SUBJECT: FACULTY EVALUATION, PROMOTION, AND TENURE

I. PURPOSE: This policy establishes a framework for the promotion, tenure, and post-tenure processes for faculty. It describes a career-long process that acknowledges and encourages each faculty member's development as a teacher, mentor, scholar, and contributor within their discipline. It also describes the collaborative responsibilities of colleagues and administrators in assisting with this development.

The framework established in this policy guides departments in defining specific parameters for faculty contributions, leading to a culture of shared responsibility for continuous improvement at all stages of a faculty member's career. The tenure and promotion process at SUU develops, supports, and celebrates faculty engagement in alignment with the values and mission of the institution.

II. SCOPE AND LIMITATIONS: This policy covers general criteria and processes for faculty evaluation, promotion, and tenure. It also describes the types of criteria and processes to be defined at the departmental level. It does not cover sabbatical leave or merit. In the event of a conflict between this policy and any policy of the SUU Board of Trustees or Utah Board of Regents, the latter shall prevail.

III. APPLICABILITY: This policy applies to Tenured, Tenure-Track, and Non-Tenure Track faculty at Southern Utah University (SUU) with full-time or part-time appointments, on campus or off-campus, as well as to faculty serving as administrators having faculty standing. The policy does not apply to appointees with limited terms, such as adjuncts, visiting faculty, or emeriti.

IV. REFERENCES:

American Association of University Professors (AAUP), https://www.aaup.org/issues/tenure, accessed February 25, 2018

Association of American Colleges and Universities (AAC&U), High Impact Practices, https://www.aacu.org/resources/high-impact-practices, accessed February 25, 2018

SUU Policies and Procedures, 5.18 Nepotism

SUU Policies and Procedures, 6.0 Definition of Faculty

SUU Policies and Procedures, 6.2 Academic Officers

SUU Policies and Procedures, 6.22 Faculty Due Process

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SUU Policies and Procedures, 6.28 Faculty Professional Responsibility

Utah Board of Regents Policy and Procedures, R-312, Configuration of the Utah System of Higher Education and Institutional Missions and Roles

Utah Board of Regents Policy and Procedures, R-481, Academic Freedom, Professional Responsibility, Tenure, Termination, and Post-Tenure Review

V. POLICY SECTIONS:

6.1.1. Faculty Evaluation Process

6.1.2. Mid-Point Review Process

6.1.3. Academic Rank Advancement Process

6.1.4. Faculty Tenure Process

6.1.5. Post-Tenure Review Process

VI. VALUE STATEMENT: Southern Utah University recruits, rewards, and retains faculty who are committed to helping students become educated, engaged, and productive members of society. Faculty contributions include engagement with students inside and outside of the classroom through a wide array of evidence-based pedagogical practices, teaching effectiveness, scholarship, and service. Faculty at SUU participate in scholarship, shared governance, leadership, and other activities that support SUU's mission and vision. Faculty advance SUU's mission in many notable and relevant ways that can defy simple classification within the traditional categories of evaluation. Departmental evaluation criteria clearly outline contributions appropriate to their disciplines and to SUU's mission.

VII. DEFINITIONS OF FACULTY RANKS

A. Tenured and Tenure-track Faculty: Tenured and tenure-track faculty are defined in Policy 6.0 and consist of faculty holding the following academic ranks: professor, associate professor, and assistant professor. Individuals in administrative positions may also hold a faculty position and be awarded tenure in an academic program. Tenured and tenure-track faculty are expected to engage in

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teaching, scholarship, and service/leadership in accordance with their assigned responsibilities.

1. ***Full Professor:*** The rank of Full Professor is an appointment for persons with an earned terminal degree in the field of their appointment and at least five years of experience at SUU as an Associate Professor. Full Professors have exhibited continued development in Faculty Engagement. They have contributed significantly to SUU's mission, and they have taken advantage of appropriate opportunities to mentor other SUU faculty members. Their teaching, scholarship, and service/leadership reflect high professional competence. Departmental evaluation criteria delineate specific standards required for promotion to Full Professor.

2. ***Associate Professor:*** The rank of Associate Professor is an appointment for persons with at least seven years of experience at SUU as an Assistant Professor. Associate Professors have exhibited continued growth in Faculty Engagement. They have contributed significantly to SUU's mission, and they are prepared to mentor other SUU faculty members. Their teaching, scholarship, and service/leadership reflect high professional competence. Departmental evaluation criteria delineate specific standards required for promotion to Associate Professor.

3. ***Assistant Professor:*** The rank of Assistant Professor is an initial appointment. Assistant Professors exhibit potential for effective teaching, scholarship, and service/leadership. They are engaged in disciplined and continuing study that will permit them to increase their competence in fields that will qualify them for promotion to a higher rank.

B. Non-tenure Track Faculty (NTT): Non-tenure-track (NTT) faculty are defined in Policy 6.0 and consist of faculty holding the following academic ranks: Associate Professor (NTT), Assistant professor (NTT), or Lecturer. Non-Tenure Track faculty are faculty who are under contract but not ultimately eligible for tenure. Generally, non-tenure track faculty hold a non-terminal graduate degree in their field of appointment or 18 graduate hours in their field and a relevant non-terminal graduate degree. Non-tenure-track faculty are expected to engage in teaching, scholarship, and service/leadership in accordance with their assigned responsibilities, as determined by the department.

1. ***Associate Professor (NTT):*** This rank is an appointment for faculty with at least seven years of experience at SUU as an Assistant Professor

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(NTT). Associate Professors (NTT) have exhibited continued growth in Faculty Engagement. They have contributed significantly to SUU's mission in exemplary ways, especially with regard to teaching effectiveness. Their teaching, service, and engagement with students should reflect high professional competence and currency in their field. Departmental evaluation criteria delineate specific standards required for promotion to Associate Professor (NTT).

2. ***Assistant Professor (NTT):*** This rank is an appointment for persons with at least four years of experience at SUU as a Lecturer. Assistant Professors (NTT) have demonstrated ability in the areas of teaching and professional services. They have maintained currency in their field and are capable of undertaking college-wide responsibilities consistent with the college's mission and goals. Departmental evaluation criteria delineate specific standards required for promotion to Assistant Professor (NTT).

3. ***Lecturer:*** The title of Lecturer is an entry-level faculty position. Lecturers have a primary responsibility for effective teaching while maintaining currency in their field and a secondary responsibility for departmental participation.

C. Special Appointments: Special appointments (e.g., Professional in Residence, Artist in Residence, Distinguished Fellow) require a minimum of a bachelor's degree. A professional-in-residence or artist-in-residence requires prominence and experience in the field the appointee will be teaching or a specialized certification in the discipline. Indicators/attributes for prominence and experience are articulated by the search committee and the Department Chair and are subject to action by the Dean and Provost.

D. Professor Emeritus: The University recognizes the title of Professor Emeritus for faculty who have retired from SUU. A Professor Emeritus may be employed on a part-time basis or may not be currently employed at all.

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SUBJECT: FACULTY EVALUATION, PROMOTION, AND TENURE

VIII. DEFINITIONS

A. **Evidence-Based Practices** - Evidence-based practices include teaching and scholarly practices and other engaged strategies that are supported with qualitative and/or quantitative data.

B. **Faculty Engagement** - Faculty at SUU actively engage with students in ways that deepen learning and enhance the overall university experience. Faculty engagement consists of evidence-based curricular, co-curricular, and extracurricular activities that help students become informed, responsible, and productive members of society who explore diverse ideas, disciplines, skills, cultures, and places. Efforts in faculty engagement may include, but are not limited to, using evidence-based teaching practices, mentoring student projects and creative endeavors, coauthoring student-generated scholarly papers or professional presentations, participating in scholarship, utilizing High Impact Practices as defined by the Association of American Colleges and Universities (https://www.aacu.org/resources/high-impact-practices), supervising alternative breaks or other formalized community engaged learning projects, supervising student clubs and other organizations, providing educational opportunities for the university community, implementing cooperative educational programs with community partners, and participating in programs that enhance students' global perspective. Faculty engagement also extends to meaningful participation in service/leadership and the shared governance of the university, faculty Promotion and Tenure (P&T) Mentorship Teams, service/leadership opportunities outside the university, and scholarly contributions in their fields of expertise. The specific types of activities and expected level of faculty engagement are outlined in departmental evaluation criteria.

C. **Promotion and Tenure (P&T) Committees** - College/School and University P&T committees evaluate faculty contributions according to procedures described in subsequent sections. These committees are established according to the criteria in the table below. Faculty members who are related (as defined in SUU policy 5.18) to another faculty member who is applying for tenure are ineligible to serve on any P&T committee. Committee procedures will be in accordance with existing policies of SUU.

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	College/School P&T Committee	University P&T Committee
Voting Members	5	1 from each college/school that has tenured faculty
Tenured Members	All	All & Professors (Full)
Successive Membership	No (but P&T Mentorship Team members can serve on College P&T Committee)	No (but P&T Mentorship Team members can serve on University P&T Committee)
Roster Submitted By	Dean	Each Dean
Voted by	Tenured/Tenure-Track College Faculty	Tenured/Tenure-Track College Faculty
Members from other units	As needed	NA
Administrators serving	None	None
Exceptions approved by	University P&T Committee	Faculty Senate

D. **Peer Review -** Peer review involves evaluation of a person's scholarly product by experts in the same or related occupation, profession, or industry (peers). Scholarship at SUU is subject to peer review. Each department outlines appropriate criteria for peer review for various scholarly contributions.

E. **Promotion and Tenure (P&T) Mentorship Team -** A Promotion and Tenure (P&T) Mentorship Team is part of a supportive, collaborative, and communication-based relationship that provides guidance to a faculty member. Each department creates a process to construct a P&T Mentorship team for Assistant Professors (both Tenure-Track and Non-Tenure-Track) and Lecturers (Non-Tenure-Track). Tenure-track faculty hired at the rank of Associate Professor or Professor also receive a P&T Mentorship Team until they

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earn tenure. Faculty in this situation will be treated as Assistant Professors for the purposes of this policy. The principal objective of the P&T Mentorship Team is to provide consistent formation, guidance, and support to the faculty member that contributes to a campus culture of continuous improvement.

F. **Scholarship** - Scholarship is deeply informed by current knowledge in a field, skillfully interpreted, and deployed with purpose and intention that seeks to provide new knowledge or understanding, leads to innovative curriculum and improved pedagogical practices, helps address issues or problems within the community, and/or integrates thoughts and ideas from diverse disciplines or areas of inquiry. Scholarly work culminates in a form of dissemination that is reviewed by peers and is acceptable by approved departmental evaluation criteria. Scholarship includes creative activity when defined through departmental evaluation criteria. As approved by the Department Chair and the Dean of the College/School, the faculty of each department develop or adopt ideas such as the Boyer model's inclusive view of scholarship or other guidelines that reflect the overarching framework and shared values of SUU.

