

DIXIE STATE UNIVERSITY POLICIES AND PROCEDURES MANUAL	Section: 3-Faculty
	Policy No: 7
	Approved: 10/27/95 Revised: 03/15/01 Revised: 05/02/08
Policy: FACULTY REVIEWS RETENTION, PROMOTION, AND TENURE	

3-7 Faculty Review Policy (*formerly known as Retention Promotion & Tenure; also incorporates 3-48 Continuing Status / Post-Tenure Reviews*)

Note: Although the basic processes remain the same, the scope of the revisions was large, so the usual strikethrough and replace method of presenting new and revised policy content was untenable. Instead, current policies 3-7 and 3-48 were inserted intact by section following revisions.

- Strikethrough is current 3-7 Faculty Retention, Promotion, and Tenure
- Strikethrough *italics* is current 3-48 Continuing Status / Post-Tenure Review

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Section 1: Definitions

- I. Candidate** – A full-time employee with a faculty appointment who submits a portfolio for a required or optional review under this policy.
- II. Continuing Status** – Continuing status denotes post-probation status for tenure-track faculty members who have not earned the terminal degree required in their discipline of appointment at the end of their probationary period. Faculty members appointed to ongoing tenure-track and non-tenure track positions 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 Continuing Status after the appropriate probationary period and reviews. Granting continuing status after the probationary period acknowledges that faculty members are highly 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. 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 of granting continuing status. 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.
- A. Faculty appointed to tenure-track positions who are awarded continuing status may hold the academic ranks of associate professor, assistant professor, and instructor.
 - B. If a tenure track faculty member who was appointed without the terminal degree required in the discipline of appointment 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.
 - C. 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.
 - i. 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.
 - D. Specific positions, including non-tenure track positions and all positions outside academic departments, are ineligible for tenure. A new faculty member's letter of appointment indicates if the position is tenure eligible. (See Non-Tenure Track, below.)
- III. 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.
- IV. 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.

V. 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 3.3 Faculty Categories.

VI. 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 3-4 Code of Faculty Rights & Responsibilities, up to and including termination in accordance with Policy 3-5 Faculty Termination Policy.

VII. Non-Tenure Track – Faculty members appointed to full-time, ongoing, non-tenure track positions, either within or outside of an academic department are not awarded academic rank but are given a position title. Specific positions, including all positions outside academic departments, are ineligible for tenure. The appointment letter for new faculty indicates if the position is ineligible. 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 Continuing Status after the appropriate probationary period and reviews. Non-tenure track faculty members are required to submit Intermediate Probationary, Continuing Status, and Post-Probation reviews according to the schedule outlined in this policy. Non-tenure track faculty members are not eligible for promotion in the form of rank advancement. Continuing Status 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.

VIII. 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. Faculty members who do not meet the standards of the department or the expectations of the institution may be terminated in accordance with DSU Policy 3-5 Faculty Termination at any time during their probationary period. Probationary faculty members are at-will employees.

A. 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:

- i. 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.
- ii. 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.
- iii. The formal probationary period for faculty members whose appointment begins after September 1 (midyear appointments) starts at the beginning of the following academic year on July 1.

- iv. 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 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 Academic Structure Policy 3-28.)
 - v. 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.
 - vi. 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.
 - vii. 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 Vice President of Academic Services. 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.
- ~~i. Probation / Retention: A probationary period is required for all individuals appointed to regular faculty ranks prior to the granting of tenure. Reviews shall be scheduled during this probationary period to evaluate the academic performance of non-tenured individuals, to provide constructive feedback on their academic progress, and to terminate the appointment of those who do not meet the standards of the department and the expectations of the institution after their initial appointments.~~

IX. 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.

X. Promotion – Promotion in faculty rank is the acknowledgement by the institution of excellence in performance of teaching and service, professional competence and responsibility, and 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, and/or continuing status employment after the last review. Length of service alone should not create an expectation of promotion. Faculty appointed to non-tenure track positions do not hold rank and they are therefore ineligible to apply for promotion (see Non-Tenure Track Faculty).

A. Members of the faculty appointed to tenure-track positions who hold the required 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.

B. Members of the faculty appointed to tenure-track positions who 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.

~~ii. Promotion: Promotion in rank is the acknowledgment by the institution of excellence in performance in teaching and service; professional competence and responsibility; and scholarly, research or creative work.~~

XI. 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.

XII. 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, the Code of Faculty Rights and Responsibilities (Policy 3-4), and other applicable University policies.

XIII. School – A school within the University is usually organized under a dean. However, in this policy, a School Faculty Review Committee refers to faculty members who have been grouped together for purposes of voting on faculty review matters. Schools under deans may be subdivided as provided in this policy, but in no case will faculty members in a department be assigned to separate schools. Faculty members without appointment in an academic department will be assigned a school for the purpose of faculty reviews, and reasonable effort will be made to continue that assignment throughout the faculty member's appointment.

XIV. 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 the Faculty Salary Policy (3-18).

~~iii. Tenure: Faculty members are expected to exhibit an equally strong commitment to serve students, colleagues, the department, the institution, and the greater community. Granting tenure acknowledges that faculty members are especially valued by the institution, are competent in their disciplines, and are capable of continued teaching, service, and scholarly, research, or creative~~

~~contributions as appropriate to their job description and role. Because granting tenure is regarded as the College's most critical personnel decision, it is imperative that a thorough, responsible screening process be followed in the tenure granting process.~~

XV. Tenure-Track– The probationary period for faculty members in full-time ongoing positions identified as tenure-track wherein the appointed faculty member holds a master's or doctoral degree and is expected to meet the expectations of and must apply for either tenure or continuing status 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: instructor, assistant librarian, assistant professor, associate librarian, associate professor, librarian, or professor. Some instructor positions and all other positions are non-tenure track.

XVI. Terminal Degree – The level of and/or specific academic degree required for tenure as well as for various academic ranks at DSU. Academic disciplines may have specific standards listed in an addendum to this policy, but the minimum standards at DSU are:

- A. Faculty members must have earned a master's or doctoral degree to earn tenure, continuing status and/or to be awarded the rank of instructor, assistant professor, assistant librarian, associate professor, or associate librarian.
- B. Faculty members who wish to earn tenure, the rank of professor, and/or be eligible for post-probation salary increases must have earned the terminal degree required in their discipline of appointment.

Section 2: Review Criteria

- I. The professional judgment of a faculty member's peers and colleagues as to what constitutes excellent teaching; important service; appropriate scholarly, research or creative work; and performance of duties and responsibilities as detailed in the faculty member's role statement in fulfillment of the University's mission is a significant factor in faculty self-governance. Faculty members are reviewed based on standard criteria for teaching; service; and scholarly, research, or creative work as applicable to the faculty member's role statement. All members of the faculty are expected to perform their duties in accordance with the Code of Faculty Rights & Responsibilities (Policy 3-4), 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.
 - A. Standard criteria are applied as appropriate to the candidate's role statement, although standard criteria may be altered as needed based on a candidate's role statement. All candidates are not reviewed on the same criteria, and criteria are not weighted equally.
 - B. Departments and/or schools may submit substitute or add 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.
 - C. 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.

