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## **305 Faculty Appointment, Promotion, and Tenure**

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**Authority: Approved by the Board of Trustees**

These policies are guided by AAUP Policy Documents and Reports.

### **305.1 General**

Appointments, promotions, and awards of tenure to the Indiana State University faculty shall be by action of the Indiana State University Board of Trustees upon recommendations of the University President. The University President's recommendations shall be based on the evaluations of peer review committees, chairpersons, deans, and the Provost and Vice President for Academic Affairs.

### **305.2 Basis for Rank and Tenure**

Faculty appointments and regular reviews are founded on the disciplines and missions of the academic units and the University. The assignment of academic rank and the award of tenure are based on faculty achievements in the interrelated domains of teaching or librarianship; research, scholarship, or creativity; and service. Activities concordant with the mission, vision, and values of the University are expected of all regular faculty and will be integrated within the three domains of faculty work. The extent to which an individual faculty member's work will emphasize the mission, vision, and values of the University will vary depending on the faculty member's discipline, as well as their teaching assignments, advising and mentoring assignments, and other workload activities.

**305.2.1 Domains of Faculty Work.** Faculty will engage in the three interrelated domains of faculty work: teaching/librarianship, research/scholarship/creative activity, and service. Faculty are highly encouraged to develop an integrated professional identity so that these domains intersect and overlap in their professional activities. Tenured and Tenure-Track faculty will engage in all three of these domains. Instructors and Lecturers may be assigned a subset of these domains, usually teaching/librarianship and potentially service, with scholarship assigned only with the written acknowledgement of the dean.

**305.2.1.1 Teaching/Librarianship.** Effective teaching/librarianship should be based on current scholarship in the discipline and evidenced by student learning and articulated outcomes, in accordance with standards and guidelines of the appropriate college and department/school. Faculty should seek to demonstrate continuous improvement in their teaching/librarianship. Teaching responsibilities are more thoroughly described in [Policy 310 Faculty Duties and Responsibilities](#), Section 310.1 *Teaching Responsibilities*.

**305.2.1.2 Research/Scholarship/Creative Activity.** Research, scholarship, or creativity should be appropriate to the faculty member's discipline and in accordance with the standards and guidelines of the appropriate college and department/school. This may include original work focused on discovery and integration; and/or scholarship focused on teaching and learning; and/or the scholarship of application/engagement that utilizes disciplinary methods and theories to address substantial problems. The intellectual products of faculty members' research/scholarship/creativity will necessarily be highly varied and take many forms. The review process that determines the professional value of such work should include people with disciplinary expertise. Each academic unit (normally the department) is responsible for determining the relative importance of research activities within the unit.

**305.2.1.3 Service.** Service includes activities on behalf of the department/school, college, and University, as well as to the profession and the community. Community service includes discipline-related activities at the local, regional, national, and international levels. Each academic unit (normally the department) is responsible for determining the relative importance of service activities within the unit.

**305.2.2 Mission-Based Activities.** Faculty are expected to contribute to the missions, visions, and values of their department/school, college, and the University. The specific activities listed below have been recognized as central to the University mission, vision, and values. Faculty activities in these areas are evaluated in the context of a faculty member's role at the University, which may change over time; the requirements of their department; the nature of their field; and other workload activities. Faculty are highly encouraged to incorporate mission-based activities throughout the domains of faculty work to effectively develop an integrated professional identity.

**305.2.2.1 Undergraduate Student Academic Advising.** The academic advisor serves to guide students through curriculum, academic policy and procedure, and helps to improve student success by encouraging problem solving, critical thinking, and decision making. Undergraduate academic advising may be categorized as either teaching/librarianship or service as determined by the academic college and department/school. Not all faculty are assigned to provide academic advising to undergraduate students.

**305.2.2.2 Graduate Student Advising/Mentoring.** Graduate student advising/mentoring socializes students into the profession and guides students' professional thinking and writing. Graduate student advising/mentoring may be categorized as either teaching/librarianship, scholarship, or service as determined by the academic college and department/school. Not all faculty are assigned to provide academic advising/mentorship to graduate students.

**305.2.2.3 Community Engagement.** Examples of community engagement may include research experiences, performances/exhibitions, teaching or tutoring, and clinical experiences that reflect direct collaboration between faculty members and the wider community. Faculty are encouraged to seek such associations, where appropriate. Not all faculty are expected to participate in community engagement.

**305.2.2.4 Experiential Learning.** Examples of experiential learning may include internships, research experiences, performances/exhibitions, student teaching or tutoring, clinical experiences, and capstone projects. Faculty are expected to provide experiential learning activities for their students, where appropriate. Not all faculty are expected to participate in experiential learning.

### **305.2.3 Mission-Based Activities as Performed Within the Domains of Faculty**

**Work.** Mission-based activities are to be integrated within the three interrelated Domains of Faculty Work. These activities do not constitute a separate domain of faculty work, nor may they be considered a basis for retention, promotion, or tenure in their own right.

**305.2.3.1 Establishment of Criteria and Performance Standards.** Each department/school and college shall establish criteria and performance standards, whereby the mission-based activities described above will be placed within the Domains of Faculty Work and evaluated accordingly.

## **305.3 Evaluations**

**305.3.1 Regular Evaluations.** The performance of faculty members on renewable term appointments (regular and temporary; full-time and part-time) shall be regularly evaluated according to established criteria and performance standards appropriate to their positions.