G. **Service/Leadership:** Participation (usually by term of appointment) in the operation or function of a member's department, college/school, university, community, or professional field and its organizations. Such service/leadership is vital to the shared governance of SUU. Department Chairs are responsible for monitoring the service/leadership workload of their faculty to ensure that an inordinate amount of department/college/school/university/ad hoc committee work has not been assigned, and that some level of equity exists among members of the department.

H. **Shared Governance** - Shared governance provides various individuals and groups a contributive voice in key decision-making processes through elected, appointed, or volunteered representation. It allows for the primary decision-making responsibility to be delegated to specific constituencies under well-defined conditions. The concept of shared governance recognizes the interdependence of the various individuals and groups involved in campus governance, requires communication, and provides opportunities for joint planning and effort.

I. **Teaching Effectiveness** - Consistent with SUU's mission as defined in R312, teaching is of primary importance at SUU. Teaching effectiveness is evaluated through the documentation of and reflection on student, peer, and Department Chair evaluations (except Department Chairs may only evaluate their own

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teaching effectiveness as a self-reflection); self-reflections; professional development activities; and/or other pertinent information. Teaching efforts may involve the overlap of Teaching Effectiveness, Scholarship, and/or Service/Leadership.

J. **Tenure -** Tenure is an indefinite appointment that includes the right to due process. Tenure indicates that an appointee can be terminated only for cause or under extraordinary circumstances such as financial exigency and program discontinuation (from AAUP). A more detailed description of tenure is included in Section 6.1.4 Faculty Tenure Process.

IX. EVALUATIVE CRITERIA

A. **Criteria:** SUU values academic work that supports the student-centered mission of the university in Teaching, Scholarship, and Service/Leadership. Some contributions, especially in Scholarship and Service/Leadership, support SUU's student-centered mission even when they do not directly relate to students. Faculty articulate how their contributions relate to SUU's mission in the Faculty Engagement and Contribution Report/Plan (Appendix A). Although some contributions and efforts fall neatly within one of the discrete categories, many contributions integrate two or all three categories. The conceptual *Student-Centric Faculty Engagement Model* below illustrates such contributions.

Student-Centric Faculty Engagement Model

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Each category in the *Student-Centric Faculty Engagement Model* is defined in the Definitions section of this policy. As described in the Evaluation Process section (6.1.1), faculty members receive mentorship from peers within their department and/or college/school to ensure alignment between the faculty contributions, SUU's mission, and departmental evaluation criteria. This mentorship process facilitates ongoing professional faculty development, including documentation of continued effort to improve as engaged faculty. Departmental evaluation criteria indicate differing expectations for each rank.

B. **Approval of Departmental Evaluation Criteria:** Faculty within each department create draft departmental evaluation criteria following the definition of Faculty Engagement and the *Student-Centric Faculty Engagement Model* described above. The Department Chair sends the draft departmental evaluation criteria to the Dean for approval. Upon the Dean's approval, the Dean's Office forwards the draft departmental evaluation criteria to the Provost's Office for final approval. Disputes over the departmental evaluation criteria are resolved by a consensus of a committee consisting of the Dean, Department Chair, and one faculty member selected by the faculty affected. Departmental evaluation criteria are regularly reviewed by the department and revised as needed with the same approval process as above.

C. **Faculty Responsibilities:** Each faculty member develops an annual plan (for Tenure-Track and Non-Tenure Track Assistant Professors and Lecturers) or five-year plan (for Professors and both Tenured and Non-Tenure-Track Associate Professors) in alignment with the university mission, departmental evaluation criteria, and the *Student-Centric Faculty Engagement Model* described above. Recommendations regarding evaluation, promotion, and tenure are based on each faculty member's progress toward their plan and in accordance with the departmental evaluation criteria and SUU's mission. Additionally, faculty are expected to follow Policy 6.28 Faculty Professional Responsibility in all of their professional efforts. The evaluation process is described in a subsequent section of this policy.

D. **Ratings**: All full-time faculty members are evaluated according to the above criteria using one of two ratings.

1. Acceptable Progress toward Faculty Engagement & Contribution Plan
2. Development Required (followed by a detailed justification and a description of necessary actions)

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SUBJECT: FACULTY EVALUATION, PROMOTION, AND TENURE

6.1.1. FACULTY EVALUATION PROCESS

I. PURPOSE: To establish guidelines and procedures for the evaluation of faculty for promotion and tenure.

This section describes both the developmental process and the evaluative process. With regard to the latter, faculty involvement in the evaluative process is an important aspect of shared governance. The very act of having one's peers evaluate one's performance as a professional in higher education ensures that the most qualified people are giving feedback and driving the process. In this respect, the evaluator's role is crucial to a successful review process and includes several key responsibilities. Among these responsibilities is to provide an evaluation that is thorough, complete, and fair. Likewise, it is also important to provide an evaluation that is based on the criteria agreed upon by the faculty member's home department. The evaluator's role in the process also includes several key professional expectations, including the expectation of confidentiality. The P&T Committee evaluations, and particularly any committee deliberations, should be kept strictly confidential. In so doing, P&T Committee deliberations will enjoy some measure of legal, statutory protection. Any violation of confidentiality will likely negate these protections. No aspect of the P&T Committee's deliberation should be shared with anyone outside the committee's meeting chambers unless specified by university policy, applicable statute, or court order. These professional responsibilities and expectations help to ensure that the evaluative process maintains its integrity and value, which are important to the faculty members being evaluated, as well as to the faculty members conducting the evaluation.

II. ANNUAL REVIEW PROCEDURE FOR TENURE-TRACK PROFESSORS, ASSISTANT PROFESSORS (NTT), AND LECTURERS:

A. Assistant Professors (Tenure-Track and Non-Tenure-Track) and Lecturers will meet and collaborate with a Promotion and Tenure (P&T) Mentorship Team at the beginning of each academic year to evaluate the Faculty Engagement & Contribution Report that describes progress toward the previous year's Faculty Engagement & Contribution Plan and to develop a new Faculty Engagement & Contribution Plan for the coming year. The P&T Mentorship Team is selected through a process defined by each department. The department-defined selection process also includes provisions to change the P&T Mentorship Team when necessary. Each department determines whether the P&T Mentorship Team must include members from within the same department, or whether it can include members from other departments. Department Chairs cannot serve on P&T Mentorship Teams.

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B. The P&T Mentorship Team for Assistant Professors (NTT) and Lecturers consists of at least one Associate Professor (Tenured or Non-Tenure-Track) or Professor, selected through a process defined by each department.

C. The P&T Mentorship Team for tenure-track Assistant Professors consists of at least two tenured faculty members, selected through a process defined by each department.

D. All departments use a general Faculty Engagement & Contribution Report/Plan format consisting of:

1. A 1- to 3-page reflective narrative called the Faculty Engagement & Contribution Report that describes the previous year's progress toward their most recent Faculty Engagement & Contribution Plan and additional information that can include justifications for deviations from the plan. An example of the content and format of the Faculty Engagement & Contribution Report/Plan is contained in Appendix A;

2. Appendices that include teaching portfolio and other pertinent information such as student evaluations, peer evaluations, instructional delivery/design, professional development activities, and/or other sources of evidence for teaching effectiveness; and

3. A Faculty Engagement & Contribution Plan outlining contributions that meet the Faculty Engagement definition and align with SUU's mission and the faculty member's departmental evaluation criteria.

E. The P&T Mentorship Team meets face-to-face with the faculty member and prepares an evaluative letter that includes one of the following ratings.

1. Acceptable Progress toward Faculty Engagement & Contribution Plan
2. Development Required (followed by a detailed justification and a description of necessary actions).

F. Through the mentorship process, the P&T Mentorship Team and the faculty member consider the evaluation of the previous year's contributions summarized in the Faculty Engagement & Contribution Report as they collaboratively create the Faculty Engagement & Contribution Plan for the upcoming year.

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G. The faculty member has an opportunity to review and respond to the P&T Mentorship Team's evaluation before it is forwarded to the Department Chair, according to the schedule of deadlines in Appendix B.

H. The faculty member and P&T Mentorship Team forward the Faculty Engagement & Contribution Report/Plan and evaluative letter to the Department Chair according to the schedule of deadlines in Appendix B.

I. The Department Chair reviews the Faculty Engagement & Contribution Report/Plan. The Department Chair's review involves three steps according to the schedule of deadlines in Appendix B:

1. Discuss with the faculty member their Faculty Engagement & Contribution Report, which describes the progress toward the previous year's plan, and any additional and/or sensitive issues pertaining to the quality of the faculty member's contributions to the university.

2. Determine whether the Faculty Engagement & Contribution Plan is acceptable with respect to the Faculty Engagement definition, SUU's mission, and the departmental evaluation criteria. There are two options:

a. The Faculty Engagement & Contribution Plan for the upcoming year is acceptable. In this case, the Department Chair moves to Step Three.

b. The Faculty Engagement & Contribution Plan for the coming year is unacceptable. In this case, the Department Chair consults with the faculty member and the P&T Mentorship Team to revise the Faculty Engagement & Contribution Plan. After it is revised, Step One is repeated.

3. Send a written review of the Faculty Engagement & Contribution Report/Plan to the faculty member and the Dean's Office according to the schedule of deadlines in Appendix B. This review includes the P&T Mentorship Team's evaluative letter. The Department Chair's review to the Dean's Office includes one of the following ratings:

a. Acceptable Progress toward Faculty Engagement & Contribution Plan

b. Development Required (followed by a detailed justification and a description of necessary actions).

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J. Before the Department Chair sends written reviews to the Dean's Office, all faculty present their Faculty Contribution Plans (and Five-Year Plans for Full and Associate Professors, see below) to their entire department. The Department Chair creates a mechanism for this presentation that is appropriate for the specific department. These presentations are intended to increase the transparency, dialogue, equity, accountability, and collaboration within departments.

K. In the case of a dispute between the faculty member, the P&T Mentorship Team, and/or the Department Chair, the Dean will serve as arbitrator.

III. FIVE-YEAR POST-TENURE REVIEW PROCEDURE FOR ASSOCIATE PROFESSORS AND PROFESSORS:

A. All Associate Professors (Tenure-Track and Non-Tenure-Track) and Professors, except those applying for rank advancement, create a Five-Year Plan. This Five-Year Plan is valid for the entire post-tenure review period. All Associate Professors (Tenure-Track and Non-Tenure-Track) and Professors meet with the Department Chair annually to formally discuss progress toward the Five-Year Plan. No written record is required unless annual adjustments are made at the faculty member's request. At the conclusion of each Five-Year Plan, the faculty member submits a post-tenure review report and a Five-Year Plan for the next review cycle.