- D. Teaching typically includes effective instruction and classroom activities; 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; offering constructive feedback to students and challenging them to do their best; 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.
- E. Faculty members are required to perform service on two levels: professional service to the University and service to outside organizations and/or the community. Service activities are not expected to constitute the major emphasis in a role statement for tenure-track faculty members.
- i. 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.
 - ii. 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 outreach and engagement activities supporting the University mission.
- F. 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 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.
- G. Faculty members are expected to demonstrate a strong commitment 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 significant contributions appropriate to their role statement 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, service, and scholarly, research, or creative contributions.

- H. 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.
- I. Intermediate Probationary, Tenure, and Continuing Status reviews are based on the cumulative work of a faculty member to the date of application. Promotion and Post-Probation reviews focus on the faculty member's accomplishments since his/her last promotion.

B. Criteria

i. ~~Content and approval. The College shall formulate and distribute to all faculty members a statement of criteria to be used in retention, promotion, and tenure reviews. These criteria shall address the qualifications of candidates with respect to the areas of teaching and service, as well as scholarship, research, and creative accomplishments, and who, in addition, demonstrate excellence in at least one of these three areas as defined by the goals established between the faculty member and department chair. The statement shall be consistent with applicable provisions of college regulations, faculty regulations, and faculty responsibility as well as professional codes if appropriate, and with the purpose of the College as stated in the State Higher Education System Regulations.~~

ii. ~~Standard for the criteria. The criteria shall emphasize the institution's commitment to superior intellectual attainment and responsible faculty conduct. In carrying out their duties in teaching, service, and research or other creative activity, faculty members are expected to demonstrate the ability and willingness to perform as responsible members of the faculty, as defined in the Faculty Rights and Responsibilities policies. The criteria are not weighted equally. Dixie State College of Utah highly values teaching and service activities. The examples listed are not comprehensive, and a faculty member's criteria may be based on individual employment terms.~~

a. ~~Academic Preparation: In order to be eligible to receive tenure, a faculty member must hold a terminal degree as defined by college criteria for each discipline.~~

b. ~~Teaching: Typically includes effective instruction and classroom activities, evaluation of student work, program planning, curriculum development, course development, pedagogical technique, etc. All candidates for retention, tenure, and promotion must show evidence of excellent teaching and professional expertise.~~

e. ~~Service: There are two kinds of activities that comprise faculty service: those that serve the institution and those that serve outside organizations. Activities designed to govern and improve the institution, including student advising, academic planning and administration, and faculty governance are often typified by active committee work. All candidates for retention, tenure, and promotion must show evidence of significant service to the institution.~~

d. Scholarship, research, creative accomplishments: applied and theoretical research; creative activities which produce new works of art, music, or literature; publication of peer-reviewed work; serving as an editor for a scholarly publication are a few of the activities that can be considered in this category, all of which, if used as evidence by a candidate for retention, tenure, and promotion should be complementary to the individual's disciplinary assignment.

e. Assessments of teaching and service, as well as scholarship, research, and creative accomplishments as appropriate. Reviews may include the candidate's conduct as a responsible member of the faculty.

iii. Previous accomplishments. Prior accomplishments, such as research publications or teaching experience, shall not substitute for a continuing record of accomplishments during the period under review.

iv. Retention. The probationary period will be six (6) years of full-time, tenure-track service at Dixie State College.

a. 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 appointments. Appointments for probationary faculty are made on an annual basis according to the following schedule in accordance with Utah Board of Regents policy:

1. In accordance with Utah Board of Regents policy 3.10.1, during the first academic year of service, notice of nonreappointment shall be given not later than March 1 of the first year of academic service, or at least three months in advance of termination.

2. In accordance with Utah Board of Regents policy 3.10.2 and 3.10.3, during the second and subsequent years of academic service, notice of nonreappointment shall be given not later than December 15 of the academic year, or at least six months in advance of termination.

b. For mid-year appointments faculty probation period will start at the beginning of the next academic year which is July 1.

c. Suspension of the probationary period. Certain situations such as family medical leave or military duty may temporarily suspend the probationary period, and the faculty member must make a written request for approval of such action. Periods of duty spent off campus or on scholarly activity/sabbatical leave are usually counted as part of the probationary period and therefore do not stop the tenure clock. Approval must be given in writing by the dean, vice president and president.

d. Reduced probationary period. At the time of hire, a candidate who has exceptional qualifications based on previous tenured experience may negotiate to have up to two years of prior equivalent professional service accepted towards completion of probationary period. This allows an experienced, exemplary faculty member to undergo tenure review in the fourth rather than the sixth year.

~~Approval must be given in writing by the dean, vice president, and president.
[Removed from policy. See attached procedure "Guidelines"]~~

~~v. Promotion. Promotions to next rank will be considered in the sixth year of full-time tenure-track employment. However, length of service alone should not create an expectation of promotion.~~

~~vi. Tenure. Tenure-track faculty members continue on tenure track while holding administrative positions.~~

Section 3: Faculty Portfolios

- I. 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:
- A. Human Resources form indicating eligibility, terminal rank in discipline, and faculty member's educational attainment. This form is not required for Post-Probation Reviews.
 - B. Recent curriculum vitae with appropriate dates, activities, and references to documentation grouped into categories in a logical manner that supports the University's criteria for review of portfolios.
 - C. Roll statements for all years under review.
 - D. Dean's Report, which is an honest and frank assessment by the faculty member's dean as to how the faculty member is progressing in the quantity and quality of teaching, service, fulfillment of role statement, and other activities, duties, and responsibilities relevant to the review process. The assessment should reflect on the faculty member's role statement(s) and both current and cumulative accomplishments while employed at DSU and must include a recommendation as to the faculty member's retention ; tenure, continuing status, or non-probationary status; and/or promotion as appropriate.
 - E. Written results of all previous portfolio reviews, including letters and /or reports issued by the School Faculty Review Committee, University Faculty Review Committee, Post Probation Faculty Review Committee, and Vice President of Academic Services. All documentation in this category should be maintained throughout the faculty member's employment at the University and may not be removed as outdated.
 - F. Letters and/or reports from the School Faculty Review Committee, University Faculty Review Committee, and Vice President of Academic Services received throughout the current review process must be added to the portfolio before the next level of review can commence.

II. It is the responsibility of the faculty member to ensure that all required evaluations outlined in DSU Policy 3-4 Code of Faculty Rights & Responsibilities are included in the portfolio:

- A. Student Evaluations: According to the DSU Code of Student Rights & Responsibilities (Policy 5-33), students have the right to evaluate every course in which they enroll. Faculty members must ensure that student evaluations from all courses taught in the candidate's two main semesters of appointment (typically Fall and Spring) are included in the electronic portfolio.
- B. Peer Evaluations: Two per year during the first two years of appointment and minimum one per year in subsequent years.
- C. Supervisor Evaluations: Two per year for the first two years of appointment and minimum one per year in subsequent years.
- D. Self-Evaluation: Minimum one per year near or at the end of the academic year.

