will send a written supervisor's report to the University Faculty Review Committee, regarding the faculty member's progress. A copy of this report must be concomitantly sent to the faculty member, who is responsible for ensuring that a copy is added to his/her electronic portfolio by September 15th.

6.2.2.6 At this time, the candidate will have the opportunity, but not the obligation, to add a written statement to his/her formal review portfolio in response to the recommendation of the College Faculty Review Committee. Written notice of this option will be included in the copy of the committee report that is sent to the candidate. If the candidate chooses to add such a statement to the portfolio, that statement must be submitted to the chair of the University Faculty Review Committee by September 25. If the candidate submits a written statement to the chair of the University Faculty Review Committee by that date, the candidate's statement will be considered in the review as it progresses. The candidate must also include the written statement in his/her portfolio by September 25<sup>th</sup>.

### 6.2.3 University Faculty Review Committee

6.2.3.1 The University Faculty Review Committee will review each candidate's portfolio referred to it in order to determine if the College Faculty Review Committee reasonably applied University and other relevant criteria for retention, tenure continuing status, and post-probation status as well as the use of written substantive and procedural guidelines. The University Faculty Review Committee will make its recommendation about a candidate's tenure, continuing status, or non-probationary status in a report based upon its assessment of whether the College Faculty Review Committee's recommendation and the Supervisor's Report is supported by the evidence presented. This report, signed by the chair, will be made available for inspection by the committee members before it is forwarded to the Provost.

6.2.3.2 On or before November 7, the chair of the University Faculty Review Committee will forward a report on each candidate to the Provost. The report will contain a recommendation on the retention of the candidate and an assessment of the candidate's request to be awarded tenure, continuing status, or non-probationary status as appropriate.

6.2.3.3 Concomitant to forwarding the report to the Provost, the University Faculty Review Committee will send its report to the candidate and to the faculty member's dean and department chair.

6.2.3.4 At this time, the candidate will have the opportunity, but not the

obligation, to add a written statement to his/her formal portfolio in response to the report of the University Faculty Review Committee. Written notice of this option will be included in the copy of the report that is sent to the candidate. If the candidate chooses to add such a statement to the portfolio, that statement must be submitted to the Provost by November 17. If the candidate submits a written statement to the Provost within this time limit, the candidate's statement will be included in the review as it progresses. The candidate must also include the written statement in his/her portfolio.

#### 6.2.4 Provost

6.2.4.1 The Provost will review each candidate's portfolio, taking into consideration the recommendations from the College and University Faculty Review committees, Supervisor's Report, consultations with the faculty member's dean and department chair as needed, and any other relevant factors. The Provost will use the appropriate criteria in order to prepare a final recommendation to the President with respect to the candidate's tenure, continuing status, or non-probationary status, stating reasons therefore.

6.2.4.2 On or before December 15, the Provost will send to each Final Probationary Review candidate either a recommendation for tenure, continuing status, or non-probationary status as appropriate or a notice of non-reappointment. At the same time, the recommendation or notice will be sent to the University President and faculty member's dean.

6.2.4.2.1 A faculty member whose application for tenure, continuing status, or non-probationary status is not approved will not be reappointed in accordance with DSU Policy 371: Faculty Termination.

6.2.4.2.2 If the faculty member's department chair and dean and the Provost believe the candidate has the capability to improve his/her portfolio to the point where it could be approved, the faculty member can, at the sole discretion of the Provost, be offered a single one-year extension of the probationary period in which to do so. The faculty member remains a probationary employee and must resubmit his/her portfolio for a second Final Probationary

Review in the next cycle, beginning with submitting a new letter of intent by April 1.

- 6.2.4.2.3 In the case of such an extension, any decision on an application for promotion must be postponed until the next year.
- 6.2.4.2.4 When an extension has been granted, a Professional Development Plan must be submitted to the Vice President of Academics for approval within 60 days.
- 6.2.4.2.5 Nothing prohibits the University from implementing DSU Policy 371: Faculty Termination in cases where such a one-year extension has been granted.