B. If there is evidence that the faculty member is not fulfilling professional responsibilities (Policy 6.28) and their Five-Year Plan, the Department Chair collaborates with the faculty member to address the issues. If issues remain unresolved, the Department Chair, in consultation with the College/School Dean, can petition the Provost's Office for a change in the nature and/or frequency of reporting and evaluation. After consulting with the faculty member, Department Chair, and College/School Dean, the Provost's Office will render a final decision that includes an updated plan.

C. All departments use a general Five-Year Plan format consisting of a 1- to 3-page narrative describing the faculty member's Five-Year Plan and any pertinent additional information. The Five-Year Plan outlines contributions that meet the Faculty Engagement definition and align with SUU's mission and the faculty member's departmental evaluation criteria. An example of the content and format of the Five-Year Plan is contained in Appendix A.

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D. The faculty member forwards the Five-Year Plan to the Department Chair according to the schedule of deadlines in Appendix B.

E. The Department Chair reviews the Five-Year Plan. The Department Chair's review involves three steps according to the schedule of deadlines in Appendix B:

1. Determine whether the Five-Year Plan is acceptable with respect to the Faculty Engagement definition, SUU's mission, and the departmental evaluation criteria. There are two options:

a. The Five-Year Plan is acceptable. In this case, the Department Chair moves to Step Two.

b. The Five-Year Plan is unacceptable. In this case, the Department Chair consults with the tenured faculty member to revise the Faculty Contribution Plan. After the Faculty Contribution Plan is revised, Step One is repeated.

2. Discuss any additional and/or sensitive issues pertaining to the faculty member's performance.

3. Send a written review of the Five-Year Plan to the faculty member and the Dean's Office according to the schedule of deadlines in Appendix B.

F. Before the Department Chair sends written reviews to the Dean's Office, all faculty present their Five-Year Plans (and Faculty Contribution Plans for Lecturers and Assistant Professors, see above) to their entire department. The Department Chair creates a mechanism for this presentation that is appropriate for the specific Department. These presentations are intended to increase the transparency, dialogue, equity, accountability, and collaboration within departments.

G. At the conclusion of each Five-Year Plan period, the Department Chair, College/School Dean, and Provost all review the faculty member's Five-Year Report according to the schedule of deadlines in Appendix B. The faculty member also submits a Five-Year Plan for the upcoming review cycle that follows the same three steps described above.

1. All departments use a general Five-Year Report format found in Appendix A that consists of:

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a. A 1- to 3-page narrative called the Five-Year Report describing progress toward their most recent Five-Year Plan, and additional information that can include justifications to deviations from the plan; and

b. Appendices that include teaching portfolio and other pertinent information such as student evaluations, peer evaluations, instructional delivery/design, professional development activities, and/or other sources of evidence for teaching effectiveness.

H. If the Department Chair, College/School Dean, and Provost determine that the faculty member has not made sufficient progress toward the Five-Year Plan, they work together to create a development plan. The faculty member then returns to the annual review process, similar to the tenure-track process, until the faculty member meets the expectations described in the development plan. The faculty member's Five-Year Plan, however, still must be achieved within the original 5-year schedule.

I. In the case of a dispute between the faculty member and the Department Chair, the Dean will serve as arbitrator.

IV. RESPONSIBILITIES

A. RESPONSIBILITIES OF THE P&T MENTORSHIP TEAM:

1. The P&T Mentorship Team meets with the Lecturer or Assistant Professor at the beginning of each academic year according to the schedule of deadlines in Appendix B. The P&T Mentorship Team mentors the faculty member to appropriately document progress toward the previous year's Faculty Engagement & Contribution Plan and to appropriately create a Faculty Contribution Plan for the upcoming year. Evaluation templates are found in Appendix C. Flow charts for evaluation processes are found in Appendix D. The P&T Mentorship Team submits an evaluative letter to the Department Chair that includes one of the following ratings:

a. Acceptable Progress toward Faculty Engagement & Contribution Plan

b. Development Required (followed by a detailed justification and a description of necessary actions).

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SUBJECT: FACULTY EVALUATION, PROMOTION, AND TENURE

B. RESPONSIBILITIES OF THE DEPARTMENT CHAIR:

1. The Department Chair collaborates with the department to create a system by which P&T Mentorship Teams are constituted. This system takes into account the capabilities and characteristics of the department as well as the individual needs and professional goals of the Assistant Professors (Tenure-Track and Non-Tenure-Track) and Lecturers. The system includes a process to change P&T Mentorship Team members when appropriate. P&T Mentorship Teams for Assistant Professors (NTT) and Lecturers (NTT) consist of at least one Associate Professor (Tenured or Non-Tenure-Track) or Professor. P&T Mentorship Teams for Tenure-Track faculty members consist of at least two tenured faculty members.

2. The Department Chair reviews and evaluates all Faculty Engagement & Contribution Reports/Plans for all Assistant Professors (both Tenure-Track and Non-Tenure-Track) and Lecturers in the department. The Department Chair also reviews and evaluates all Five-Year Plans and Five-Year Reports for all Associate Professors (both Tenured and Non-Tenure-Track) and Professors in the department. In addition to the material provided by the faculty member, the Department Chair may consider other information such as personal interviews, peer evaluations, summaries of relevant activity, and other pertinent information. Evaluation templates are found in Appendix C. Flow charts for evaluation processes are found in Appendix D.

3. The Department Chair meets with Assistant Professors (both Tenure-Track and Non-Tenure-Track) and Lecturers to discuss progress toward the previous Faculty Contribution Plan, the Faculty Contribution Plan for the upcoming year, and any additional and/or sensitive issues pertaining to the faculty member's performance. The faculty member may request in writing at any time that the Department Chair consider changes to the P&T Mentorship Team according to departmentally defined procedures. The Department Chair also meets annually with Associate Professors (both Tenured and Non-Tenure-Track) and Professors to discuss progress toward their Five-Year Plan, although these faculty members are not responsible for an annual report.

4. If a Faculty Engagement & Contribution Plan or a Five-Year Plan is found to be unacceptable, the Department Chair consults with the P&T

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Mentorship Team (for Assistant Professors and Lecturers) and the faculty member to revise the plan.

5. The Department Chair prepares a letter for each Assistant Professor (both Tenure-Track and Non-Tenure-Track) and Lecturer that evaluates their progress toward the previous year's Faculty Contribution Plan, their Faculty Contribution Plan for the upcoming year, and any additional and/or sensitive issues pertaining to the faculty member's performance.

6. The Department Chair prepares a letter for each Associate Professor (both Tenured and Non-Tenure-Track) and Professor that evaluates the Five-Year Plan at the beginning of each five-year period, any annual updates when necessary, and any additional and/or sensitive issues pertaining to the faculty member's performance.

7. For all faculty members, the Department Chair forwards the Faculty Engagement & Contribution Report/Plan or Five-Year Plan with the Department Chair's evaluative letter and the P&T Mentorship Team's evaluative letter to the Dean. Both evaluative letters include one of the following ratings:

a. Acceptable Progress toward Faculty Engagement & Contribution Plan

b. Development Required (followed by a detailed justification and a description of necessary actions).

8. Department Chairs also prepare their own Faculty Engagement & Contribution Report/Plan or Five-Year Report/Plan, depending on their rank, to be reviewed by the Dean.

C. RESPONSIBILITIES OF THE COLLEGE/SCHOOL DEAN:

1. The Dean preliminarily approves departmental evaluation criteria before forwarding the criteria to the Provost's Office for final approval. The Dean also ensures departmental evaluation criteria maintain parity across the College/School and remain in alignment with SUU's mission and this policy's evaluative criteria.

2. The Dean reviews Faculty Engagement & Contribution Reports/Plans and Five-Year Reports/Plans and evaluative letters from the P&T Mentorship

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Teams and Department Chairs to ensure general alignment across the college/school.

3. The Dean notifies the appropriate Department Chairs of any aberrant Faculty Engagement & Contribution Reports/Plans or Five-Year Reports/Plans according to the schedule of deadlines in Appendix B.

4. In the case of a dispute between the faculty member, the P&T Mentorship Team, and/or the Department Chair, the Dean serves as arbitrator.

5. All recommendations for non-reappointment, with supporting documentation, are forwarded to the Provost's Office. Notice of non-reappointment shall be given to the affected faculty member according to the schedule defined in Regents Policy R-481.

6. The Dean retains all Faculty Engagement & Contribution Reports/Plans, Five-Year Reports/Plans, and evaluations on file.

6.1.2 MID-POINT REVIEW PROCESS

I. **PURPOSE**: To establish guidelines and procedures for the Mid-Point Review process. For tenure-track faculty, this is a major review conducted during the probationary period to ascertain whether the individual is on track to receive tenure.

II. **MID-POINT REVIEW PROCESS FOR TENURE-TRACK FACULTY:** The Mid-Point Review is conducted according to the table below. Deadlines are provided in Appendix B. The Mid-Point Review is part of the criteria for rank advancement and tenure for tenure-track faculty.

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Years granted toward tenure at the time of hiring	Years of service before Mid-Point Review	Years before early tenure application (optional)	Years at SUU before tenure application
0	3 full years	5 full years	6 full years
1	3 full years	4 full years	5 full years
2	2 full years	3 full years	4 full years
3	1 full year	Not eligible for early tenure	3 full years

III. RESPONSIBILITIES

A. RESPONSIBILITY OF THE FACULTY MEMBER: The tenure-track faculty member prepares a portfolio that consists of (1) the prior annual reviews, (2) progress toward each Faculty Engagement & Contribution Plan, including the following year's Faculty Engagement & Contribution Plan, (3) work done that resulted in years granted toward tenure, 4) the application cover sheet for Mid-Point Review in Appendix E, and (5) supporting documentation as determined by the department and approved by the Dean, attached to the cover sheet in Appendix E. This portfolio is submitted to the P&T Mentorship Team according to the schedule of deadlines in Appendix B. The faculty member may request in writing to the Department Chair, at least two weeks prior to the beginning of fall semester, that the Mid-Point Review be evaluated by an ad hoc Department P&T Committee rather than their P&T Mentorship Team. The ad hoc committee will be composed of three tenured faculty members elected by tenured and tenure-track members of the department. Tenured faculty members from another unit may serve as needed.