**305.3.2 Consistent Evaluative Criteria.** The University will maintain consistent evaluative criteria and performance standards for the assignment of academic rank and awards of tenure. Criteria and standards will recognize the expectation that tenured and tenure-track faculty members shall demonstrate satisfactory achievement in teaching or librarianship; research, scholarship, or creativity; and service and in any other assignments appropriate to the position or specified in their current letter of appointment. All other faculty shall demonstrate satisfactory achievement in teaching and in any other assignments appropriate to the position or specified in their current letter of appointment.

**305.3.2.1 Default Criteria.** It is the responsibility of all academic units to establish consistent evaluative criteria and performance standards specific to that unit. A department/school may elect to adopt the consistent evaluative criteria and performance standards of the college; which will be followed in the absence of established department/school evaluative criteria and performance standards.

**305.3.3 Calendars.** No later than August 1 each year Academic Affairs will produce a master calendar of due dates for all submissions and responses from candidates and evaluations and recommendations from peer review committees, chairpersons, deans, the Provost, and the President.

**305.3.4 Faculty Evaluation File.** The faculty evaluation file for all reviews for retention, promotion, and tenure shall include (1) a portfolio of materials produced by the candidate. The portfolio should include the letter of appointment and copies of all prior annual review documents (evaluations, recommendations, and candidate response statements, if any), and materials stipulated by the candidate's department/school and college and (2) the evaluation, recommendations, and candidate response statements (if any) from all levels of the current review.

## **305.4 Peer Review Committees**

Each department/school, and the college/library shall elect peer review committees of tenured faculty members and pre-tenure faculty and Instructors, when appropriate to evaluate the achievements of candidates for retention, promotion, and/or tenure. Chairpersons and deans shall not serve on these committees, and faculty members shall participate in no more than one (1) recommendation on a given case. It is the candidate's responsibility to present to reviewing bodies evidence of achievements in the related activities of teaching or librarianship; research, scholarship or creativity; and service in accordance with established criteria and standards of performance.

## **305.5 Basis for Termination of Appointment of Tenured Faculty**

The appointments of faculty members who have been awarded tenure will be terminated only for adequate cause, except in the case of retirement, or under circumstances, such as financial exigencies, decrease in enrollments, or discontinuance of instructional programs, in accordance with policies delineated elsewhere in the University Policy Library.

## **305.6 Probationary Period**

Faculty members who, during their probationary periods, do not demonstrate continuing achievement in the interrelated activities of teaching or librarianship; research, scholarship, or creativity; and service are to be conditionally reappointed or terminated.

## **305.7 Faculty Criminal Background Policy**

As mandated by the Indiana State University Board of Trustees, all faculty at Indiana State University will undergo Criminal Background Checks prior to their hire.

**305.7.1 Inclusion/Exclusions.** This policy shall apply to all Regular and Temporary, full- and part-time faculty at Indiana State University. This policy shall also apply to graduate assistants.

**305.7.2 Duration of Validity.** Criminal background checks shall be considered valid for up to 36 consecutive months of non-ISU employment.

**305.7.3 Transferability.** ISU employees will not be subject to criminal background checks in order to qualify for transfer or promotion, or to otherwise change positions on the faculty (including moving from graduate assistantship to a part- or full-time faculty line). However, HR will provide criminal history information collected at the time of hire to units considering applications from current employees with less than 36 months of employment at the university. Faculty who apply for Exempt Staff positions will be subject to new background checks as appropriate to the position.

**305.7.4 Confidentiality.** Criminal histories shall be considered confidential, whether self-disclosed or obtained from a third-party.

## **305.8 Compliance with Immigration Laws**

All candidates for faculty positions must possess and maintain the authorization and necessary official documents to be employed at Indiana State University under the terms of the Immigration Reform and Control Act. (See also [Policy 575 Work Eligibility Compliance](#).)

## **305.9 Letters of Appointment**

Faculty appointments are made by letter from the Provost and Vice President for Academic Affairs prior to the start of the appointment. Appointment letters shall specify only general requirements for reappointment, promotion and tenure (if applicable); and where appropriate, contain notice of the years of prior service to be credited together with the dates of eligibility for promotion and tenure as provided by policies defined elsewhere in the University Policy Library.

## **305.10 Faculty Appointment Classifications**

### **305.10.1 Faculty Titles**

**305.10.1.1 Regular Faculty.** Regular Faculty shall include tenured faculty, tenure-track faculty, and instructors. Initial appointments of regular tenured and tenure-track faculty are made at the rank of Assistant Professor/Librarian, Associate Professor/Librarian, or Professor/Librarian. Initial appointments of Regular non-tenure-track faculty are normally made at the rank of Instructor.

**305.10.1.1.1 Tenured Faculty.** Tenured faculty are those who, by merit or by appointment, have a continuing appointment.

**305.10.1.1.2 Tenure-Track Faculty.** Tenure-track faculty are those who, by appointment, are candidates for tenure as defined later in this section of the University Policy Library, but have not been awarded tenure.

**305.10.1.1.3 Instructors.** Instructors are those who perform at least 15 hours of instruction per term, or equivalent, and who normally work pursuant to a 3 year appointment.

**305.10.1.2 Temporary Faculty.** Temporary Faculty consists of both full-time and part-time faculty normally appointed with the rank of Lecturer.