6.2.4.3 Because probationary faculty members are at will-employees, a probationary faculty member who receives a letter of non-reappointment in accordance with this policy, DSU Policy 371: Faculty Termination, and relevant Board of Regents policy may not appeal.

## 6.2.5 President

- 6.2.5.1 The recommendation of the Provost with respect to the tenure, continuing status, or non-probationary status of a faculty member will be transmitted to the President for action. After reviewing the recommendation and giving such consideration to the candidate's portfolio as the President deems necessary under the circumstances, the President will make a decision about the faculty member's tenure, continuing status, or non-probationary status.
- 6.2.5.2 The President will present a recommendation about the candidate's application for tenure, continuing status, or non-probationary status to the Board of Trustees.

## 6.2.6 Board of Trustees

- 6.2.6.1 The DSU Board of Trustees will confirm or deny the President's recommendations regarding tenure, continuing status, or non-probationary status. The President will advise the candidate, the Provost, and the faculty member's dean of that decision. A decision to award tenure, continuing status, or non-probationary status is not official unless and until it has been approved by the

Board of Trustees.

- 6.2.6.2 A faculty member whose tenure, continuing status, or non-probationary status request is denied by the Board of Trustees after December 15 will be given an appointment for one final year of employment in fulfillment of the Board of Regents notice of non-reappointment policy.
- 6.2.6.3 Tenure, continuing status, or non-probationary status if approved, goes into effect July 1.

### 6.3 Promotion Reviews

6.3.1 A Promotion Review is not mandatory and is undertaken only at the request of an eligible faculty member. Any portfolio submitted must be in accordance with the established schedule.

#### 6.3.2 College Faculty Review Committee

6.3.2.1 A faculty member opting to apply for promotion must obtain a signed form noting the candidate's current rank and status as well as his/her eligibility for tenure, continuing status, non-probationary status, and/or rank advancement. The form, which also includes the faculty member's educational credentials as evidenced by official transcripts on file and the terminal degree required in the faculty member's discipline, must be included in the portfolio.

6.3.2.2 On or before April 1 prior to the required review, the candidate required to undergo a review must submit a written letter of intent to the Chair of the College Faculty Review Committee. The letter must request the appropriate review(s) and give permission to the chairs of the College and University Faculty Review committees to make the candidate's electronic portfolio available during the following Fall semester to all faculty eligible to participate in the review. The candidate must also upload the letter into his/her portfolio.

6.3.2.3 On or before June 15, the Chair of the College Faculty Review Committee will make available portfolios of all candidates who have requested and are eligible for review and invite written comments from any interested party. Only the portfolios of faculty members who are eligible for review will be released. At that time, the chair informs all eligible voters of the date(s) on

which the vote will occur and method that will be used for voting. Voting must be concluded by September 10.

6.3.2.4 On or before September 15, the Chair of the College Faculty Review Committee will send a written report to the Department Chair and Dean supervising the candidate, which will include the final tally of the voting and the number of votes required for a quorum. This report must be concomitantly sent to the candidate, who is responsible for ensuring that a copy of the report is uploaded into his/her electronic portfolio by September 15. At the same time, the report will be made available for all voting members of the College Faculty Review Committee to review.

6.3.2.5 At this time, the candidate will have the opportunity, but not the obligation, to add a written statement to his/her formal review portfolio in response to the recommendation of the College Faculty Review Committee. Written notice of this option will be included in the copy of the committee recommendation that is sent to the candidate. If the candidate chooses to add such a statement to the portfolio, that statement must be submitted to the chair of the University Faculty Review Committee by September 25. If the candidate submits a written statement to the Chair of the University faculty review Committee by that date, the candidate's statement will be considered in the review as it progresses. The candidate must also include the written statement in his/her portfolio.

### 6.3.3 University Faculty Review Committee

6.3.3.1 The University Faculty Review Committee will review each candidate's portfolio referred to it in order to determine if the College Faculty Review Committee and the Supervisor's Report reasonably applied University and other relevant criteria for promotion as well as the use of written substantive and procedural guidelines. The University Faculty Review Committee will make its recommendation about a candidate's retention in a report based upon its assessment whether the College Faculty Review Committee recommendation is supported by the evidence presented. This report, signed by the chair, will be made available for inspection by the committee members before it is forwarded to the Provost.