III. Evidence to support teaching criterion, as appropriate to role statement:

- A. Samples of syllabi.
- B. Examples of faculty member's pedagogical techniques.
- C. Samples of assignments, quizzes, exams, and other methods of evaluating student learning outcomes.
- D. Examples of student work, particularly written and/or research-based work.
- E. Evidence of assessment activities.

IV. Evidence to support service criterion:

- A. Documentation of service to the institution.
- B. Evidence of relevant service related to the institution's mission to the profession, to the community, or to outside organizations.

V. Other documentation:

- A. Documentation of professional development, including required post-award reports.
- B. If desired or required by role statement, evidence of creative or scholarly activity, including research, publication, artwork, curriculum development, etc.
- C. General letters of support or recommendation as desired.
- D. Copy of Professional Development Plan, if one has been implemented. Refer to Policy 3-4 Code of Faculty Rights & Responsibilities for more information about Professional Development Plans.

VI. 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
School Faculty Review Committee	<ol style="list-style-type: none"> 1. Letter from the candidate to Chair of School Faculty Review Committee. 2. Human Resources form indicating eligibility, terminal rank in discipline, faculty member's educational attainment, etc. 3. Dean's Report.
University Faculty Review Committee	<ol style="list-style-type: none"> 1. Letter from Chair of School Faculty Review Committee to University Faculty Review Committee.
University Post-Probation Review Committee	<ol style="list-style-type: none"> 1. Letter from candidate to Chair of University Faculty Post-Probation Review Committee. 2. Dean's Report.
Vice President of Academic Services' Review	<ol style="list-style-type: none"> 1. Letter from University Faculty Review Committee or Post-Probation Faculty Review Committee to Vice President.

VII. Any member of a School 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. In order to facilitate the required rigorous and thorough review, access should be offered in the most convenient method possible. All faculty members eligible to participate in the review should have access to relevant portfolios through their office computers. Deans and the Vice President of Academic Services or their designee(s) have the right to review the electronic portfolio of any faculty member under their jurisdiction at any time.

IV. Candidate's Portfolio

Proper preparation and completeness of each candidate's portfolio are essential for the uninterrupted progress through all the stages of the review process. Required components are identified below.

A. Structure of the portfolio. The portfolio is envisioned as a notebook which is growing throughout a faculty member's probationary period at the College. However, a physical notebook is not the only method allowable; for example, an electronic file or other format may be used alone or as a supplement. The portfolio shall be cumulative and kept current as described below.

B. Curriculum vitae. The candidate's portfolio is expected to provide a current and complete curriculum vitae, which is organized in a clear and coherent manner, with appropriate dates of various items and logical groupings of categories related to the college's retention, tenure and promotion criteria.

C. ~~Reviews and recommendations.~~ The candidate shall include the recommendations from all previous reports submitted by all voting levels in formal reviews, i.e., department and college retention, tenure, and promotion advisory committees; letters from chairs, deans, vice presidents, and the president. Teaching, supervisor, peer, and student evaluations and letters or reports from all informal reviews should also be included.

i. ~~The past reviews and recommendations in the portfolio for promotion to Professor shall include the candidate's vita at the time of the previous promotion (or at appointment if hired as Associate Professor), all reports and recommendations from tenured faculty reviews, and teaching evaluation summaries since the previous promotion (or appointment). If that promotion or appointment was more than five years earlier, teaching evaluation summaries should be included for at least the most recent five years.~~

D. ~~Faculty responsibility.~~ Letters of administrative reprimand and any findings, decisions, or recommendations from college committees or officials arising from relevant concerns about the faculty member must be included in the candidate's portfolio, as well as actions taken to address any deficiencies and/or negative reports. Similarly, candidates will want to include positive evidence of accomplishment.

E. ~~Evidence of service and research/scholarship/creative activity.~~ The candidate is expected to provide evidence of service as well as research, scholarship, and creative accomplishments.

F. ~~Other written statements.~~ Any other written statements from the candidate, faculty members in the department, department chairperson, the associate dean, dean or interested individuals, which are intended to provide information or data of consequence for the formal review of the candidate, must be placed in the portfolio before the Division Promotion and Tenure Committee considers the case.

G. ~~Review of portfolio.~~ The candidate's portfolio shall be made available to those eligible to participate in Division Promotion and Tenure Committee voting for a reasonable time period before the vote will take place.

III. Review Portfolio: Each member of the faculty is responsible for maintaining an up-to-date and complete professional portfolio based on current institutional guidelines formulated by the College Retention, Promotion, and Tenure Committee. The portfolio is the primary source of information for the College Post-Tenure Review Committee. Standards may differ based on appointment, discipline, rank, etc. However, all portfolios should contain thorough documentation covering at least the five years immediately prior to the review, and typically including at least the following:

A. Report(s) from previous continuing status / post-tenure review, or, if the faculty member is undergoing the first review after tenure award and/or promotion, documentation from Division and College Promotion and Tenure committees, Dean, and Vice President of Academic Services regarding that application.

B. Current position description and vita.

C. Evaluations from administrative supervisors, peers, and one's self.

D. Recommendations from supervisors (chair, dean/associate dean).

E. Evidence of teaching competence, pedagogical innovation and improvement, curriculum development, and student evaluations of instruction

F. Evidence of continued professional development.

G. Evidence of service to the institution, including student advising, faculty governance, and academic planning and administration, often typified by active committee work.

H. Evidence of service to outside organizations within the profession or service to the community designed to advance the mission of the College.

I. As desired, evidence of scholarship, research, and creative accomplishments complementary to the individual's disciplinary assignment.

Section 4: Committees

I. 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.

A. 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.

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

II. The School 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 School Faculty Review Committee. 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. The School Faculty Review Committee is comprised of the faculty in the school(s), with the right to vote on a specific candidate's application determined by this policy.

A. School 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 School Faculty Review Committee may only be established with written permission from the Vice President of Academic Services and the Office of Human Resources.

- i. 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 School and University Faculty Review committees. Any such specific criteria must be approved by Academic Council and included as an addendum to this policy.
 - ii. 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, absence of full professors, Equal Opportunity requirements, etc.
- B. Within the membership of the School 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 School Faculty Review Committee although the non-voting chair of the University Faculty Review Committee is eligible to vote in his/her assigned School 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.

VOTING ELIGIBILITY BY FACULTY STATUS			
Status of Voting Faculty Member	Candidate submitting Intermediate Probationary Review	Candidate applying for Continuing Status	Candidate applying for Tenure
Tenured	Y	Y	Y
Continuing Status	Y	Y	N
Probationary	N	N	N
Non Tenure Track	N	N	N

- i. Intermediate Review: In each School Faculty Review Committee, all tenured and continuing status faculty members, regardless of rank, discipline, or probationary status, are eligible to participate in the consideration of and to vote on recommendations for candidates applying for retention (Intermediate Review).
- ii. Tenure Review: In each School 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.