**305.10.1.2.1 Lecturers.** Lecturers are those who perform instruction and/or other assigned duties and are on appointments of 1 year or less.

**305.10.1.2.1.1 Full-Time Lecturers** Full-time lecturers are appointed for a period of one academic year and perform at least 15 hours of instruction or equivalent activities each term.

**305.10.1.2.1.2 Part-Time Lecturers** Part-time lecturers are appointed for a period of one academic year or less during which they perform not more than 9 hours of instruction or equivalent during each term.

**305.10.1.3 Affiliate Faculty.** Individuals who, by virtue of their credentials and expertise, are deemed qualified to make significant contributions to an academic unit may be considered for affiliate faculty status. Examples of contributions include: co-advising a student organization, facilitating student research, serving on graduate student committees, teaching courses, collaborating with faculty on research projects, serving as an off campus clinical preceptor, or other similar activities. Individuals who are traditionally referred to as visiting faculty, post-doctoral appointees, and clinical preceptors, among others, shall hold affiliate faculty status. All such appointments will be made only when supported by the relevant department faculty and chair, the academic unit, the dean of the unit, and the Provost.

## **305.11 Hiring Policies and Procedures for Faculty Appointments**

### **305.11.1 General Policies**

**305.11.1.1 Compliance with EEO/AA.** Activities relative to the screening, selection and appointment of faculty members are done in accordance with equal opportunity and affirmative action procedures ([Policy 920 Equal Opportunity and Affirmative Action](#)).

**305.11.1.2 No Nepotism.** Faculty members and administrators shall not participate in institutional decisions involving a direct benefit (initial appointment, reappointment, promotion, tenure, salary, leave of absence) to members of their immediate families, households, or significant others. No one participating in the processes governed by these general policies will do so in violation of University policies prohibiting nepotism.

**305.11.1.3 Benchmark for Faculty Composition.** Under typical enrollment patterns, tenured and tenure-track faculty should constitute approximately 65 percent of the full-time equivalent faculty.

**305.11.1.4 Rationale for Staffing.** Chairs of departments/schools in which regular faculty routinely teach less than 75 percent of the total instructional hours shall submit rationales for such staffing at the time of their program reviews. The rationales should be produced in consultation with department faculty and should be based on academic quality, appropriate assignment of faculty, positive effects on program delivery, and fiscal management. Continued funding for such levels of Instructor and Lecturer faculty employment shall be dependent on the favorable evaluation of the rationale by the dean, and the Provost and Vice President for Academic Affairs.

**305.11.1.5 Time for Appointment.** In normal circumstances a department/school is expected to appoint all Instructors and Lecturers no less than four weeks prior to the beginning of the academic term of service.

**305.11.1.6 Conditions of Employment.** Each academic unit (department/school, and college) in consultation with Academic Affairs shall provide an orientation program and a regular program of professional development for all faculty. This may include opportunities to attend programs sponsored by the campus, ongoing workshops and support unique for tenure-track and non-tenure track faculty. Each academic unit shall provide office space, supplies, communication equipment, computer access, and other support necessary for all faculty to carry out their duties. Departments are required to

include all regular faculty in governance activities and are encouraged to include all faculty in departmental activities.

### **305.11.2 Hiring Policies and Procedures for Regular Faculty.**

#### **305.11.2.1 Hiring Policies Regular Faculty.**

##### **305.11.2.1.1 Hiring Policies for Tenure-Track Faculty**

**305.11.2.1.1.1 Prior Service Credit at Assistant Level.** Individuals beginning their probationary period at the rank of assistant professor/librarian may be given credit for up to two (2) years of faculty achievements as an Assistant Professor at other accredited institutions. The Provost, in consultation with the Dean, department/school peer review committee and chairperson, will make the determination of prior service credit awarded. If such credit is granted, these appointees may apply during the year in which the years credited and the years of service at Indiana State University total six (6). For example, an assistant professor/ librarian credited with two (2) years from another institution could apply during his/her fourth year at Indiana State University.

**305.11.2.1.1.2 Prior Service Credit at Associate Level.** Individuals beginning their probationary period at the rank of associate professor/librarian may be given credit for up to five (5) years of faculty achievements at other accredited institutions. The Provost, in consultation with the Dean, department/school peer review committee and chairperson, will make the determination of prior service credit awarded. If such credit is granted, these appointees may apply during the year in which the years credited and the years of service at Indiana State University total six (6). For example, an associate professor/ librarian credited with three (3) years from another institution could apply during his/her third year at Indiana State University.

**305.11.2.1.1.3 Prior Service Credit at Professor Level.** Individuals beginning their probationary period at the rank of professor/librarian may be given credit for up to five (5) years of faculty achievements at other accredited institutions. The Provost, in consultation with the Dean, department/school peer review committee and chairperson, will make the determination of prior service credit awarded. These appointees become eligible to apply for tenure during the year in which the years credited and the years at Indiana State University total six (6). For example, a professor/librarian credited with four (4) years from another institution could apply during his/her second year at Indiana State University.