6.3.3.2 On or before November 7, the chair of the University Faculty

Review Committee will forward a report on each candidate to the Provost. The report will contain a recommendation on the candidate's application for promotion.

6.3.3.3 Concomitant to sending the report to the Provost, the University Faculty Review Committee will send its report to the candidate and to the faculty member's dean and department chair.

6.3.3.4 At this time, the candidate will have the opportunity, but not the obligation, to add a written statement to his/her formal portfolio in response to the report of the University Faculty Review Committee. Written notice of this option will be included in the copy of the report that is sent to the candidate. If the candidate chooses to add such a statement to the portfolio, that statement must be submitted to the Provost by November 17. If the candidate submits a written statement to the Provost by that date, the candidate's statement will be considered in the review as it progresses. The candidate must also include the written statement in his/her portfolio.

#### 6.3.4 Provost

6.3.4.1 The Provost will review each candidate's portfolio, taking into consideration the recommendations from the College and University Faculty Review committees, consultations with the faculty member's dean and department chair as needed, and any other relevant factors. The Provost will use the appropriate criteria in order to prepare a final recommendation to the President with respect to the candidate's promotion, stating reasons therefore.

6.3.4.2 On or before December 15, the Provost will send a letter to the University President regarding the promotion application of each faculty member who was reviewed. At the same time, an exact copy of this report will be sent to the faculty member, her or his dean, and the chairs of the College Faculty Review and University Faculty Review committees.

#### 6.3.5 Appeals Process

6.3.5.1 A faculty member with tenure, continuing status, or non-probationary status may appeal a negative recommendation from the Provost regarding an application for promotion. The appeal must be filed in writing to the chair of the Faculty Hearing Board

within 30 days of the notification being sent.

6.3.5.1.1 A probationary faculty member does not have the right to appeal non-reappointment. If a probationary faculty member applies for promotion at the same time as s/he submits a portfolio for a tenure or continuing status review, the reviews will be done together although separate outcomes for each application will result. If a probationary faculty member applies for promotion at the same time as submitting a portfolio for the Final Probationary Review, any result of the Promotion Review will be null if the faculty member is not reappointed. A non-reappointed probationary faculty member may not appeal a promotion or non-reappointment decision.

6.3.5.2 Appeals of recommendations from Provost concerning a candidate's application for promotion may also be initiated by a majority of either the College Faculty Review Committee or the University Faculty Review Committee if the recommendation of the Provost opposes their own previous vote. The appeal must be made to the Faculty Hearing Board within 30 days of the Provost's report. Authorized committee members initiating an appeal may have access to the entire portfolio to assist in determining whether an appeal should be filed and/or constructing the appeal.

6.3.5.3 Appeals can be made on one or more of the following bases.

6.3.5.3.1 Material procedural irregularities which were likely to have substantially and adversely affected the recommendation at any level.

6.3.5.3.2 Bias or discrimination in violation of Title VI, 42 U.S.C. § 2000d et seq., or Title VII of the Civil Rights Act of 1964.

6.3.5.3.3 A violation of the faculty member's right of academic freedom as defined in DSU Policy 633: Faculty Rights and Responsibilities.

6.3.5.4 The Faculty Hearing Board's composition and procedures are outlined in DSU Policy 633: Faculty Rights and Responsibilities.

6.3.5.5 The Faculty Hearing Board will review the portfolio and any other documentation submitted, conduct hearings as it deems

appropriate, and make a recommendation to the University President either to uphold the previous decision or request reconsideration beginning at the level of the College Faculty Review Committee, the University Faculty Review Committee, or the Provost.

6.3.5.6 If the appeal is denied and the previous decision upheld, the original decision not to recommend promotion will be final.

#### 6.3.6 President

6.3.6.1 The recommendation of the Provost with respect to the promotion of a faculty member will be transmitted to the President for action. After reviewing the recommendation and giving such consideration to the candidate's portfolio as the President deems necessary under the circumstances, the President will make a decision about the faculty member's promotion.