- iii. Continuing Status Review: In each School 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.
- iv. Promotion Review: In each School 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.
1. Professors and librarians are eligible to vote on all candidates for promotion.
 2. Associate professors and associate librarians are eligible to vote on candidates applying for associate professor, associate librarian, and assistant professor.
 3. Assistant professors and assistant librarians are eligible to vote on candidates applying for assistant professor.
 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

VOTING ELIGIBILITY BY ACADEMIC RANK			
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

- C. The Chair of the School Faculty Review Committee must be a tenured faculty member. The Chair will be elected by all full-time probationary and post-probation School faculty (as defined by the membership assigned to a specific school 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.

- i. No faculty member scheduled for a mandatory review by the School Faculty Review Committee during the three-year term may be elected as chair. The chair may not submit an optional review to the School Faculty Review Committee during his/her period in office.
 - 1. The School Chair remains a voting member of the School Committee at the level indicated by his/her rank.
 - 2. A faculty member scheduled for a Post-Probation Review during his/her period in office is eligible to serve as chair of the School Faculty Review Committee.
 - 3. The Chair of a School 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.
- ii. Deans and department chairs are not eligible to serve as Chair. Deans do not vote at any level of the faculty review process, but department chairs retain voting rights appropriate to their rank and status.
- iii. The chair of the University Faculty Review Committee, under the guidance of the chair of the University Faculty Review Committee, is responsible for ensuring that an election for a new School Faculty Review Committee chair are completed by March 15 in the last year of the previous 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 school(s) will appoint an eligible faculty member chair to serve as chair for a one-year term.

C. Division Promotion and Tenure Committee

i. ~~Committee membership.~~

~~a. Promotion. In each division all regular faculty members of equal or higher rank as that proposed for the candidate for promotion are eligible to participate in the consideration of and to vote on recommendations in individual cases on matters of promotion. Other faculty members may participate in the consideration of candidates for promotion but may not vote.~~

~~1. Promotion to Full Professor. Only regular faculty members within the school [dean level] with the rank of full professor are eligible to participate in the consideration of and to vote on recommendations in individual cases on matters of promotion to full professor. Other faculty members may participate in the consideration of candidates for promotion but may not vote.~~

~~b. Tenure. In each division, all tenured faculty members, regardless of rank, are eligible to participate in the consideration of and to vote on recommendations in individual cases on matters of tenure. Other faculty members may participate in the consideration of candidates for tenure but may not vote.~~

~~e. Single vote rule. No individual may cast a vote in the same academic year in any person's case in more than one capacity (e.g., as an administrator, as member of division committee, as a member of college committee).~~

~~d. The necessity may arise for the College to combine divisions within schools or to combine schools within the institution to accommodate relevant variations in organizational composition such as a limited number of tenured faculty, absence of full professors, etc.~~

~~ii. Chairperson. The chairperson of the Division Promotion and Tenure Committee shall be elected annually from the tenured members of the division. In this election all regular faculty members with the rank of professor, associate professor, assistant professor, and instructor shall be entitled to vote. The associate dean and department chairs are not eligible to chair this committee.~~

III. The University Faculty Review Committee is comprised of representative elected tenured members of the faculty.

A. 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.

i. 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.

ii. A quorum of two-thirds of the voting members of the University Faculty Review Committee is required for each vote.

iii. Deans and department chairs are not eligible to serve as on the University Faculty Review Committee.

iv. 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 School Faculty Review committees although they may participate in that review. The chair of the University Faculty Review Committee is eligible to vote in the School Faculty Review Committee of his/her appointment.

B. 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.

- i. The voting members of University Faculty Review Committee will be representative of all Schools within the University. Committee members must be tenured faculty who have been elected for three-year terms by the full-time regular faculty assigned to each School. One-third of the committee members' terms will expire each year. Committee members may be reelected and succeed themselves as representatives.
 - ii. 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 Vice President of Academic Services and the deans will appoint an appropriate number of eligible representative faculty members to serve one-year terms on the committee.
 - iii. No faculty member may simultaneously serve as chair of the School Faculty Review Committee and as a member or chair of the University Faculty Review Committee.
 - iv. If requested by the chair of the University Faculty Review Committee, the Vice President of Academic services 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.
 - v. 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.
 1. Faculty members scheduled for a Post-Probation Review during that period are eligible to serve as members of the University Faculty Review Committee.
 2. The chair of a School 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.
- C. The Vice President of Academic Services 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.

- D. 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.

~~VII. College Promotion and Tenure Committee~~

~~A. Responsibility. The College Promotion and Tenure Committee will act on promotion, intermediate, and tenure reviews and will provide written recommendations regarding reappointment at the intermediate review, advancement in rank at a promotion review, and award of tenure at the tenure review. The committee also has the responsibility to recommend the nonreappointment of a probationary faculty member who is not, in the judgment of the committee, progressing satisfactorily toward tenure.~~

~~B. Membership. The College Promotion and Tenure Committee will consist of nine tenured, elected faculty members. Deans, associate deans, and department chairs may not serve on the College Promotion and Tenure Committee during their appointment to administrative office.~~

~~C. Chairperson. The vice president for academic services and the Faculty Senate president shall designate a tenured, full professor to act as ex officio chairperson.~~

~~D. Election to the committee. The faculty members of College Promotion and Tenure Committee shall be elected by the regular faculty for three year terms. One third of the faculty terms shall expire each year. Committee members may be reelected and succeed themselves as representatives.~~

III. Post-Probation Review is intended to monitor, evaluate, and facilitate continued faculty development consistent with fulfillment of the University mission and goals in compliance with relevant Board of Regents policies. Assessment and accountability are ensured and enhanced by regular, comprehensive evaluation of each faculty member's performance in all aspects of his/her role.

A. The Post-Probation Faculty Review Committee will perform continuing reviews of the portfolios of post-probation faculty members according to a regular schedule.

B. 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.

i. The five (5) committee members will be elected for three (3) year terms on a staggered basis.

ii. 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 Vice President of Academic Services and the deans will appoint an appropriate number of eligible representative faculty members to serve one-year terms.

iii. 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.

iv. Department chairs and deans are not eligible to chair or be members of the Post-Probation Review Committee during their appointments.

C. The Vice President of Academic Services 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.

D. 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 University Faculty Review Committee except by specific invitation from the committee.

~~IV. Committee: The College Post Tenure Review Committee, consisting of tenured faculty, shall perform continuing reviews.~~

~~A. The non-voting chair of the College Post Tenure Review Committee will be jointly selected from the tenured faculty of full rank (full professor) by the Vice President of Academic Services and the Faculty Senate President. The chair shall serve in this capacity for three (3) years and may not be reappointment for a second term immediately after the first.~~

~~B. Department chairs, associate deans, and deans are not eligible to chair or be members of the College Post Tenure Review Committee during their appointments.~~

~~C. 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 file and letters written at the faculty member's request.~~

~~D. No faculty member scheduled for a review by the College Post Tenure Review Committee may serve on the committee during that year.~~

~~E. The College Post Tenure Committee shall be comprised of five (5) full rank (full professor) tenured faculty with appropriate representation from various academic areas.~~

~~F. The five (5) committee members will be elected for three (3) year terms on a staggered basis, with no more than three (3) of the committee positions scheduled for election in a given year.~~

~~G. Elections will be held by the Faculty Senate, and all full-time, tenured, tenure-track, continuing status, and probationary continuing status faculty are eligible to vote.~~

IV. Faculty Hearing Board

A. The Faculty Hearing Board will hear appeals of promotion decisions made by the Vice President of Academic Services as needed. A probationary faculty member who receives a

notice of non-reappointment may not appeal that notice. A probationary faculty member who receives a notice of non-reappointment may not appeal any promotion decision.