**305.11.2.1.1.4 Waiver of Probationary Period.** The probationary period for professor/librarian or associate professor/librarian may be waived and tenure may be awarded at the time of appointment, subject to the following conditions: a) the appointee must have previously earned tenure and rank of associate professor or professor at one (1) or more accredited educational institutions; b) the academic department and the program area to which the candidate is to be assigned must recommend appointment with tenure; c) a positive recommendation shall advance through the department/school peer review committee and chairperson; the college peer review committee, and dean to the Provost and Vice President for Academic Affairs at the same time as the request to hire is forwarded; and d) and the University President shall convey the actions on the recommendation at each level to the ISU Board of Trustees at the

first meeting following receipt of the recommendation to hire. Tenure will be effective as of the date stipulated as the first date of service.

**305.11.2.1.1.5 Recruitment and Selection Requirements.** Each department shall define in writing the qualifications, standards, and procedures for recruiting and selecting regular faculty, in keeping with the procedures articulated by the University Policies.

### **305.3.2.1.2 Hiring Policies for Instructors**

**305.11.2.1.2.1 Term of Appointment.** Instructors are appointed for a term of 3 academic years. Instructor appointments are renewable.

**305.11.2.1.3 Direct Hire Policies.** When the opportunity presents itself to hire a regular faculty member who possesses particular qualities of value to the university, a department may petition the Dean to pursue a noncompetitive hire in accordance with approved Direct Hire Procedures. This policy applies to both new hires and hires through the conversion of an existing faculty position.

**305.11.2.2 Hiring Procedures for Regular Faculty** The procedures for selecting candidates for regular faculty positions are as follows:

- a. Each department's faculty, in consultation with the chair, determines faculty position needs annually on the basis of discipline, mission, schedule requirements, anticipated enrollments, and existing faculty and submits its determination to the respective Dean.
- b. Each Dean submits a review of department determinations in the context of college priorities to the Provost; department determinations will be forwarded with the Dean's report.
- c. A list of positions to be filled is compiled in the Provost and Vice President for Academic Affairs Office, and each dean and chairperson is notified of the staff allocations. Positions are advertised nationally and regionally, through professional media, contacts with other universities, and by other means to secure a large and diverse pool of qualified candidates.
- d. Initial screening of candidates is done by an appropriate department search committee composed of regular faculty, representing the diversity of department faculty in terms of rank, area of interest, and experience at ISU. The search committee reviews applications, reference letters/lists, and credentials received for evaluation through applicant tracking system and selects candidates for further consideration by the department faculty. Prior to reviewing applicant materials, search committee members will participate in the university's fair-hire training.
- e. The application materials of candidates selected for further consideration are then reviewed by the chairperson, dean, and the Equal Opportunity officer, who may request additional candidate(s) be given further consideration.
- f. The department search committee will review and discuss departmental faculty responses to the selected candidates and write the departmental faculty recommendation, which will be submitted to the department and the department chair.
- g. The decision to recommend a candidate to the University President for appointment is made by the department faculty, chairperson, dean, and the Provost and Vice President for Academic Affairs. In cases where there is lack of

support at any level and the University President chooses to recommend a candidate, the University President shall convey this information to the ISU Board of Trustees.

1) **Special Circumstance Requiring Additional Independent Recommendation.** When required to satisfy accreditation or equivalent professional standards, an additional independent level of recommendation after the department recommendation(s) and prior to the college level recommendation, may be conducted and procedures adapted to include that additional recommendation with those of the department and college.

h. Appointments of Tenured and Tenure-track faculty shall be approved by action of the ISU Board of Trustees upon recommendations of the University President.

#### **305.11.2.2.1 Hiring Procedures for Instructors**

**305.11.2.2.1.1 Responsibilities.** Instructors' assigned duties must amount to a 15 credit-hour instructional load or equivalent each academic term. Instructors may be assigned instructional and noninstructional duties-combinations of teaching, librarianship, supervision, clinical activities, research, creative activity, or service. The assigned responsibilities will reflect the position description developed by the department.

#### **305.11.2.3 Hiring Policies for Lecturers**

**305.11.2.3.1 Recruitment and Selection Requirements.** Each department shall define in writing the qualifications, standards, and procedures for recruiting and selecting Lecturers, in keeping with the procedures articulated by university policies. Where Lecturers are needed, each department/school shall recruit and assemble a pool of qualified candidates to fill those positions. Faculty who are employed and perform their duties satisfactorily shall remain in the pool. No candidate shall remain in the pool without a current review by department faculty.

**305.11.2.3.2 Term.** Temporary Faculty are appointed on an Academic year (full-time) or semester/term (part-time) basis.

**305.11.2.3.3 Responsibilities.** Full-Time Lecturers' assigned duties must amount to a 15 credit-hour instructional load or equivalent each academic term and Part-Time Lecturers a 1-9 credit-hour instructional load or equivalent per term of employment. Lecturers may be assigned instructional and noninstructional duties including combinations of teaching, librarianship, supervision, clinical activities, research, creative activity, or service. The specific responsibilities of the position shall be articulated in writing by the department chairperson and agreed to by the Lecturer at the time of appointment. The assigned responsibilities will reflect the position description developed by the department.

#### **305.11.2.4 Hiring/Appointment Policies and Procedures for Affiliate Faculty**

**305.11.2.4.1 Affiliate Faculty with Obligations to Teach.** An administrative or academic unit that seeks to hire a staff member where teaching is likely to be a required element of the assignment shall have a regular faculty member on the search committee. When the area of teaching has an existing departmental/school home, that faculty member shall come from that department/school. When the area of teaching responsibility is only known to be within a college, the Chairperson of the college governing body will appoint a search committee member. When the area of teaching is



not prescribed prior to the hire, the Chairperson of the Faculty Senate will appoint the search committee member.