6.3.6.2 The President will present a recommendation about the candidate's application for promotion to the Board of Trustees.

#### 6.3.7 Board of Trustees

6.3.7.1 The DSU Board of Trustees will confirm or deny the president's recommendations regarding promotion. The President will advise the candidate, the Provost, and the faculty member's dean of that decision. A decision to award promotion in rank is not official unless and until it has been approved by the Board of Trustees.

6.3.7.2 New rank, if approved, goes into effect July 1.

#### 6.4 Post-Probation Review

6.4.1 Post-Probation Reviews are mandatory and portfolios must be submitted according to the established schedule. All tenured and continuing status faculty members who have not undergone a Promotion, Final Probation, or Post-Probation Review during the previous five (5) years will undergo a Post-Probation Review during the Fall semester of the sixth year. The basic standard for appraisal will be the competent and conscientious discharge of duties as specified by the faculty member's role statement, as well as established departmental, College, and/or University standards and policies.

- 6.4.1.1 Incorporating and building on regular student, supervisor, peer, and self-evaluations, the Post-Probation Review process is intended to assess the expectation that faculty members must demonstrate continued achievement of professional goals, ongoing professional development, and maximum contributions to the University, particularly in the areas of teaching effectiveness, scholarly effort, service, and professionalism.
- 6.4.1.2 Reviews can be delayed for a year for various reasons, but such delays require the agreement of the faculty member, the faculty member's department chair and dean, and the Provost.
- 6.4.1.3 The Post-Probation Review process is not the same as the process of applying for Intermediate Probationary, Final Probationary, or Promotion review. Nothing in this process should construe jeopardy to the faculty member under review. The standard for dismissal of a tenured or continuing status faculty member remains just cause as outlined in DSU Policy 371: Faculty Termination.
  - 6.4.1.3.1 While evidence used in the Post-Probation Review might also be used in construction of cause for termination, in no case does the institutional burden of proving cause for dismissal shift to the faculty member having to show cause for retention. The academic freedom of the faculty member being reviewed will be protected throughout the review process.

#### 6.4.2 University Faculty Post-Probation Review Committee

- 6.4.2.1 The faculty member under review will submit a letter of intent to the chair of the University Post-Probation Faculty Review Committee by October 1 in the sixth year following the previous review, or sooner if required by a Faculty Development Plan. The letter must include a request that the Committee review the faculty member's portfolio.
- 6.4.2.2 No later than December 1, the University Post-Probation Faculty Review Committee will respond with a written report to the faculty member being reviewed, to the faculty member's department chair and dean, and to the Provost.
  - 6.4.2.2.1 The written report will include the conclusion of the committee as to whether the faculty member being

reviewed is meeting or exceeding standards and therefore is recommended for a favorable review, or whether there are substantive concerns or deficiencies which the faculty member must correct and therefore is recommended for an unfavorable review, as well as the bases for such conclusions.

6.4.2.2.2 The committee should note specific areas of notable success and must note any specific areas needing improvement, may provide suggestions as to means and benchmarks for improvement, and, if the faculty member did not receive a favorable review, the required time schedule for future reviews.

6.4.2.3 At this time, the candidate will have the opportunity, but not the obligation, to add a written statement to his/her formal portfolio in response to the report of the University Faculty Review Committee evaluation. Written notice of this option will be included with the copy of the report that is sent to the candidate from the Chair of the Post-Probation Faculty Review Committee. If the candidate chooses to add such a statement to the portfolio, that statement must be submitted to the Provost by December 15. If the candidate submits a written statement to the Provost by that date, the candidate's statement will be considered in the review as it progresses. The candidate must also include the written statement in his/her portfolio.

### 6.4.3 Provost

6.4.3.1 Not later than February 15, the Provost will prepare a final recommendation to the President with respect to the post-probation reviews of faculty, including his/her recommendation regarding any salary increase, and a copy will be sent to the faculty member and the faculty member's department chair and dean.