B. Composition and selection of members of the Faculty Hearing Board as well as the procedures of that board are detailed in the Faculty Rights & Responsibilities Code (Faculty Code, Policy 3-4).

~~D. The Promotion and Tenure Appeal Committee shall consist of five (5) tenured full professors elected annually from those who do not concurrently serve on the College Promotion and Tenure Committee or as department chair, associate dean, or dean.~~

~~i. The Committee shall elect a chair from its members.~~

Section 5: Schedule of Reviews

I. 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:

A. Intermediate Probationary Review

i. Required of all full-time faculty members to take place in the Fall semester of midpoint year in the probationary period, typically the third year unless prior years of tenured service have been accepted to reduce the probationary period.

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

ii. A successful Intermediate Probationary Review alone should not create an expectation of tenure, continuing status, or non-probationary status being awarded in the future. Faculty members remain on probationary status until and unless they are removed from probationary status by being awarded tenure, continuing status, or non-probationary status.

B. Final Probationary Review

i. Required of all full-time faculty members to take place in the Fall semester of the last year of the probationary period. Faculty members are required to be reviewed in order receive tenure, continuing status, or non-probationary status. Tenure, continuing status, or non-probationary status, if approved, goes into effect at the onset of the following academic year (July 1).

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

C. Promotion Reviews

i. 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).

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

D. Post-Probation Reviews

i. Required of full-time faculty when a tenured, continuing status, or non-probationary faculty member has not been reviewed during the previous five-year period. The review takes place in the Fall semester of the sixth year since the previous review, unless the faculty member is eligible for and chooses to apply for promotion.

1. 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 September 1 in the year of the required review.

E. Additional reviews may be required as specified in a Professional Development Plan. Professional Development Plans are not required of all faculty. Refer to Policy 3-4 Code of Faculty Rights & Responsibilities for more information.

II. 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, which will result in disciplinary action as outlined in DSU Code of Faculty Rights & Responsibilities (Policy 3-4), up to and including termination in accordance with the Faculty Termination Policy (3-5).

III. Non-tenure track faculty appointed to the rank of instructor or appointed outside of an academic department prior to implementation of this policy will have their years of service credited toward continuing status beginning with their full-time appointment to the ongoing position.

H. Reviews

~~A. Portfolio. All faculty members will compile in a portfolio documentation of their teaching excellence, service, and scholarship, research, or creative endeavors while at DSC. The portfolio must also contain all evaluations, reports of annual reviews, and intermediate or tenure reviews. The portfolio will be used in making rank and tenure decisions as well as post-tenure reviews.~~

~~B. Probationary Faculty. During the first two years of the probationary period, a supervisor evaluation, peer evaluation, and student opinion surveys will be completed each semester and a self-evaluation will be completed near the end of each year. The third through sixth year of the~~

~~probationary period, a supervisor evaluation, peer evaluation, student opinion surveys, and self-evaluation will be completed once per academic year.~~

~~C. Intermediate Review. An intermediate review by the Division Promotion and Tenure Committee will be held in the fall semester of the third year of the probationary period unless previous years of service have been accepted. If prior years of service have been accepted to reduce the probationary period, the review will take place at the mid point of the reduced probationary period. The Division Promotion and Tenure Committee will render a decision regarding the retention of the tenure-track status of the faculty member, which will be forwarded to the appropriate associate dean and dean.~~

~~i. A successful intermediate review alone should not create an expectation of tenure being awarded in the future. Faculty remain on probationary status until tenure is awarded.~~

~~D. Promotion Review. For those seeking promotion, the Division Promotion and Tenure Committee can hold a promotion review no sooner than the fall semester of the sixth year after the previous rank advancement. The committee will render a decision regarding the candidate's advancement, which will be forwarded to the appropriate associate dean and dean. After tenure is awarded, subsequent promotion reviews will be done only at the request of the faculty member.~~

~~E. Tenure Review. A tenure review will be held in the fall semester of the last year of the probationary period. Based on the faculty member's portfolio, which shall include recommendations from the department chair, the Division Promotion and Tenure Committee will render a recommendation regarding whether to grant tenure to the faculty member. This recommendation will be forwarded to the appropriate associate dean and dean~~

Section 6: Intermediate Probationary Review: 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.

I. School Faculty Review Committee

- A. 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.
- B. On or before April 1 prior to the required Intermediate Probationary Review, the candidate must submit a written letter of intent to the chair of the School Faculty Review Committee. The letter must request the appropriate review(s) and give permission to the chairs of the School 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.
- C. On or before August 21, the chair of the School Faculty Review Committee will make available the 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 reviewed. 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.

- D. On or before September 15, the chair of the School 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. At the same time, the report will be made available for all voting members of the School Faculty Review Committee to review.
- E. 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 School 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 chair of the University Faculty Review Committee by September 21. 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.

III. Notice to involved individuals

~~A. Faculty Request. To initiate the process for intermediate or tenure review or consideration for promotion, the faculty member will submit a written request to the chair of the Division Promotion and Tenure Committee by September 1 of the academic year in which he/she is to be reviewed, according to the eligibility requirements listed in this policy.~~

~~B. Notice to candidate. Each candidate for retention, promotion, or tenure shall be given at least 15 days advance notice of the Division Promotion and Tenure Committee vote and an opportunity to submit any information the candidate desires the committee to consider.~~

~~C. Notice to division faculty. At least 15 days prior to the Division Promotion and Tenure Committee vote, the committee chairperson shall invite any interested faculty member in the department to submit written opinions and/or comments to be included in the file of each candidate to be considered, stating the reasoning behind the opinions and comments. Such communications will be added to the file and kept confidential.~~

~~Action by the Division Promotion and Tenure Committee~~

~~A. Portfolio review. The Division Promotion and Tenure Committee chairperson shall make available candidates' portfolios for review and invite relevant written comments.~~

~~B. Quorum. A quorum of a Division Promotion and Tenure Committee for any given case shall consist of two thirds of its members who are eligible to vote, except that any member unable to vote because of a formal leave of absence or physical disability shall not be counted in determining the number required for a quorum.~~

~~C. Absentee voting. Whenever practicable, the committee chairperson shall advise all members on leave or otherwise absent of the proposed action and shall request their written opinions and votes. Absentee votes will be counted the same as other votes but must be received prior to the meeting at which the vote is taken.~~