**305.11.2.4.2 Affiliate Faculty without Obligations to Teach.** A department/school that seeks to reassign a portion of an employee's time to teaching or wishes to hire an employee with possible overload compensation to teach, will follow the procedures associated with hiring temporary faculty.

**305.11.2.4.3 Appointment of Nonemployee Affiliate Faculty.** A department/school that seeks to appoint a nonemployee and grant them affiliate faculty status may petition the dean. That petition shall have a recommendation of the department faculty and department chairperson.

## **305.12 Criteria for Appropriate Achievement in Teaching, Scholarship, and Service**

**305.12.1 Degree.** A terminal degree in a field appropriate to the discipline in which the candidate teaches, and conducts research, scholarship, or creative activity is required of Tenured and Tenure-track faculty for tenure or promotion. An appropriate terminal degree is preferred and a master's degree is required of Instructors and Lecturers. Exceptions at any rank may be made in cases of persons of indisputable renown. Exceptions at the rank of Lecturer may be made on the grounds of need and special skill, experience, or knowledge.

**305.12.2 Academic Ranks:** The academic ranks for the regular faculty shall be Instructor, Senior Instructor, Assistant Professor/Librarian, Associate Professor/Librarian, and Professor/Librarian.

**305.12.3 Time in Rank.** Assistant professors are eligible to apply for the academic rank of associate professor in their sixth year at ISU. Associate professors are eligible to apply for the academic rank of professor in their fourth year at ISU. Instructors are eligible to apply for the academic rank of senior instructor in their sixth year at ISU.

### **305.12.4 Standards of Achievement by Rank.**

**305.12.4.1 Instructor.** Documented evidence of adequacy in teaching or librarianship is required; documented evidence of adequacy in research, scholarship, or creative activity and/or of service is required, if such activities were stipulated as expectations of the Instructor. Faculty members are to demonstrate continuous professional growth in teaching and other required areas.

**305.12.4.2 Senior Instructor.** Documented evidence of highly effective teaching or librarianship and evidence of continuous professional growth in teaching are required; evidence of achievement in research, scholarship, or creative activity and/or of service is required, if such activities were expectations of the Instructor.

**305.12.4.3 Assistant Professor/Librarian.** Documented evidence of adequacy in teaching or librarianship; of potential for achievement in research, scholarship, or creative activity; and of service appropriate to the mission of the faculty member's academic unit are required. Faculty members are to demonstrate continuous professional growth in teaching or librarianship; research, scholarship, or creativity; and service.

**305.12.4.4 Associate Professor/Librarian.** Documented evidence of effective teaching or librarianship; a record of research, scholarship, or creative activity which has earned professional recognition at the national or regional level; and evidence of effective service to the University and to either the community or the profession are required.

**305.12.4.5 Professor/Librarian.** Documented evidence of sustained effective teaching or librarianship; of a record of substantial accomplishment in research, scholarship, or creativity which has led to professional recognition at the national level; and of active,

substantive service to some combination of the University, the community and the profession is required. Documentation of experiential learning and/or community engagement activities may be used as evidence of efforts in the appropriate domain(s). For example, a faculty member might present:

**305.12.4.5.1** Documented evidence of substantial and effective teaching or librarianship; of a record of substantial accomplishment in research, scholarship, or creativity which has led to professional recognition at the national level; and of active, substantive service to some combination of the University, the community and the profession; or

**305.12.4.5.2** Documented evidence of excellence in one domain of faculty work, while also demonstrating substantial and/or sustained performance in the other domains.

### **305.13 Criteria for Tenure and Promotion**

**305.13.1 General Expectations Specified at Appointment.** General expectations for faculty achievements in teaching and the relative importance of teaching or librarianship; research, scholarship, or creative activities; and service shall be specified at the time of initial appointment.

**305.13.2 Performance Goals.** Specific performance goals shall be identified during the annual reviews of probationary faculty in accordance with the established criteria and performance standards appropriate to their positions. The goals identified during the annual review process form the foundation for evaluations for tenure in terms of the established criteria and performance standards of the faculty member's academic unit.

**305.13.3 Tenure and Promotion to Associate Professor/Librarian.** Because tenure and promotion shall be linked for individuals at the assistant professor/librarian level, such candidates are awarded tenure only upon meeting the established criteria and performance standards for promotion to the rank of associate professor/librarian. Such candidates need only submit one (1) set of documentation to support their candidacy for promotion and tenure.

**305.13.4 Documented Evidence and Record.** The award of tenure requires documented evidence of effective teaching or librarianship; a record of research, scholarship, or creative activity which has earned professional recognition; and a record of effective service to the University and to either the community or the profession.

**305.13.5 Mission and Need of Department.** The award of tenure may also be contingent upon the mission and need of the department at the time the tenure decision is made, as stated in AAUP Policy Documents and Reports.

### **305.14 Policies for Annual Probationary Reviews of Tenure-Track Faculty**

**305.14.1 Annual Probationary Reviews.** In all annual probationary reviews, the faculty evaluation file forwarded to the college level where recommendations are made after completion of reviews at all lower levels. All materials and recommendations are then forwarded to the Provost and Vice President for Academic Affairs.