1. Mid-Point Review Procedure for Tenured Faculty: Tenured faculty do not submit Mid-Point Reviews as they follow the requirements for rigorous post-tenure review, described in 6.1.5 of this policy.

2. Mid-Point Review Procedure for Non-Tenure-Track Faculty: Non-tenure-track faculty members do not submit Mid-Point Reviews. They follow the rank advancement procedure described in 6.1.3 of this policy.

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SUBJECT: FACULTY EVALUATION, PROMOTION, AND TENURE

B. RESPONSIBILITIES OF THE P&T MENTORSHIP TEAM:

1. The P&T Mentorship Team reviews the Mid-Point Review for alignment with the Faculty Engagement definition, SUU's mission, and departmental evaluation criteria. The P&T Mentorship Team prepares a letter that evaluates the faculty member's Faculty Engagement & Contribution Reports/Plans. Evaluation templates are found in Appendix C. Flow charts for evaluation processes are found in Appendix D.

2. The P&T Mentorship Team's evaluative letter includes one of the following ratings:
- **a.** Acceptable Progress toward Faculty Engagement & Contribution Plans
- **b.** Development Required (followed by a detailed justification and a description of necessary actions).

3. The faculty member has an opportunity to review and respond to the P&T Mentorship Team's evaluation before it is forwarded to the Department Chair, according to the schedule of deadlines in Appendix B.

4. The P&T Mentorship Team forwards the Mid-Point Review portfolio, evaluation, and recommendation to the Department Chair according to the schedule of deadlines in Appendix B.

C. RESPONSIBILITIES OF THE DEPARTMENT CHAIR:

1. The Department Chair reviews all Mid-Point Reviews for all tenure-track faculty members in the department. In addition to the portfolio provided by the faculty member, the Department Chair may consider other information such as personal interviews, peer evaluations, student evaluations, summaries of relevant activity, and other pertinent information. The Department Chair also prepares a letter that evaluates alignment with the Faculty Engagement definition, SUU's mission, and departmental evaluation criteria. Evaluation templates are found in Appendix C. Flow charts for evaluation processes are found in Appendix D. The letter includes one of the following ratings:
- **a.** Acceptable Progress toward Faculty Engagement & Contribution Plans
- **b.** Development Required (followed by a detailed justification and a description of necessary actions).

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2. For all faculty members completing the Mid-Point Review, the Department Chair forwards the Mid-Point Review portfolio with the P&T Mentorship Team's evaluative letter and the Department Chair's evaluative letter to the College/School P&T Committee.

3. After receiving back from the Dean the Mid-Point Review portfolio with evaluative letters, the Department Chair discusses the evaluative letters with the faculty member by the deadline in the schedule that is attached as Appendix B.

4. Department Chairs who are on the tenure-track also prepare their own Mid-Point Review portfolio to be reviewed by the College/School P&T Committee.

D. RESPONSIBILITIES OF THE COLLEGE/SCHOOL P&T COMMITTEE

1. The College/School P&T Committee receives the Mid-Point Review portfolio from the P&T Mentorship Team and prepares an evaluative letter for each tenure-track faculty member in the college/school. The College/School P&T Committee utilizes the faculty member's portfolio, evaluative letters of the P&T Mentorship Team and Department Chair, and may also utilize peer evaluations, student evaluations, summaries of relevant activities, and other pertinent information. Evaluation templates are found in Appendix C. Flow charts for evaluation processes are found in Appendix D.

2. The College/School P&T Committee also prepares a letter that evaluates alignment with the Faculty Engagement definition, SUU's mission, and departmental evaluation criteria. The letter includes one of the following ratings:

- **a.** Acceptable Progress toward Faculty Engagement & Contribution Plans
- **b.** Development Required (followed by a detailed justification and a description of necessary actions).

3. For all faculty members completing the Mid-Point Review, the College/School P&T Committee forwards the Mid-Point Review portfolio with the P&T Mentorship Team's evaluative letter, the Department

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Chair's evaluative letter, and the College/School P&T Committee to the College/School Dean.

E. RESPONSIBILITIES OF THE COLLEGE/SCHOOL DEAN:

1. The Dean reviews all Mid-Point Reviews and evaluative letters.

2. The Dean prepares an evaluative letter for all faculty members who completed a Mid-Point Review. Evaluation templates are found in Appendix C. Flow charts for evaluation processes are found in Appendix D.

3. All recommendations for non-reappointment, with supporting documentation, are forwarded to the Provost's Office. Notice of non-reappointment shall be given to the affected faculty member according to the schedule defined in Regents Policy R-481.

4. The Dean forwards all Mid-Point Review portfolios and all reviews to the Provost's Office as indicated in the table in Appendix B.

6.1.3 ACADEMIC RANK ADVANCEMENT PROCESS

I. PURPOSE: To establish policy regarding the awarding of academic rank.

II. POLICY

A. HIRING WITH ACADEMIC RANK:

1. After evaluating the appointee's educational training and experience, the Dean, Department Chair, and the affected search committee jointly recommend to the Provost a rank that is consistent with SUU policies.

2. There may be circumstances where, in addition to the initial rank assignment, an appointee is granted a specified number of years toward the next rank. Any such credit must be determined between the appointee and the responsible Department Chair, approved by the Dean and Provost, and specified and clearly stated in the initial contract. A maximum of three years may be credited toward rank advancement. The number of years awarded for rank advancement for a tenure-track assistant professor is the

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same as the number of year's reduction to the probationary period for tenure.

3. At hiring, academic officers receive academic rank according to this policy.

B. IMPLEMENTATION

1. Faculty hired prior to 1/28/05 are allowed to choose either to be subsequently evaluated for advancement in rank according to Policy 6.1 approved 11/02/90, Policy 6.1 approved 1/28/05, or this policy.

2. Faculty hired on or after 1/28/05 apply for rank and tenure according to this policy.

C. QUALIFICATIONS FOR RANK ADVANCEMENT

1. Time in rank

a. Tenure-track and tenured faculty

1. Associate Professor: Six years as Assistant Professor before applying, unless years toward the next rank have been granted. The rank of Associate Professor will be granted normally after seven years of employment. The rank of associate professor will be granted with the awarding of tenure.

2. Professor: Minimum of five years as Associate Professor before applying. The rank of Professor will be granted at least six years after being granted the rank of Associate Professor.

b. Non-tenure-track faculty

1. Assistant Professor (NTT): Four years as Lecturer before applying.

2. Associate Professor (NTT): Six years as Assistant Professor (NTT) before applying. The rank of Associate

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Professor (NTT) will be granted normally after seven years of employment as an Assistant Professor (NTT).

2. Accomplishments

Every applicant for academic rank advancement will be evaluated according to the faculty evaluation criteria 6.1, IX. All annual reviews since hiring to the University or advancement to current rank, including the Mid-Point Review, will be part of the decision for promotion.

III. PROCEDURE FOR RANK ADVANCEMENT FOR NON-TENURE-TRACK FACULTY:

A. The non-tenure-track faculty member prepares an application portfolio consisting of all prior annual reviews covering (1) the minimum number of years required for advancement to the next rank, (2) the application cover sheet for rank advancement in Appendix E, (3) supporting documentation as determined by the department and approved by the Dean, attached to the cover sheet in Appendix E. Applications for rank advancement are submitted to the P&T Mentorship Team according to the schedule of deadlines that is attached as Appendix B. The candidate may retract and retrieve his/her application at any point of the process, without prejudice.

The non-tenure-track faculty application for rank advancement is reviewed in progression by the P&T Mentorship Team, Department Chair, College/School P&T Committee, College/School Dean, and the Provost's Office according to the schedule in Appendix B.

IV. PROCEDURE FOR RANK ADVANCEMENT FOR TENURED FACULTY:

A. The tenured faculty member prepares an application portfolio consisting of all prior Five-Year Reviews covering (1) the minimum number of years required for advancement to the next rank, (2) the application cover sheet for rank advancement in Appendix E, (3) supporting documentation as determined by the department and approved by the Dean, attached to the cover sheet in Appendix E. Applications for rank advancement are submitted to the Department Chair according to the schedule of deadlines that is attached as Appendix B. The candidate may retract and retrieve his/her application at any point of the process, without prejudice.

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B. The tenured faculty application for rank advancement is reviewed in progression by the Department Chair, College/School P&T Committee, College/School Dean, University P&T Committee, and the Provost's Office according to the schedule in Appendix B.

V. PROCEDURE FOR RANK ADVANCEMENT FOR ADMINISTRATORS:

A. The administrator prepares an application portfolio consisting of all prior annual reviews covering (1) the minimum number of years required for advancement to the next rank, (2) the application cover sheet for rank advancement in Appendix E, (3) supporting documentation as determined by the faculty in the applicant's college or school, attached to the cover sheet in Appendix E. Applications for rank advancement are submitted to the next highest evaluative entity according to the schedule of deadlines that is attached as Appendix B. The candidate may retract and retrieve his/her application at any point of the process, without prejudice.

VI. RESPONSIBILITIES:

A. RESPONSIBILITY OF THE FACULTY MEMBER: The faculty member applying for rank advancement prepares a portfolio that consists of (1) the prior annual reviews, (2) progress toward each Faculty Engagement & Contribution Plan or Five-Year Plan, including the following year's Faculty Engagement & Contribution Plan or Five-Year Plan, (3) the application cover sheet for rank advancement in Appendix E, and (4) supporting documentation as determined by the department and approved by the Dean, attached to the cover sheet in Appendix E. This portfolio is submitted according to the schedule of deadlines in Appendix B to the P&T Mentorship Team in the case of Tenure-Track and Non-Tenure-Track faculty, and to the Department Chair in the case of Tenured faculty.

B. RESPONSIBILITIES OF THE P&T MENTORSHIP TEAM:

1. The P&T Mentorship Team reviews the rank advancement portfolio for alignment with the Faculty Engagement definition, SUU's mission, and departmental evaluation criteria. The P&T Mentorship Team prepares a letter that evaluates the faculty member's progress toward the Faculty Contribution Plans or the Five-Year Plan.

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2. The P&T Mentorship Team's evaluative letter includes a "yes" or "no" vote regarding whether the rank advancement should be granted (see Appendix C).

3. The P&T Mentorship Team forwards the rank advancement portfolio, evaluation, and recommendation to the Department Chair according to the schedule of deadlines in Appendix B.

C. RESPONSIBILITIES OF THE DEPARTMENT CHAIR:

1. The Department Chair reviews all rank advancement portfolios. In addition to the portfolio provided by the faculty member, the Department Chair may consider other information such as personal interviews, peer evaluations, student evaluations, summaries of relevant activity, and other pertinent information. The Department Chair prepares a letter that evaluates alignment with the Faculty Engagement definition, SUU's mission, and departmental evaluation criteria. The letter includes a "yes" or "no" vote regarding whether the rank advancement should be granted (see Appendix C).