~~D. Limitations on participating and voting. Associate deans, deans, and other administrative officials who are required by this policy to make their own recommendations in an administrative capacity may submit evidence, judgments and opinions or participate in discussion. By majority vote the committee may hold an executive session, from which nonvoting participants may be excluded. Associate deans, deans, and other administrative officials who cast votes or give recommendations in their administrative capacities shall not vote at the division level.~~

~~E. Committee report. After due consideration, a vote shall be taken on each candidate for retention, promotion, or tenure, with a separate vote taken on each proposed action for each candidate. The chairperson shall make a record of the vote and the findings of the Division Promotion and Tenure Committee regarding each candidate. This report, signed by the chairperson shall be made available for inspection by the committee members. An inspection period of not less than two business days shall be provided for the committee members to approve the report or suggest modifications. A recommendation, based on the Division Promotion and Tenure Committee's vote, shall be included in the candidate's file.~~

~~F. Notice to candidate. Prior to forwarding the file to the associate dean, the Division Promotion and Tenure Committee chairperson shall send an exact copy of the committee recommendation to that candidate.~~

~~G. Forwarding files. The chairperson shall forward the entire portfolio for each individual candidate to the appropriate associate dean and dean.~~

~~H. Candidate's right to respond. The candidate shall have the opportunity at this time, but not the obligation, to add a written statement to his/her formal review file in response to the recommendation of the Division Promotion and Tenure Committee. Written notice of this option shall be included with the copy of the committee recommendation that is sent to the candidate. If the candidate chooses to add such a statement to the file, that statement must be submitted to the dean within seven (7) days of the date upon which the committee's report was sent to the candidate. If the candidate submits a written statement to the dean within this time limit, the candidate's statement shall be added to the review file.~~

~~I. Confidentiality. All committee votes and deliberations are personnel actions and should be treated with confidentiality in accordance with all applicable policies and state and federal laws.~~

~~VI. Action by associate dean and dean [Removed entirely – replaced by dean's report in portfolio]~~

~~A. Recommendations. After studying the entire portfolio including the Division Promotion and Tenure Committee report relating to the candidate, the associate dean and dean shall each prepare written recommendations to be included in the file on the retention, promotion, or tenure of each candidate, including specific reasons for the recommendation.~~

~~B. Notice to candidate. Prior to forwarding the file to the College Promotion and Tenure Committee, the associate dean and dean shall send an exact copy of their evaluation of each candidate to that candidate.~~

~~C. Candidate's right to respond. The candidate shall have the opportunity at this time, but not the obligation, to add a written statement to his/her formal review file in response to the evaluations of the associate dean and/or dean. Written notice of this option shall be included with the copy of the associate dean's and/or dean's evaluation, which is sent to the candidate. If the candidate chooses to add such a statement to the file, that statement must be submitted to the associate dean and/or dean within seven (7) days of the date upon which the associate dean's and dean's evaluation is sent to the candidate. If the candidate submits a written statement to the chair of the College Promotion and Tenure Committee within this time limit, the candidate's statement shall be added to the review file without comment by the associate dean or dean.~~

~~D. Forwarding files. The dean shall forward the entire portfolio for each individual candidate to the College Promotion and Tenure Committee.~~

II. University Faculty Review Committee

- A. The University Faculty Review Committee will review each candidate's portfolio referred to it in order to determine if the School Faculty Review Committee reasonably applied University and other relevant criteria for retention and tenure, continuing status, and non-probationary status as well as the use of applicable written substantive and procedural guidelines. The University Faculty Review Committee will make its recommendation in a report based upon its assessment whether the School 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 Vice President of Academic Services.
- B. On or before November 1, the chair of the University Faculty Review Committee will forward a report on each Intermediate Probationary Review candidate to the Vice President of Academic Services. The report will contain a recommendation on the retention of the candidate and an assessment of the candidate's progress toward tenure, continuing status, or non-probationary status as appropriate.
- C. Concomitant to sending the report to the Vice President of Academic Services, the University Faculty Review Committee will send its report to the candidate and to the candidate's dean.
- D. 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 with 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 Vice President of Academic Services by November 7. If the candidate submits a written statement to the Vice President of Academic Services 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.

VIII. Action by College Promotion and Tenure Committee

~~A. Recommendations of the College Promotion and Tenure Committee. The College Promotion and Tenure Committee shall review the file of each case referred to it and shall determine if the~~

~~Division Promotion and Tenure Committee reasonably applied the college criteria for retention, promotion, and tenure and the written substantive and procedural guidelines to each case. The College Promotion and Tenure Committee shall make its recommendations on an individual's retention, promotion, or tenure based upon its assessment whether the Division Promotion and Tenure Committee recommendation is supported by evidence presented. The College Promotion and Tenure Committee shall use the college criteria in making its assessment. This report, signed by the chairperson shall be made available for inspection by the committee members. An inspection period of not less than two business days shall be provided for the committee members to approve the report or suggest modifications.~~

~~B. Attendance and participation at meetings. Neither the dean nor the associate dean concerned shall attend meetings of or participate in the deliberations of the College Promotion and Tenure Committee except by invitation of the committee.~~

~~C. Notice to candidate. Prior to forwarding the file to the vice president of academics, the College Promotion and Tenure Committee shall send an exact copy of its report of each candidate to that candidate and to the respective dean and associate dean.~~

~~D. Candidate's right to respond. The candidate shall have the opportunity at this time, but not the obligation, to add a written statement to his/her formal review file in response to the report of the College Promotion and Tenure Committee evaluation. Written notice of this option shall be included with the copy of the report that is sent to the candidate. If the candidate chooses to add such a statement to the file, that statement must be submitted to the vice president within seven (7) days of the date upon which the College Promotion and Tenure Committee report is sent to the candidate. If the candidate submits a written statement to the vice president within this time limit, the candidate's statement shall be added to the review file.~~

~~E. Forwarding files. The entire file for each individual will be forwarded to the VP Academics.~~

III. Vice President of Academic Services

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

B. On or before December 15, the Vice President of Academic Services will send each Intermediate Probationary Review candidate either a letter of continued probationary appointment for the following year or non-reappointment. At the same time, an exact copy of this report will be sent to the faculty member's dean, and the chairs of the School Faculty Review and University Faculty Review committees.

C. Because probationary faculty members are at will-employees, a probationary faculty member who receives a letter of non-reappointment in accordance with this policy, the Faculty Termination Policy (3-5), and relevant Board of Regents policy may not appeal.

~~IX. Action by Vice President~~

~~A. Vice President's decision. In all cases of retention, promotion and tenure, the Vice President shall prepare a final recommendation to the President with respect to the candidate's retention, promotion, and/or tenure, stating reasons therefore.~~

~~B. Notification of decision. The vice president shall send an exact copy of his/her report of each candidate to that candidate, and the dean, associate dean, appropriate division promotion and tenure committee, and the College Promotion and Tenure Committee.~~

~~C. Intermediate and tenure reviews are mandatory. Faculty members who are not awarded tenure will not be reappointed, in accordance with nonreappointment policy.~~

Section 7: Final Probationary Review: 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.