**305.14.1.1 Independence of Recommendations.** Each recommendation shall be made independently.

**305.14.1.2 Special Circumstance Requiring Additional Independent Review.** When required to satisfy accreditation or equivalent professional standards, an additional independent level of review, prior to the college level review, may be conducted and the form amended to include the additional review.

**305.14.1.3 Availability of Recommendations to the Faculty Member.** The recommendation(s) produced at each level shall be made available to the faculty member at the conclusion of the level review and before the recommendation(s) is forwarded to the next level.

**305.14.1.4 Right of Rebuttal.** Without regard to the summative recommendation, at each level of recommendation (department, college, and, where appropriate the level required by accreditation) the faculty member shall be offered the opportunity to produce a written response to the recommendation(s) made at that level. The faculty member has 5 working days to produce that document before it passes to the next level as part of the faculty evaluation file. No other participant in the annual review process has this right of response.

**305.14.1.5 Signed Evaluations.** Each year of probationary review, faculty members shall sign their evaluation forms after department and college reviews to indicate awareness of the comments on the forms. The signed forms are returned to the chairperson and the dean and copies are sent to the faculty member.

**305.14.2 Possible Outcomes upon Review.** Annual probationary reviews result in a recommendation for reappointment, conditional reappointment, or non-reappointment. Faculty members who do not demonstrate adequate continuing achievement in the interrelated activities of teaching or librarianship; research, scholarship, and creativity; and service shall be conditionally reappointed or terminated.

**305.14.3 Notice of Outcome in Writing.** The annual probationary review process serves to notify faculty members in writing of their progress toward promotion and tenure. Insufficient evidence in a portfolio, or details (including additional evidence) of unsatisfactory performance, or/and any other matter which might appropriately serve as a basis for conditional reappointment or subsequent non-renewal of the appointment, shall be clearly specified in the notification and relevant materials provided to the faculty member. Means of remediation for conditionally reappointed faculty shall also be specified in writing.

**305.14.4 Criteria and Responsibility for Evaluations.** Each department, and each college/library shall maintain established criteria and performance standards for promotion and tenure, and candidates shall be annually apprised of their progress in meeting them. The candidate's departmental colleagues shall have primary authority and responsibility for assessing academic discipline-specific faculty achievements.

**305.14.5 Third Year Reviews.** No later than the third year of probationary periods of five (5) or more years, the candidate shall be reviewed by the college or library promotion and tenure committee.

#### **305.14.6 Calendars for Notification of Reappointment or Non-Reappointment**

**305.14.6.1 First Year.** During the first year of the probationary period at Indiana State University, faculty members shall be notified of their reappointment or non-reappointment by written statement from the University President or the Provost and Vice President for Academic Affairs, no later than March 1.

**305.14.6.2 Second Year.** During the second year of the probationary period, notice of reappointment or nonreappointment shall be given no later than December 15.

**305.14.6.3 Third, Fourth, and Fifth Year.** Starting with the third year of the probationary period, notice of reappointment or non-reappointment shall be given at least twelve (12) months before the expiration of the appointment.

**305.14.7 Method of Notice of Reappointment and Non-Reappointment.** The notification of reappointment shall be by first class mail. Notification of non-reappointment shall be sent by certified mail with return receipt.

## **305.15 Policy Regarding Awarding of Tenure**

**305.15.1 Tenure not Transferable to ISU.** Academic tenure at Indiana State University is not transferable from another institution. An administrator shall not have tenure in office; tenure as a faculty member is a matter of separate right.

**305.15.2 General Time Requirements for Consideration of Tenure.** Tenure-track faculty members become eligible for continuous appointment (award of tenure) after satisfactorily completing a probationary period of six (6) years of full-time service in accredited institutions, at least four (4) of which must have been served under a tenure-track appointment at Indiana State University, except as cited below. During the probationary period, the appointee shall be given term appointments of not more than one (1) academic year. Service under a full-time temporary or part-time temporary appointment shall not ordinarily be counted as part of the required probationary period.

**305.15.3 Delay; Extension.** During the Probationary period, a candidate for tenure may apply for leave under the Family and Medical Leave Act, or for leave without pay in the event of a birth or adoption, or a family illness (see Faculty & Academic Policies: Leave without Pay; Compensation & Benefits: Faculty Leave Policy; and Family and Medical Leave Act Guidelines). In such cases tenure eligibility will be delayed automatically (as specified below).

**305.15.3.1 FMLA Leave Qualification.** Candidates who qualify for leave under FMLA, even if they do not take a leave, may elect a one-year extension of the tenure probationary period by notification to their Department Chair who will transmit their decision to the Dean and the Provost and Vice-President for Academic Affairs.

**305.15.3.2 Extraordinary Circumstances.** Candidates with other extraordinary circumstances (e.g., death of a child, spouse or partner, catastrophic loss due to fire/flood/tornado, etc.) may request a one year extension of their probationary period (Such requests are initiated at the Department Level and reviewed as a normal personnel matter, e.g., Peer Review Committee, Department Chair, Dean, Provost & VP Academic Affairs).

**305.15.3.3 Length of Extension.** A maximum of two, one-year extensions may be taken.

**305.15.3.4 Certification.** Certification of the qualifying circumstances shall be obtained within fifteen calendar days after the extension is elected or requested.