2. For all faculty members applying for rank advancement from Lecturer to Assistant Professor and from Assistant Professor to Associate Professor, the Department Chair forwards the portfolio with the P&T Mentorship Team's evaluative letter and the Department Chair's evaluative letter to the College/School P&T Committee as indicated in the table in Appendix B.

3. For all faculty members applying for rank advancement from Associate Professor to Professor, the Department Chair forwards the portfolio and the Department Chair's evaluative letter to the College/School P&T Committee as indicated in Appendix B.

D. RESPONSIBILITIES OF THE COLLEGE/SCHOOL P&T COMMITTEE:

1. The College/School P&T Committee reviews all rank advancement portfolios and prepares a letter that evaluates alignment with the Faculty Engagement definition, SUU's mission, and departmental evaluation criteria. The letter includes a "yes" or "no" vote regarding whether the rank advancement should be granted (see Appendix C).

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2. For all faculty members applying for rank advancement, the College/School P&T Committee forwards the portfolio with the P&T Mentorship Team's evaluative letter (for Lecturers and Assistant Professors), the Department Chair's evaluative letter, and the College/School P&T Committee's evaluative letter to the College/School P&T Dean.

E. RESPONSIBILITIES OF THE COLLEGE/SCHOOL DEAN:

1. The Dean reviews all rank advancement applications and evaluative letters.

2. If there are any concerns, the Dean directs them to the Department Chair and to the P&T Mentorship Team, and requests a response.

3. The Dean prepares an evaluative letter. The letter includes a "yes" or "no" vote regarding whether the rank advancement should be granted (see Appendix C).

4. All recommendations for non-renewal, with supporting documentation, are forwarded to the Provost's Office. Notice of non-reappointment shall be given to the affected faculty member according to the timeline designated in Regent's Policy R-481.

5. The Dean forwards tenure-track and tenured rank advancement applications and associated reviews to the University P&T Committee as indicated in the table in Appendix B. The Dean forwards non-tenure-track rank advancement applications to the Provost's Office as indicated in the table in Appendix B.

F. RESPONSIBILITIES OF THE UNIVERSITY P&T COMMITTEE

1. The University P&T Committee reviews all tenure-track and tenured rank advancement portfolios and prepares a letter that evaluates alignment with the Faculty Engagement definition, SUU's mission, and departmental evaluation criteria. The letter includes a "yes" or "no" vote regarding whether the rank advancement should be granted (see Appendix C).

2. For all faculty members applying for tenure-track and tenure rank advancement, the University P&T Committee forwards the portfolio with

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all evaluative letters to the Provost's Office as indicated in the table in Appendix B.

VII. PROCESS AND REVIEW:

A. Any evaluative entity will receive additional information when requested.

B. The initial and most thorough peer evaluation should occur at the department level by the P&T Mentorship Team in the case of Assistant Professors (Tenure-Track and Non-Tenure-Track) and Lecturers, and by the Department Chair in the case of Associate Professors and Professors. The P&T Mentorship Team and Department Chair are best qualified to provide an evaluation of the applicant's contributions to SUU's mission and the departmental evaluation criteria. The P&T Mentorship Team and the Department Chair will make a critical evaluation of the evidence in the application.

C. Applications for rank advancement for non-tenure track faculty are evaluated in the same manner as Mid-Point Reviews except that the University P&T Committee does not review applications for rank advancement of non-tenure track faculty. The candidate will receive an overall ranking, either "Yes" or "No," as to whether or not the candidate should be advanced in rank.

D. If evaluations (levels) fail to support the rank advancement, then it is denied. If rank advancement is denied, materials submitted by faculty are returned. The Dean will outline areas of improvement for rank advancement.

E. The applicant will be notified in writing by the Provost's Office as to the awarding, or not, of rank advancement by the Board of Trustees.

6.1.4 FACULTY TENURE PROCESS

I. PURPOSE: To establish policy regarding awarding of tenure according to evaluative criteria in Policy 6.1, VII.

II. POLICY

A. SUU extends tenure to approved members of the faculty (those hired into tenure-track appointments and those granted tenure at time of hire). Tenure-track appointments will only be given to those members of the faculty who, at the time

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of such appointments, meet the minimum requirements specified in policy 6.1, IX.

B. Tenure is a legally recognized property interest in a faculty appointment designed to protect the academic freedom of a faculty member and to provide the faculty member with a sufficient degree of employment security to make the profession attractive to persons of ability.

1. Tenure as a property right does not apply to the university as a whole, to a college/school, or to a department. Rather, tenure as a property right is restricted to the academic discipline for which a faculty member has appropriate disciplinary expertise, credentials and degrees, teaching experience, service/leadership, and scholarship.

2. The awarding of tenure signifies the faculty member's strong commitment to serve students, colleagues, the discipline, and SUU in a manner befitting an academic professional.

3. The terms and conditions of every appointment and any revisions will be stated in writing at the time of this appointment, be provided to the affected faculty member, and be made a part of the university personnel file.

4. Administrators are not tenured in administrative positions. A faculty member holding a position with tenure in an academic program does not lose tenure upon accepting an administrative position at SUU, assuming good standing, and may return to former rank and role at the conclusion of administrative service.

5. A faculty member receives tenure only when the Board of Trustees approves an effective date for an award of tenure. If an award of tenure has not been made on or before the thirtieth day of June of the final year of the probationary period, or an extension has not been approved in his/her final probationary year, the faculty member will receive a terminal year of employment.

6. Tenured faculty can be terminated for cause as otherwise defined in SUU policies 6.22 and 6.28.

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SUBJECT: FACULTY EVALUATION, PROMOTION, AND TENURE

C. The probationary period for granting tenure is normally seven years unless waived, reduced, or extended as specified below.

1. The Board of Trustees may award tenure to the President of the University. Other academic officers may receive tenure as provided in SUU Policy 6.2.

2. Based on full-time service at other institutions of higher education, the probationary period may be reduced by as many as three years, or under exceptional circumstances the probationary period may be waived and tenure awarded at the time of hiring. Any reduction or waiver of the probationary period requires careful scrutiny of the applicant's credentials, documentation consistent with this policy, and the recommendation of the P&T Mentorship Team, Department Chair, College/School P&T Committee, College/School Dean, and the Provost, as well as approval by the President and the Board of Trustees. If credit for prior full-time service at another institution is granted, this determination must be stated in the recommendation for initial appointment. No retroactive amendments to initial appointment contracts will be allowed, except as specified in paragraph 6 below.

3. Faculty may apply to have the probationary period reduced by one year if the following conditions are met:

a. Three full academic years of service at SUU have been completed. Faculty members who are granted three years towards tenure at the time of hiring are not eligible to apply for early tenure.

b. All departmental tenure requirements are not only met, but exceeded. Standards for reducing the probationary period are included in the departmental evaluation criteria.

c. The faculty member discusses merits, challenges, and expectations of reducing the probationary period with his/her Chair and Dean, and obtains a letter of support from both by April 1 of the calendar year in which the tenure application will be submitted. These letters must be included in the faculty member's tenure application but are not a guarantee that tenure will be awarded.

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If the probationary period is reduced and tenure is not subsequently awarded, the faculty member will be given a terminal contract for the next year, or the University may initiate a buyout.

4. Except for conditions stated in II.C.2. and II.C. 3 above, only complete academic years served at SUU will count toward the probationary period for an award of tenure.

5. Unless a one year reduction in the probationary period has been granted, faculty members must apply for tenure in the last year of the probationary period that begins with the faculty member's tenure-track appointment.

6. In exceptional cases, the Board of Trustees may grant extensions of the probationary period. The faculty member's request for extension must be in writing and approved by the P&T Mentorship Team, Department Chair, Dean, and Provost. Applications for extensions waive rights or claims for de facto tenure.

7. At the request of the faculty member, and as approved by the P&T Mentorship Team, Department Chair, Dean, Provost, and the Board of Trustees, years granted toward tenure at the time of hiring may be rescinded. Such requests must be in writing. If approved, the rescinding of years will be for all years granted.

III. PROCEDURE FOR TENURE FOR TENURE-TRACK FACULTY

A. The tenure-track faculty member prepares a tenure application portfolio consisting of (1) all prior annual reviews, (2) the Mid-Point Review, (3) the application cover sheet for tenure in Appendix E, and (4) supporting documentation as determined by the department, which are attached to a cover sheet that is included in Appendix E. The applicant is responsible to document performance related to departmental evaluation criteria. Department Chairs or other supervisors will verify the application and documentation. Applications for tenure will be submitted to the P&T Mentorship Team according to the schedule of deadlines that is attached as Appendix B.

IV. RESPONSIBILITIES AND PROCESS

A. Responsibilities of the P&T Mentorship Team, Department Chair, Dean and P&T Committees:

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SUBJECT: FACULTY EVALUATION, PROMOTION, AND TENURE

1. Applications for tenure are evaluated in the same manner as rank advancement reviews and according to the schedule of deadlines that is attached as Appendix B. Responsibilities for each evaluative entity remain the same as in previously described processes.

2. The faculty member may request in writing to the Department Chair, at least two weeks prior to the beginning of fall semester, that the application for tenure be evaluated by an ad hoc Department P&T Committee rather than their P&T Mentorship Team. The ad hoc committee will be composed of three tenured faculty members elected by tenured and tenure-track members of the department. Tenured faculty members from another unit may serve as needed.

3. Additional information will be received by any evaluation entity when requested.

4. Each evaluative entity will evaluate each tenure portfolio according to the criteria in 6.1, IX.

5. If three consecutive evaluations (levels) fail to support the tenure application, tenure is denied. If tenure is denied, all materials submitted by faculty are forwarded to the Provost.

6. Prior to submission of materials to the Board of Trustees, any evaluative entity may recall/reconsider an application for tenure. P&T committees require a majority vote for recall or reconsideration. Any such recall/reconsideration requires written documentation and rationale.

7. The candidate also will receive an overall ranking, either "Yes" or "No," as to whether or not the candidate should receive tenure. In every P&T committee, the number of those voting in favor of granting tenure and those voting against granting tenure will be reported.

8. The applicant will be notified in writing by the Provost's office as to the awarding, or not, of rank advancement by the Board of Trustees.

9. If tenure has not been awarded, a terminal contract is given for the next year or the University may initiate a buy-out.

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SUBJECT: FACULTY EVALUATION, PROMOTION, AND TENURE

6.1.5 POST-TENURE REVIEW PROCESS

I. PURPOSE: To establish policy regarding a rigorous post-tenure review process according to evaluative criteria in Policy 6.1, IX.