I. School Faculty Review Committee

- A. 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.
- B. 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 School Faculty Review Committee. The letter must request the appropriate review(s) and give permission to the chairs of the School 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.
- C. On or before August 21, the chair of the School 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.
- D. On or before September 15, the chair of the School 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. At the same time, the report will be made available for all voting members of the School Faculty Review Committee to review.

- E. 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 School 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 21. 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.
- F. The University may at times need to combine two or more School Faculty Review Committees to ensure that there are sufficient faculty of full rank to vote on a candidate's application for promotion to professor or librarian. In those cases, the School Committees will only be combined for the necessary votes and will conduct independent votes for other matters.

II. University Faculty Review Committee

- A. The University Faculty Review Committee will review each candidate's portfolio referred to it in order to determine if the School 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 whether the School 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 Vice President of Academic Services.
- B. On or before November 7, the chair of the University Faculty Review Committee will forward a report on each candidate to the Vice President of Academic Services. 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.
- C. Concomitant to forwarding the report to the Vice President of Academic Services, the University Faculty Review Committee will send its report to the candidate and to the faculty member's dean.
- D. 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 Vice President of Academic Services by November 14. If the candidate submits a written statement to the Vice President of Academic Services 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.

III. Vice President of Academic Services

- A. The Vice President of Academic Services will review each candidate's portfolio, taking into consideration the recommendations from the School and University Faculty Review committees, consultations with the faculty member's dean and department chair as needed, and any other relevant factors. The Vice President of Academic Services 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.
- B. On or before December 15, the Vice President of Academic Services 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.
- i. A faculty member whose application for tenure, continuing status, or non-probationary status is not approved will be terminated in accordance with the Faculty Termination Policy (3-5).
 - ii. If the faculty member's department chair and dean and the Vice President of Academic Services 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 University, 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.
 - iii. In the case of such an extension, any decision on an application for promotion must be postponed until the next year.
 - iv. When an extension has been granted, a Professional Development Plan must be submitted to the Vice President of Academics for approval within 60 days.
 - iv. Nothing prohibits the University from implementing the Faculty Termination Policy (3-5) in cases where such a one-year extension has been granted.
- C. Because probationary faculty members are at will-employees, a probationary faculty member who receives a letter of non-reappointment in accordance with this policy, the Faculty Termination Policy (3-5), and relevant Board of Regents policy may not appeal.

IV. President

- A. The recommendation of the Vice President of Academic Services 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.

- B. The President will present a recommendation about the candidate's application for tenure, continuing status, or non-probationary status to the Board of Trustees.

XI. Action by President

~~A. If no appeals have been filed, the recommendation of the vice president with respect to retention, promotion, and/or tenure of a faculty member shall be transmitted to the president for action. After reviewing the recommendation, giving such consideration to the documents in the candidate's file as the president deems necessary under the circumstances, the president shall make a decision about retention, promotion, and/or tenure. The president shall present recommendations granting promotion and/or tenure to the Board of Trustees.~~

V. Board of Trustees

A. 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 Vice President of Academic Services, 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.

B. 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.

C. Tenure, continuing status, or non-probationary status if approved, goes into effect July 1.

~~B. Confirmation by Board of Trustees. The Board of Trustees will confirm or deny the president's recommendations regarding promotion and tenure. The president shall advise the candidate, the vice president, the dean and the associate dean of that decision. A decision to award tenure is not official unless and until it has been approved by the Board of Trustees.~~

~~C. A faculty member whose tenure request is denied by the Board of Trustees shall be given a one year appointment in fulfillment of the Board of Regents notice of nonreappointment policy.~~

Section 8: Promotion Reviews: 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.

I. School Faculty Review Committee

- A. 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.
- B. 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 School Faculty Review Committee. The letter must request the appropriate review(s) and give permission to the chairs of the School 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.
- C. On or before August 21, the Chair of the School 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.
- D. On or before September 15, the Chair of the School Faculty Review Committee will send a written report to the 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. At the same time, the report will be made available for all voting members of the School Faculty Review Committee to review.
- E. 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 School 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 21. 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.
- F. The University may at times need to combine two or more School Faculty Review Committees to ensure that there are sufficient faculty of full rank to vote on a candidate's application for promotion to professor or librarian. In those cases, the School Committees will only be combined for the necessary votes and will conduct independent votes for other matters.

II. University Faculty Review Committee

- A. The University Faculty Review Committee will review each candidate's portfolio referred to it in order to determine if the School Faculty Review Committee 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 School 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 Vice President of Academic Services.
- B. On or before November 7, the chair of the University Faculty Review Committee will forward a report on each candidate to the Vice President of Academic Services. The report will contain a recommendation on the candidate's application for promotion.
- C. Concomitant to sending the report to the Vice President of Academic Services, the University Faculty Review Committee will send its report to the candidate and to the faculty member's dean.
- D. 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 Vice President of Academic Services by November 14. If the candidate submits a written statement to the Vice President of Academic Services 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.

III. Vice President of Academic Services

- A. The Vice President of Academic Services will review each candidate's portfolio, taking into consideration the recommendations from the School and University Faculty Review committees, consultations with the faculty member's dean and department chair as needed, and any other relevant factors. The Vice President of Academic Services 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.
- B. On or before December 15, the Vice President of Academic Services 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's dean, and the chairs of the School Faculty Review and University Faculty Review committees.

IV. Appeals Process

- A. A faculty member with tenure, continuing status, or non-probationary status may appeal a negative recommendation from the Vice President of Academic Services 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.

- i. 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.
- B. Appeals of recommendations from Vice President of Academic Services concerning a candidate's application for promotion may also be initiated by a majority of either the School Faculty Review Committee or the University Faculty Review Committee if the recommendation of the Vice President of Academic Services opposes their own previous vote. The appeal must be made to the Faculty Hearing Board within 30 days of the Vice President of Academic Services' 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.
- C. Appeals can be made on one or more of the following bases.
- i. Procedural irregularities which were likely to have substantially and adversely affected the recommendation at any level.
 - ii. Bias on the grounds of personal prejudice, especially whether consideration of the faculty member's case was adversely affected by discrimination.
 - iii. A violation of the faculty member's right of academic freedom as defined in the Code of Faculty Rights & Responsibilities (Policy 3-4).
- D. The Faculty Hearing Board's composition and procedures are outlined in the Code of Faculty Rights & Responsibilities (Policy 3-4).
- E. 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 School Faculty Review Committee, the University Faculty Review Committee, or the Vice President of Academic Services.
- F. If the appeal is denied and the previous decision upheld, the original decision not to recommend promotion will be final.