**305.15.3.5 Continued Commitment.** In consultation with their Chair, candidates who request or elect extensions, who are not taking a leave, shall maintain a workload that demonstrates continued commitment to their faculty responsibilities. Faculty receiving extensions must demonstrate progress toward meeting stipulated conditions for continued reappointment during this extended period.

**305.15.3.6 Impact of Extension on Tenure Review.** In their tenure-year review, any extensions a candidate may have received are immaterial to the tenure decision. Candidates are expected to meet only the criteria stated in University-approved tenure policies and letters of appointment.

**305.15.4 Interruptions of Probationary Period.** An interruption of the probationary period, reducing the academic year to less than a full-time service period, shall result in a delay of tenure eligibility until the entire probationary period has been completed, except where the faculty member and the Provost and Vice President for Academic Affairs (after consultation including the

appropriate faculty group) agree in advance to modify the requirements for professional advancement.

**305.15.5 Link between Promotion and Tenure.** Promotion and tenure shall be linked for individuals at the assistant professor/librarian level.

**305.15.6 Eligibility for Tenure.** Individuals beginning their probationary periods at the rank of assistant professor/librarian become eligible to apply for an award of tenure during the sixth year of continuing faculty achievements under a Tenure-track faculty appointment in accredited institutions, at least four (4) years of which must have been served under a Tenure-track faculty appointment at Indiana State University. Such candidates are awarded tenure only upon meeting the established criteria and performance standards for promotion to the rank of associate professor/librarian.

**305.15.6.1 Exceptions to General 6-Year Rule.** Under exceptional circumstances, a candidate in the fourth or fifth pre-tenure year may be considered for promotion and tenure prior to the end of his/her stated probationary period. For this to occur, the candidate's exceptionality must be formally recognized by his/her chairperson (or personnel committee when the candidate is a chairperson). Any such nomination for early consideration, must be submitted to the Dean before the candidate can pursue an exception to the general six-year rule. The candidate must include this nomination in his/her application for early promotion and tenure. The candidate must also earn the support of every reviewing entity in the process.

**305.15.6.1.1 Review Process Stopped upon Negative Recommendation.** A negative recommendation from any peer review committee or administrative reviewer stops the review process for early consideration of promotion and tenure. The annual review process continues.

**305.15.6.1.2 Preclusion of Early Tenure.** A negative recommendation in the review precludes the possibility of the candidate being given early consideration at a future date but does not terminate employment.

**305.15.7 Notice.** For all ranks, recommendations on tenure shall occur consistent with University provisions for timely notice.

**305.15.8 Effective Date.** Tenure is effective with the beginning of the fall semester of the next academic year, or July 1 in the case of librarians and other faculty on twelve-month appointments.

**305.15.9 Academic Freedom during Probationary Period.** During the probationary period, the faculty member shall have the same academic freedom that all other members of the faculty hold.

## **305.16 Policies and Procedures for Promotion and Tenure Reviews**

**305.16.1 Review by the Department.** Candidates for promotion and tenure submit to their departments portfolios documenting their achievements in teaching or librarianship; research, scholarship, and creative activity; and service. These materials are reviewed independently by the department Peer Review committee and chairperson. Each makes a separate recommendation, applying the established department criteria and performance standards, and taking into account recognized expectations of the position and the comments generated during previous annual reviews. Candidates are notified of these recommendations and their rationales.

**305.16.1.1 Peer Review Committees.** Each department shall elect a peer review committee of tenured faculty members, to evaluate the performance of tenure-track and tenured faculty for tenure and/or promotion. Chairpersons and deans shall not serve on these committees. It is the candidate's responsibility to present to reviewing bodies

evidence of satisfactory performance in the specified areas of responsibility in accordance with the established criteria and standards.

**305.16.1.2 Positive Recommendations.** If both department level recommendations are positive, the candidate's portfolio and the recommendations are forwarded to the appropriate school or college for consideration.

**305.16.1.3 Cases of any Negative Recommendations.** If one or more of the department-level recommendations is negative, candidates may choose to terminate or continue the process. Faculty may include a response in the evaluation file before it is forwarded to the next level of review (as specified in the Right of Rebuttal). In choosing to terminate the process, except in cases of early consideration, a candidate for tenure also withdraws from consideration for further regular faculty appointment at Indiana State University beyond one (1) academic year following the year of the process. A tenured candidate for promotion who terminates the promotion review process may later apply for promotion without prejudice.

**305.16.2 Review by the College/Library.** Candidates' portfolios are evaluated independently by their college/library peer review committees and deans, whose separate recommendations are based on the unit's established criteria and performance standards. The college/library reviewers shall not substitute their own assessment of academic discipline-specific faculty achievements for that of the department. Candidates are notified of the committee's and dean's recommendations and rationales.

**305.16.2.1 Special Circumstance Requiring Additional Independent Review.** When required to satisfy accreditation or other, equivalent professional standards, an additional independent level of review, prior to the college level review, may be conducted and the form amended to include the additional review.

**305.16.2.2 Positive Recommendations.** If both recommendations are positive, they are forwarded with the candidate's portfolios to the Provost and Vice President for Academic Affairs.