II. POLICY

A. Post-tenure review provides a rigorous process of periodic evaluation of tenured faculty. The purpose of post-tenure review is to encourage continuous faculty development following the award of tenure.

III. PROCESS FOR POST-TENURE REVIEW FOR TENURED FACULTY

A. The faculty member prepares a portfolio consisting of (1) the Five-Year Report describing progress toward the previous Five-Year Plan, (2) the application cover sheet for post-tenure review and/or rank advancement in Appendix E, and (3) supporting documentation as determined by the department, which are attached to the cover sheet in Appendix E. The applicant is responsible to document performance according to the criteria defined in 6.1, IX.

IV. RESPONSIBILITIES AND PROCESS:

A. Responsibilities of the Department Chair, Dean, and P&T Committees:

1. Post tenure review is done within the department/College/School review structure and is conducted according to the timetable in Appendix B. The Five-Year Report/Plan will be reviewed by the Department Chair and College/School Dean before being submitted to the Provost's Office. Responsibilities for each evaluative entity remain the same as in previously described processes.

2. Faculty members can petition for the University P&T Committee to also review the Five-Year Report/Plan before submission to the Provost's Office if desired.

3. Additional information will be received by any evaluative entity when requested.

4. Post-tenure review will occur five years after the initial tenure date, rank advancement, or latest post-tenure review. The Dean's office will notify

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all scheduled tenured faculty members in writing that post-tenure review will take place during the following academic year. If a post-tenure review falls in the same year as a rank advancement evaluation, the two evaluations can be combined.

5. Tenured faculty are not required to submit a written report in years between post-tenure reviews. Instead, tenured faculty will annually discuss progress toward the Five-Year Plan with the Department Chair. Updates to the Five-Year Plan will occur at this time when necessary.

6. The basic standard for appraisal will be whether or not the tenured faculty member under review discharges conscientiously, and with professional competence and conduct, his/her duties. During post-tenure review, tenured faculty members shall generally be assessed with the criteria and ratings in 6.1, IX, unless otherwise determined by the faculty of each department.

7. The evaluation will be discipline- and role-specific, including consideration for those receiving a post-tenure review while serving as a Department Chair. It is the intent of this policy to acknowledge that there will be different expectations in different disciplines and changing expectations at different stages of faculty careers. The evaluation should be consistent with department accreditation requirements and Policy 6.1.

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APPENDIX A

FACULTY ENGAGEMENT & CONTRIBUTION PLAN

(To be completed by faculty member submitting report, in consultation with the Promotion & Tenure Mentorship Team and the Department Chair)

Name of Faculty Member _____

The completed *Faculty Engagement & Contribution Plan* is limited to three (3) pages. Please refer to the definitions of Faculty Engagement, Teaching Effectiveness, Service/Leadership, and Scholarship found in Policy 6.1, VIII, as well as to Policy 6.28 Faculty Professional Responsibility. This plan will be reviewed and approved by the P&T Mentorship Team and the Department Chair, and it will be filed in the College/School Dean's office.

How do you plan to be an engaged faculty member in the coming year? How will your contributions* align with SUU's student-centered mission and your departmental evaluation criteria?

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*Some contributions, especially in Scholarship and Service/Leadership, support SUU's student-centered mission even when they do not directly relate to students. Faculty articulate how their contributions relate to SUU's mission in the space above.

FACULTY ENGAGEMENT & CONTRIBUTION REPORT

(To be completed by faculty member submitting report)

Name of Faculty Member _____

The completed *Faculty Engagement & Contribution Report* is limited to three (3) pages, plus supporting documentation as defined by the department. Please refer to the definitions of Faculty Engagement, Teaching Effectiveness, Service/Leadership, and Scholarship found in Policy 6.1, VIII, as well as to Policy 6.28 Faculty Professional Responsibility. This report will be reviewed and evaluated by the P&T Mentorship Team and the Department Chair, and it will be filed in the College/School Dean's office.

How were you an engaged faculty member in the previous year? How did your contributions* align with SUU's student-centered mission and your departmental evaluation criteria?

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*Some contributions, especially in Scholarship and Service/Leadership, support SUU's student-centered mission even when they do not directly relate to students. Faculty articulate how their contributions relate to SUU's mission in the space above.

FIVE-YEAR PLAN

(To be completed by faculty member submitting report)

Name of Faculty Member _____

The completed *Five-Year Plan* is limited to three (3) pages. Please refer to the definitions of Faculty Engagement, Teaching Effectiveness, Service/Leadership, and Scholarship found in Policy 6.1, VIII, as well as to Policy 6.28 Faculty Professional Responsibility. This plan will be reviewed and approved by the Department Chair, and it will be filed in the College/School Dean's office.

How do you plan to be an engaged faculty member in the coming five years? How will your contributions* align with SUU's student-centered mission and your departmental evaluation criteria?

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*Some contributions, especially in Scholarship and Service/Leadership, support SUU's student-centered mission even when they do not directly relate to students. Faculty articulate how their contributions relate to SUU's mission in the space above.

FIVE-YEAR REPORT

(To be completed by faculty member submitting report)

Name of Faculty Member _____

The completed *Five-Year Report* is limited to three (3) pages, plus supporting documentation as defined by the department. Please refer to the definitions of Faculty Engagement, Teaching Effectiveness, Service/Leadership, and Scholarship found in Policy 6.1, VIII, as well as to Policy 6.28 Faculty Professional Responsibility. This report will be reviewed and evaluated by the Department Chair and the College/School Dean.

How were you an engaged faculty member in the previous five years? How did your contributions* align with SUU's student-centered mission and your departmental evaluation criteria?

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*Some contributions, especially in Scholarship and Service/Leadership, support SUU's student-centered mission even when they do not directly relate to students. Faculty articulate how their contributions relate to SUU's mission in the space above.

APPENDIX B

Deadline Schedule for All Faculty

To:	Faculty Engagement & Contribution Plan and Report (6.1.1) (for Assistant Professors, Assistant Professors NTT, and Lecturers)	Mid-Point Review (6.1.2) (for Tenure-Track Faculty)	Rank Advancement (6.1.3)	Tenure (6.1.4) (for Tenure-Track Faculty)	Five-Year Plan (6.1.1) (for Tenured Faculty)	Post-Tenure Review (6.1.5) (for Tenured Faculty)
Initial Report/Plan to the P&T Mentorship Team	Friday before first day of fall classes	Friday before first day of fall classes	Friday before first day of fall classes (for Lectures and Assistant Professors)	Friday before first day of classes	NA	NA
P&T Mentorship Team's Evaluation to the Faculty Member for Review and Response	Friday after first day of fall classes	Friday after first day of fall classes	NA	NA	NA	NA
Initial Report/Plan and Evaluation to Department Chair	First Tuesday after Labor Day	First Tuesday after Labor Day	First Tuesday after Labor Day	First Tuesday after Labor Day	First Tuesday after Labor Day	First Tuesday after Labor Day

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Suggested Revisions of the Plan to the Faculty Member	Third Monday of September	NA (the Faculty Contribution Plan for the following year follows the FEC Report/Plan schedule - Third Monday of September)	NA (the Faculty Contribution Plan for Year 7 of TT Faculty follows the FEC Report/Plan schedule - Third Monday of September)	NA (the Faculty Contribution Plan for the following year follows the FEC Report/Plan schedule - Third Monday of September)	Third Monday of September	NA (the Five-Year Plan for the subsequent years follows the Five-Year Plan schedule - Third Monday of September)
Revised Plan to Department Chair	Second Monday of October	NA (the Faculty Contribution Plan for the following year follows the FEC Report/Plan schedule - Third Monday of September)	NA (the Faculty Contribution Plan for the following year of TT Faculty follows the FEC Report/Plan schedule - Third Monday of September)	NA (the Faculty Contribution Plan for the following year follows the FEC Report/Plan schedule - Third Monday of September)	Second Monday of October	NA (the Five-Year Plan for the subsequent years follows the Five-Year Plan schedule - Third Monday of September)
Report/Plan to College P&T Committee	NA	Second Monday of October	Second Monday of October	Second Monday of October	NA	NA
Report/Plan to College/School Dean	Last Friday of October	Last Friday of October	Last Friday of October	Last Friday of October	Last Friday of October	Last Friday of October
Report/Plan to University P&T Committee	NA	NA	First Monday of December (not applicable to NTT faculty)	First Monday of December	NA	First Monday of December

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Feedback from Dean to Department Chair about Parity across the College/School	First Monday of December	First Monday of December	NA	NA	First Monday of December	NA
Provost	NA (For TT faculty, notification of non-renewal, typically by the Dean in consultation with the Provost's Office, must be completed according to the schedule defined in Regents Policy R-481.)	First Monday of December (For TT faculty, notification of non-renewal, typically by the Dean in consultation with the Provost's Office, must be completed according to the schedule defined in Regents Policy R-481.)	Second Friday of January	Second Friday of January (Notification of recommendation to NOT award tenure must be made to the faculty member according to the schedule defined in Regents Policy R-481.)	NA	Second Friday of January
Review by Chair with Faculty	NA	Last Monday of January	NA	NA	NA	Last Monday of January

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APPENDIX C

ANNUAL EVALUATION OF FACULTY ENGAGEMENT & CONTRIBUTION REPORT

(To be completed by evaluative entity)

Name of Faculty Member _____

Evaluative Entity ____ P&T Mentorship Team
(Please check one) ____ Department Chair

Please refer to the definitions f Faculty Engagement, Teaching Effectiveness, Service/Leadership, and Scholarship found in Policy 6.1, VIII, as well as to Policy 6.28 Faculty Professional Responsibility. All members of the evaluative entity should type, sign, and date this form below.

Typed Name	Signature	Date

Based on the review of the Faculty Engagement & Contribution Report and any other pertinent information, and in alignment with SUU's student-centered mission and departmental evaluation criteria, this evaluative entity gives the following rating:

_____ Acceptable Progress toward Faculty Engagement & Contribution Plan
_____ Development Required (followed by a detailed justification and a description of necessary actions)

Each evaluative entity may use the space below to expand on the rating given above regarding the faculty member's engagement with respect to their Faculty Engagement & Contribution Report, departmental evaluation criteria, and SUU's mission. To promote a culture of continuous improvement, evaluative entities should provide feedback regarding the faculty member's strengths and areas where the faculty member can improve, including detailed suggestions for how such improvements can be made.