6.4.3.1.1 If the review is unfavorable, the faculty member, working with the faculty member's department chair and dean, will develop a written Professional Development Plan, addressing strategies and actions for correcting noted deficiencies during the next year.

6.4.3.1.1.1 The Professional Development Plan must be

submitted to the Provost by March 15 and must be approved not later than April 15.

- 6.4.3.1.1.2 2. In no case will a Professional Development Plan limit the institution's ability to implement the Faculty Termination policy.

#### 6.4.4 Appeals Process

- 6.4.4.1 A faculty member may appeal a negative recommendation regarding a Post-Probation Review from the Provost. The appeal must be submitted in writing to the chair of the Faculty Hearing Board within 30 days of the notification being sent.
- 6.4.4.2 Appeals can be made on one or more of the following bases.
  - 6.4.4.2.1 Material procedural irregularities which were likely to have substantially and adversely affected the recommendation at any level.
  - 6.4.4.2.2 Bias or discrimination in violation of Title VI, 42 U.S.C. § 2000d et seq., or Title VII of the Civil Rights Act of 1964.
  - 6.4.4.2.3 A violation of the faculty member's right of academic freedom as defined in policy.
- 6.4.4.3 The composition and procedures of the Faculty Hearing Board are outlined in DSU Policy 633: Faculty Rights and Responsibilities.
- 6.4.4.4 The Faculty Hearing Board will review the portfolio and any other documentation submitted, conduct hearings as it deems appropriate, and make a recommendation to the University President either to uphold the previous decision or request reconsideration beginning at the level of the Post-Probation Review Committee or the Provost.
- 6.4.4.5 If the appeal is denied and the previous decision upheld, the original decision not provide a positive post-probation review will be final.

## VII. Addenda

### 7.1 Flow Charts

- 7.1.1 [Intermediate Probationary Review](https://dixiestate.sharepoint.com/sites/pl/policy/641a.docx?Web=1)  
(<https://dixiestate.sharepoint.com/sites/pl/policy/641a.docx?Web=1>)
- 7.1.2 [Final Probationary Review](https://dixiestate.sharepoint.com/sites/pl/policy/641b.docx?Web=1) (applying to receive Tenure, Continuing Status, or Non-Probationary Faculty Status).  
(<https://dixiestate.sharepoint.com/sites/pl/policy/641b.docx?Web=1>)
- 7.1.3 [Promotion Review](https://dixiestate.sharepoint.com/sites/pl/policy/641c.docx?Web=1)  
(<https://dixiestate.sharepoint.com/sites/pl/policy/641c.docx?Web=1>)
- 7.1.4 [Post-Probation Review](https://dixiestate.sharepoint.com/sites/pl/policy/641d.docx?Web=1)  
(<https://dixiestate.sharepoint.com/sites/pl/policy/641d.docx?Web=1>)
- 7.2 [Terminal Degree by Discipline](https://dixiestate.sharepoint.com/sites/pl/policy/641e.docx?Web=1)  
(<https://dixiestate.sharepoint.com/sites/pl/policy/641e.docx?Web=1>)
- 7.3 [Sample Schedule of Faculty Reviews](https://dixiestate.sharepoint.com/sites/pl/policy/641f.docx?Web=1)  
(<https://dixiestate.sharepoint.com/sites/pl/policy/641f.docx?Web=1>)
- 7.4 [Blank Schedule of Faculty Reviews](https://dixiestate.sharepoint.com/sites/pl/policy/641g.docx?Web=1)  
(<https://dixiestate.sharepoint.com/sites/pl/policy/641g.docx?Web=1>)
- 7.5 [Faculty Portfolio Checklist](https://dixiestate.sharepoint.com/sites/pl/policy/641h.docx?Web=1)  
(<https://dixiestate.sharepoint.com/sites/pl/policy/641h.docx?Web=1>)
- 7.6 Specialized Criteria
  - 7.6.1 [Library Faculty](https://dixiestate.sharepoint.com/sites/pl/policy/641i.docx?Web=1)  
(<https://dixiestate.sharepoint.com/sites/pl/policy/641i.docx?Web=1>)

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