X. Appeals

~~A. Appeal by faculty member. There is only one opportunity for a faculty member to appeal and that is an appeal of the vice president's recommendation. A faculty member may appeal a Vice president's negative tenure and/or promotion decision to the Promotion and Tenure Appeal Committee within 20 days of the notification being sent.~~

- ~~i. Probationary faculty do not have the right to appeal nonreappointment.~~

~~B. Other appeals. Appeals of the vice president's recommendation on promotion and/or tenure may also be initiated by a majority of either the Division Promotion and Tenure Committee or the College Promotion and Tenure Committee, or by the associate dean or the dean, when the vice president's recommendation opposes their own recommendation. The appeal must be made to the Promotion and Tenure Appeal Committee within 20 days. Authorized parties initiating an appeal may have access to the entire file.~~

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

- ~~i. Procedural irregularities which were likely to have substantially and adversely affected the recommendation at any level.~~
- ~~ii. Bias on the grounds of personal prejudice, especially whether consideration of the faculty member's case was adversely affected by discrimination.~~
- ~~iii. A violation of the faculty member's right of academic freedom as defined in policy.~~

~~E. The Promotion and Tenure Appeal Committee shall review the file, conduct hearings as it deems appropriate, and make a recommendation to the College president either to uphold the previous decision or request reconsideration beginning at the level of the Division Promotion and Tenure Committee, the College Promotion and Tenure Committee, the associate dean, the dean, or the vice president~~

~~F. If the appeal is denied and the previous decision upheld, the original decision not to recommend tenure or promotion shall stand.~~

V. President

- A. The recommendation of the Vice President of Academic Services 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.
- B. The President will present a recommendation about the candidate's application for promotion to the Board of Trustees.

VI. Board of Trustees

- A. The DSU Board of Trustees will confirm or deny the president's recommendations regarding promotion. The President will advise the candidate, the Vice President of Academic Services, 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.
- B. New rank, if approved, goes into effect July 1.

Section 9: Post-Probation Reviews

I. 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, school, and/or University standards and policies.

A. 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.

B. 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 Vice President of Academic Services.

C. 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 the Faculty Termination Policy (3-5).

i. While evidence used in the Post-Probation Review might also be used in construction of cause for dismissal, 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.

~~I. Purpose: Post tenure review is intended to monitor, evaluate, and facilitate continued faculty development consistent with fulfillment of the College mission and goals. Assessment and accountability are ensured and enhanced by regular, comprehensive evaluation of each faculty member's performance in all aspects of his/her role.~~

~~II. Continuing Status / Post-Tenure Review: Tenured and continuing status faculty shall undergo a review at least once every five (5) years. Faculty members who have not applied for rank advancement within the previous five (5) years, or who received terminal rank five (5) years previous, shall undergo a continuing review. The basic standard for appraisal shall be the competent and conscientious discharge of duties as specified by the faculty member's assignment, as well as established departmental or school standards.~~

~~A. Incorporating and building on other regular reviews such as student, administrator, peer, and self, the continuing review process is intended to assess the expectation that faculty exhibit continued achievement of professional goals, ongoing professional development, and maximum contributions to the College, particularly in the areas of teaching effectiveness, scholarly effort, service, and professionalism.~~

B. Upon implementation of this policy, reviews for faculty will be scheduled on a staggered basis until all faculty can be placed on a five year rotation, beginning with faculty with the longest interim since a previous review.

C. Reviews can be delayed for a year for various reasons, but such delays require the agreement of the department chair, dean/associate dean, and Vice President of Academic Services.

D. The continuing status / post tenure review process is not the same as the process of applying for tenure or promotion. Nothing in this process should construe jeopardy to the faculty member under review. The standard for dismissal from a tenured or continuing status position remains just cause. While evidence used in the continuing status / post tenure review might also be used in construction of cause for dismissal, in no case does the 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 shall be protected throughout the review process.

E. The review process will be conducted with all reasonable effort in maintaining confidentiality throughout and after the review process. However, absolute confidentiality is not and cannot be guaranteed.

II. University Faculty Post-Probation Review Committee

- A. The faculty member under review will submit his or her portfolio 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.
- B. Not 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 Vice President of Academic Services.
 - i. 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.
 - ii. 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.
- C. 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 Vice President of Academic Services by December 15. If the candidate submits a written statement to the Vice President of Academic Services 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.

III. Vice President of Academic Services

- A. Not later than February 15, the Vice President of Academic Services 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.
 - i. 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.
 - 1. The Professional Development Plan must be submitted to the Vice President of Academic Services by March 15 and must be approved not later than April 15.
 - 2. In no case will a Professional Development Plan limit the institution's ability to implement the Faculty Termination policy.

IV. Appeals Process

- A. A faculty member may appeal a negative recommendation regarding a Post-Probation Review from the Vice President of Academic Services. The appeal must be submitted in writing to the chair of the Faculty Hearing Board within 30 days of the notification being sent.
- B. Appeals can be made on one or more of the following bases.
 - i. Procedural irregularities which were likely to have substantially and adversely affected the recommendation at any level.
 - ii. Bias on the grounds of personal prejudice, especially whether consideration of the faculty member's case was adversely affected by discrimination.
 - iii. A violation of the faculty member's right of academic freedom as defined in policy.
- C. The composition and procedures of the Faculty Hearing Board are outlined in the Code of Faculty Rights & Responsibilities (Policy 3-4).
- D. 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 Vice President of Academic Services.

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

Review and Report Process:

~~A. — The faculty member under review shall submit his or her file to the chair of the College Post Tenure Review Committee by October 1 in the fifth year since the previous review or advancement in rank, or sooner if required by a Faculty Development Plan.~~

~~B. — Not later than December 1, the College Post Tenure Review Committee shall respond with a written report to the faculty member being reviewed, to the department chair, and to the dean/associate dean.~~

~~i. The written report shall include the conclusion of the committee as to whether the faculty member being reviewed is meeting or exceeding standards and therefore receives a favorable review, or whether there are substantive concerns or deficiencies which the faculty member must correct and therefore receives an unfavorable review, as well as the bases for conclusions.~~

~~ii. 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 time schedule for future reviews.~~

~~C. — The faculty member under review has the opportunity to send a response with comments and/or challenges regarding the report to the Vice President of Academic Services not more than 10 days after the report was sent.~~

~~D. — Not later than February 15, the Vice President of Academic Services shall prepare a final recommendation to the President with respect to the continuing status/post tenure review, including his/her recommendation regarding a salary increase, and a copy shall be sent to the faculty member.~~

[This section has been moved to revised 3-18 Faculty Salary Schedule policy.]

~~i. Typically, and based on the Faculty Salary Schedule (Policy 3-18) and available funding, faculty receiving favorable reviews receive a 2% increase in base salary to begin July 1.~~

~~ii. An individual faculty member may receive only one continuing review increase in any five (5) year period of time.~~

~~iii. An individual faculty member may not receive more than a total of 10% in continuing status/post tenure review and rank advancement increases within a five (5) year period of time.~~

~~1. If a faculty member receives a rank advancement increase, s/he may not receive a continuing status increase for five (5) years.~~

~~2. If a faculty member receives a continuing status increase, any rank advancement increase s/he receives within the following five (5) years will be decreased by 2%.~~

~~3. Such limits exclude equity increases and COLA adjustments.~~

~~iv. If the review is unfavorable, the faculty member, working with the appropriate department chair and dean/associate dean, shall develop a written Professional Development Plan, addressing strategies and actions for correcting noted deficiencies during the next year.~~

~~1. The Professional Development Plan must be submitted to the Vice President of Academic Services by March 15 and approved by April 15.~~

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