Strengths:

Areas of Improvement (including specific strategies):

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ANNUAL EVALUATION OF FACULTY ENGAGEMENT & CONTRIBUTION PLAN

(To be completed by evaluative entity)

Name of Faculty Member _____

Evaluative Entity ____ P&T Mentorship Team
(Please check one) ____ Department Chair

The Faculty Engagement & Contribution Plan for the upcoming year satisfies departmental expectations, aligns with SUU's mission, and promotes a developmental process for the individual faculty member. ____ Yes ____ No*

If yes, provide additional comments (optional).

*If no, please describe why the proposed Faculty Engagement & Contribution Plan for the upcoming year does not satisfy department expectations and/or SUU's mission. Please include suggestions for revisions. The faculty member will collaborate with the P&T Mentorship Team to revise the plan appropriately.

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EVALUATION OF MID-POINT REPORT

(To be completed by evaluative entity)

Name of Faculty Member _____

Evaluative Entity (Please check one)
____ P&T Mentorship Team
____ Department Chair
____ College/School P&T Committee
____ College/School Dean

Please refer to the definitions of Faculty Engagement, Teaching Effectiveness, Service/Leadership, and Scholarship found in Policy 6.1, VIII, as well as to Policy 6.28 Faculty Professional Responsibility. All members of the evaluative entity should type, sign, and date this form below.

Typed Name	Signature	Date

Based on the review of the Mid-Point Report and any other pertinent information, and in alignment with SUU's student-centered mission and departmental evaluation criteria, this evaluative entity gives the following rating.

_____ Acceptable Progress toward previous Faculty Engagement & Contribution Plans
_____ Development Required (followed by a detailed justification and a description of necessary actions)
_____ Recommend faculty not be retained

Each evaluative entity may use the space below to expand on the rating given above regarding the faculty member's engagement with respect to their Mid-Point Report, departmental evaluation criteria, and SUU's mission. To promote a culture of continuous improvement, evaluative entities should provide feedback regarding the faculty member's strengths and areas where the faculty member can improve, including detailed suggestions for how such improvements can be made.

Strengths:

Areas of Improvement (including specific strategies):

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EVALUATION FOR TENURE AND/OR RANK ADVANCEMENT

(To be completed by evaluative entity)

Name of Faculty Member _____

Application for:
(Please check all that apply)
____ Tenure
____ Rank Advancement
____ Lecturer to Assistant Professor
____ Assistant Professor to Associate Professor
____ Associate Professor to Professor

Evaluative Entity
(Please check one)
____ P&T Mentorship Team
____ Department Chair
____ College/School P&T Committee
____ College/School Dean
____ University P&T Committee

Please refer to the definitions of Faculty Engagement, Teaching Effectiveness, Service/Leadership, and Scholarship found in Policy 6.1, VI, as well as to Policy 6.28 Faculty Professional Responsibility. All members of the evaluative entity should type, sign, and date this form below.

Typed Name	Signature	Date

Evaluative Entity's Recommendation: Based on review of the Rank Advancement Proposal and any other pertinent information, and in alignment with SUU's student-centered mission and departmental evaluation criteria, should the faculty member be granted Tenure and/or Rank Advancement?

_____ Yes
_____ No

For Committees, please complete:
Number Voting: ____ Yes _____ No

Each evaluative entity may use the space below to expand on the recommendation given above regarding the faculty member's engagement with respect to their Tenure and/or Rank Advancement Application, departmental evaluation criteria, and SUU's mission.

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EVALUATION OF FIVE-YEAR REPORT

(To be completed by evaluative entity)

Name of Faculty Member _____

Evaluative Entity (Please check one)
____ Department Chair
____ College/School P&T Committee
____ College/School Dean

Please refer to the definitions of Faculty Engagement, Teaching Effectiveness, Service/Leadership, and Scholarship found in Policy 6.1, VIII, as well as to Policy 6.28 Faculty Professional Responsibility. All members of the evaluative entity should type, sign, and date this form below.

Typed Name	Signature	Date

Based on the review of the Five-Year Report and any other pertinent information, and in alignment with SUU's student-centered mission and departmental evaluation criteria, this evaluative entity gives the following rating.

_____ Acceptable Progress toward Five-Year Plan
_____ Development Required (followed by a detailed justification and a description of necessary actions)

Each evaluative entity may use the space below to expand on the rating given above regarding the faculty member's engagement with respect to their Five-Year Report, departmental evaluation criteria, and SUU's mission.To promote a culture of continuous improvement, evaluative entities should provide feedback regarding the faculty member's strengths and areas where the faculty member can improve, including detailed suggestions for how such improvements can be made.

Strengths:

Areas of Improvement (including specific strategies):

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EVALUATION OF FIVE-YEAR PLAN

(To be completed by evaluative entity)

Name of Faculty Member _____

Evaluative Entity ____ Department Chair
(Please check one)

The Five-Year Plan for the upcoming review cycle satisfies departmental expectations, aligns with SUU's mission, and promotes a developmental process for the individual faculty member.
____ Yes ____ No*

If yes, provide additional comments (optional).

*If no, please describe why the proposed Five-Year Plan for the upcoming year does not satisfy department expectations and/or SUU's mission. Please include suggestions for revisions. The faculty member will collaborate with the P&T Mentorship Team to revise the plan appropriately.

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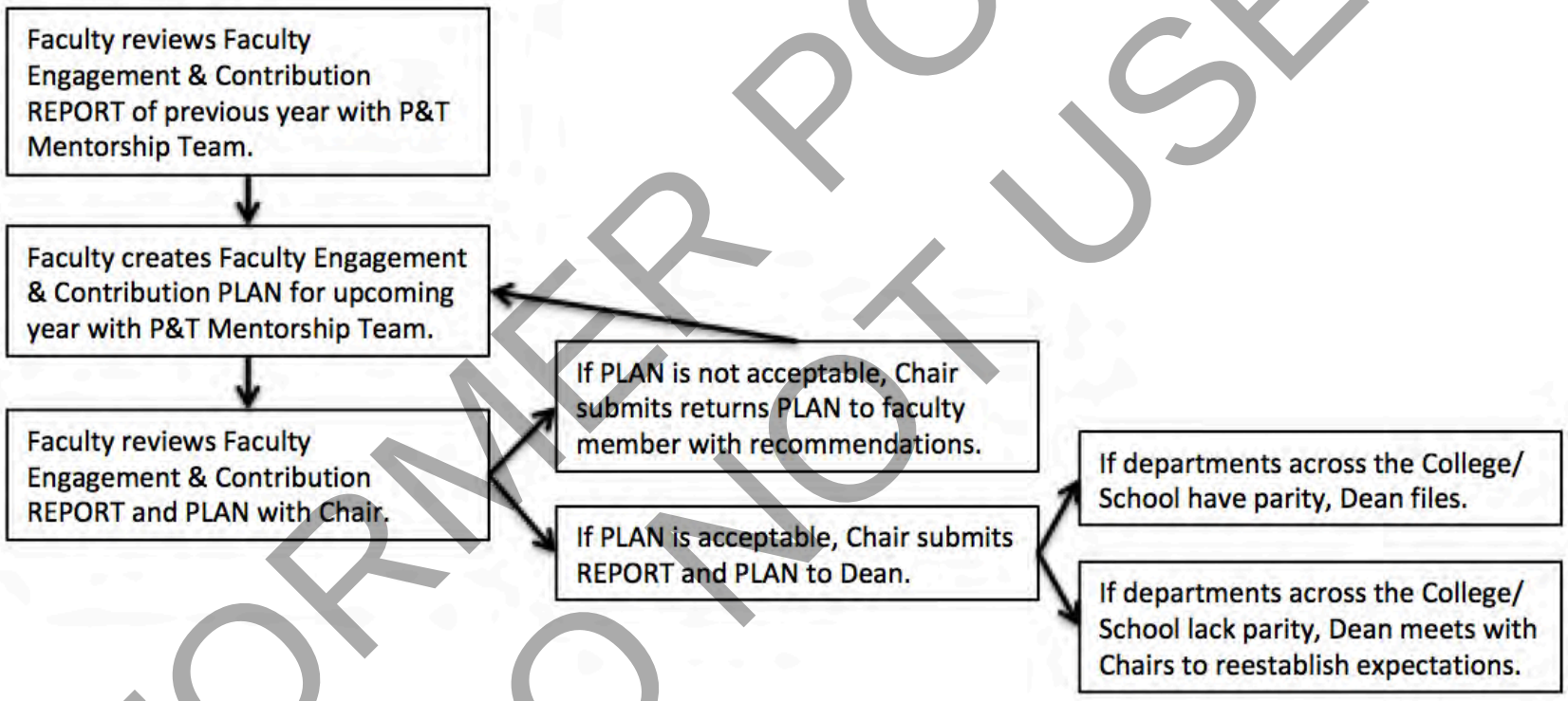
APPENDIX D

Annual Process for Faculty Engagement & Contribution Reports and Plans



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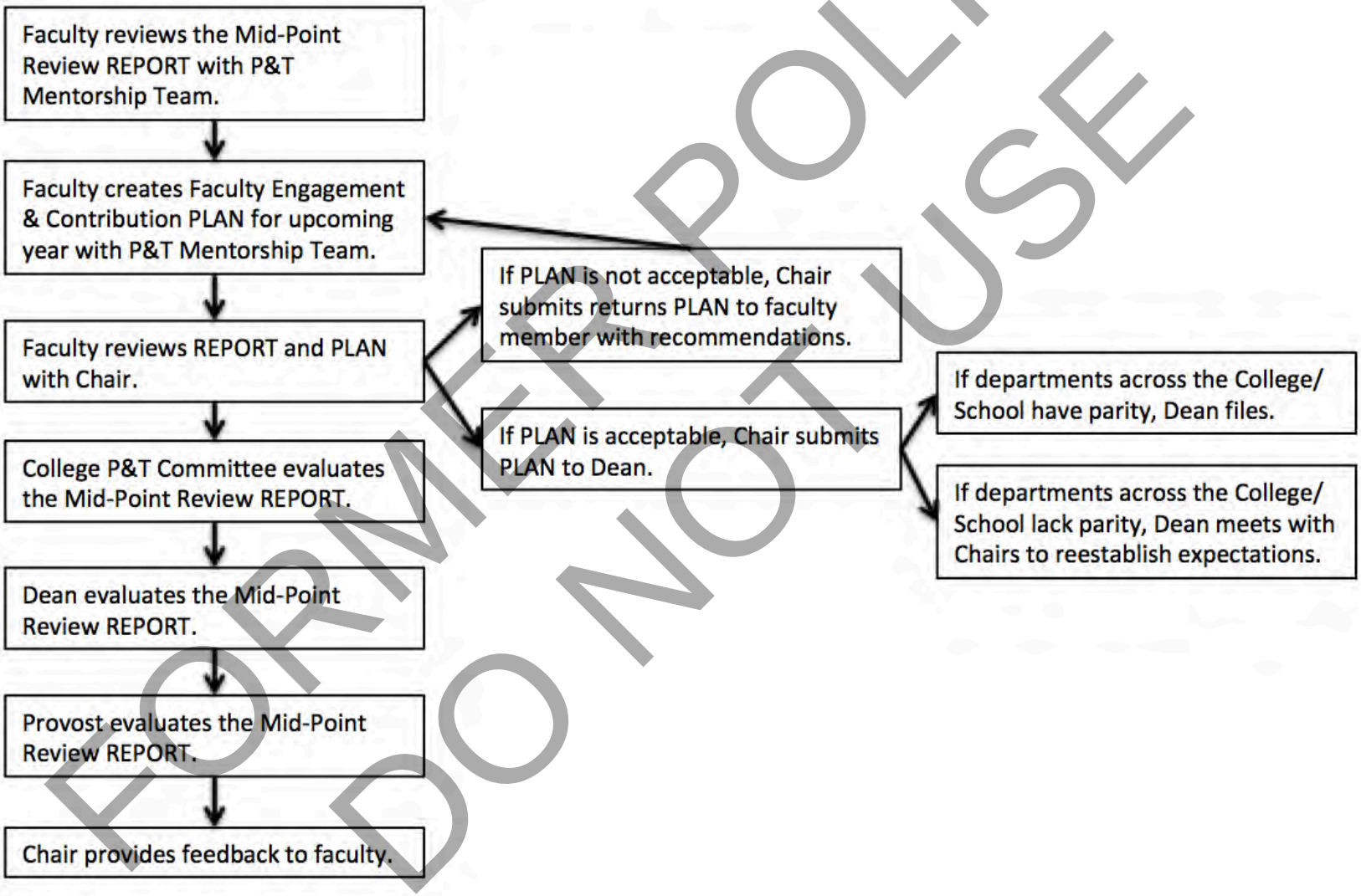
Process for Mid-Point Reviews



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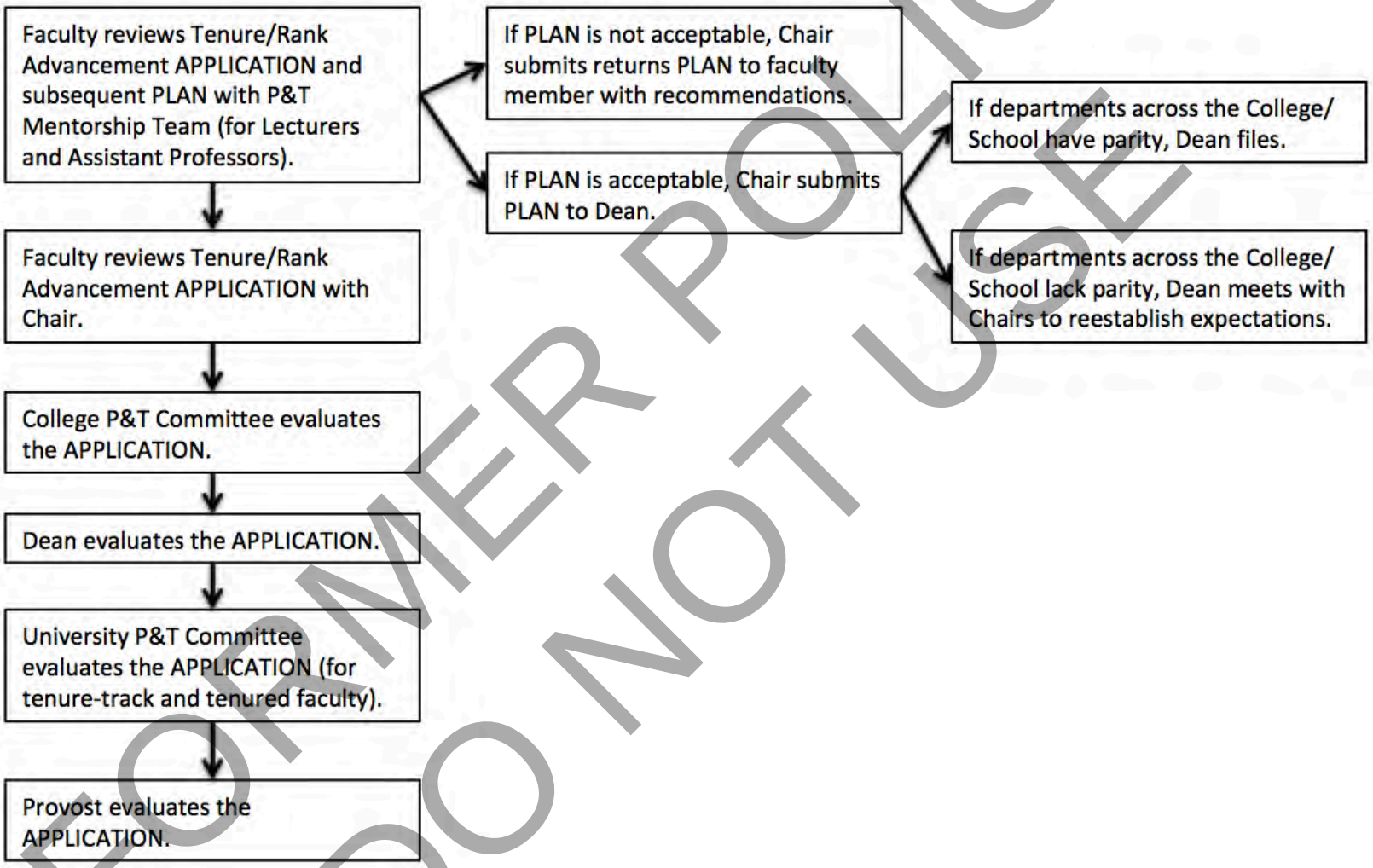
Process for Tenure/Rank Advancement



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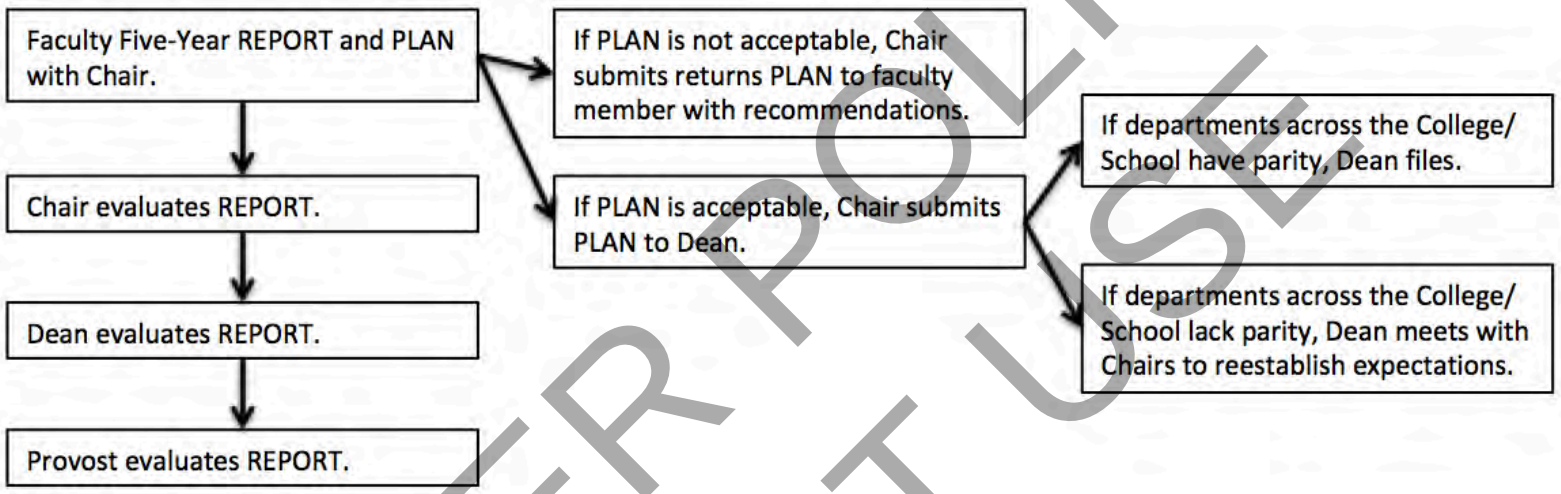
Process for Five-Year Reports/Plans



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APPENDIX E

APPLICATION FOR MID-POINT REVIEW, RANK ADVANCEMENT, TENURE, AND POST-TENURE REVIEW

(to be completed by faculty member applying for one or more of the items above)

Name: _____

Department: _____

College: _____

Track (please check one)**:** _____ Tenure-Track
_____ Non-Tenure-Track

Highest Degree Earned: _____

Degree: _____

Date of Degree: _____

Institution: _____

Primary Teaching Field: _____

APPLICATION FOR: _____ THREE-YEAR REVIEW
(check all that apply)

_____ RANK ADVANCEMENT*

_____ Lecturer to Assistant Professor

_____ Assistant Professor to Associate Professor

_____ Associate Professor to Full Professor

_____ TENURE*

_____ POST-TENURE REVIEW

Date: _____

*If credit was granted toward rank advancement or tenure at the time of hiring, please attach agreement.

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Complete the following only if applying for advancement in rank.

	Tenure	Rank
Date of hire/current rank	**Date of Hire:**	**Date of Rank:**
Years granted at time of hiring		
Years of service at SUU for tenure/rank		
Total years		

Please refer to the table below to determine what needs to be included in the faculty portfolio.

Mid-Point Review	Tenure	Rank Advancement	Post-Tenure Review	
X	**X**	**X**	**X**	**Faculty Engagement & Contribution Plan for upcoming year (or Five-Year Plan)**
X	**X**	**X**	**X**	**Prior Annual Reviews and/or Five-Year Reviews (reports and evaluative letters)**
	X			**Mid-Point Review Materials**
X				**Work done that resulted in years granted toward tenure and/or rank advancement.**

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X	**X**	**X**	**X**	**Supporting Documentation as determined by Department**

In the space below (no more than 3 pages), summarize cumulative evidence of your engagement and contributions according to the definitions of Faculty Engagement, Teaching Effectiveness, Scholarship, and Service/Leadership. Where possible, evidence of engagement and contributions should be linked to previous Faculty Engagement & Contribution Plans/Reports. Some contributions, especially in Scholarship and Service/Leadership, support SUU's student-centered mission even when they do not directly relate to students. Please articulate how your contributions relate to SUU's mission and your departmental evaluation criteria.

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