**305.16.2.3 Cases of any Negative Recommendations.** If one, or both, of the recommendations is negative, candidates may elect to a) terminate the review process, or b) prepare a written response which becomes part of the faculty evaluation file and is forwarded to the next level of review. A copy of the written response is also forwarded to the candidate's department committee and chairperson. In choosing to terminate the process, except in cases of early consideration, a candidate for tenure also withdraws from consideration for further regular faculty appointment at Indiana State University beyond one (1) academic year following the year of the process. A tenured candidate for promotion who terminates the promotion review process may later apply for promotion without prejudice.

**305.16.3 Review by Provost and Vice President for Academic Affairs.** The Provost and Vice President for Academic Affairs reviews recommendations from the department level reviews and from the college/library level reviews as well as the candidate's responses and documentation and then makes recommendations for promotion and tenure.

**305.16.3.1 Inconsistent Recommendations.** In cases where recommendations from the department, college/library, and deans level are inconsistent, before making his/her recommendation, the Provost shall consult jointly with the chairperson (or appropriate representative) of the department peer review committee, the chairperson of the department, the chairperson of the college/library committee, and the dean. In cases where the recommendations are consistent at the previous levels, but the Provost intends to disagree, he/she shall consult, as above, with those who made the recommendations.

**305.16.3.2 Notice of Decision.** The Provost and Vice President for Academic Affairs notifies the candidate of his/her recommendation. The candidate's dean, college/library committee, department chairperson, and department committee are also informed of this recommendation. Positive recommendations are forwarded to the University President.

**305.16.3.3 Negative Recommendation.** If the recommendation from the Provost and Vice President for Academic Affairs is negative, candidates may elect to a) terminate the review process, or b) formally appeal negative recommendations to the University Promotions and Tenure Oversight Committee. In choosing to terminate the process, a candidate for tenure also withdraws from consideration for further regular faculty appointment at Indiana State University beyond one (1) academic year following the year of the process. A tenured candidate for promotion who terminates the promotion review process may later apply for promotion without prejudice.

**305.16.4 Review by President and Board of Trustees.** The Provost and Vice President for Academic Affairs forwards recommendations to the University President. The University President makes recommendations for promotion and tenure to the ISU Board of Trustees in time for consideration at its May meeting.

## 305.17 Appeals

Recommendations of non-renewal during the probationary period and denials of promotion and tenure may be appealed to the University Promotions and Tenure Oversight Committee, the formal hearing body for such appeals. Appeals may be made only on the basis of a) inadequate consideration of the submitted materials bearing on the relevant performance of the candidate as stipulated in the prescribed criteria and standards of performance; b) inadequate consideration given to the department's recommendation; or c) violations of academic freedom.

**305.17.1 Burden of Proof for Appeal.** It is the candidate's responsibility to provide evidence that documents the basis for the appeal. The Committee reviews the entirety of the candidate's faculty evaluation file. The appeal shall be filed with the chairperson of the University Promotions and Tenure Oversight Committee within fifteen (15) days of the Provost's recommendation.

**305.17.2 Standard of Review.** In appeals alleging inadequate consideration, the Committee shall not substitute its own assessment of academic discipline-specific faculty achievements for that of the department in determining whether or not to recommend the promotion or tenure of a faculty member.

**305.17.3 Hearing.** If the University Promotion and Tenure Oversight Committee determines that the appeal warrants a hearing, it shall conduct one. The burden of proof rests upon the appellant.

**305.17.4 Report of Findings.** The Committee shall report its findings, conclusions, and recommendation for or against reappointment, promotion and/or an award of tenure to the candidate through the Provost and Vice President for Academic Affairs, who forwards the Committee's findings and recommendation together with his/her own recommendation to the University President.

**305.17.4.1 Negative Recommendation.** If the Committee's recommendation is negative, the candidate may elect to a) terminate the appeal process, or b) prepare a written response, which is forwarded with his/her materials to the University President. In choosing to terminate the process, except in cases of early consideration, a candidate for tenure also withdraws from consideration for further tenured or tenure-track faculty appointment at Indiana State University beyond one (1) academic year following the year of the process. A tenured candidate for promotion who terminates the appeal process may later apply for promotion without prejudice.

**305.17.5 Continuation of Appeal Process.** Upon notice from the candidate of a decision to continue the appeal process, the Provost and Vice President for Academic Affairs shall forward

the Committee's findings, conclusions and recommendation together with his/her own recommendation to the University President. The University President shall confer informally with the Committee before making his/her recommendation.

**305.17.6 Recommendation by President.** After the findings, conclusions, and recommendation from the University Promotions and Tenure Oversight Committee have been forwarded to the University President, and the University President confers with the Committee and makes his/her recommendation, the appeal process is completed.

**305.17.7 Decision by ISU Board of Trustees.** The University President conveys his/her recommendation together with the recommendations from the department level review, from the school/college/library level review, from the University Promotions and Tenure Oversight Committee, and from the Provost and Vice President for Academic Affairs to the ISU Board of Trustees, which makes the final decision regarding promotions and the awarding of tenure.

### **305.18 University Promotions and Tenure Oversight Committee**

**305.18.1 Functions.** The University Promotions and Tenure Oversight Committee reviews the established criteria and performance standards and processes of the departments, the schools, the college, and the library at least every five years. A report of each review will be provided to the Executive Committee of the Faculty Senate, the Provost, the respective Dean, College, department/school and chair. The purpose of such reviews is to promote continuous improvement in the review process and to advise on the relative effectiveness of the unit's guidelines and practices in supporting faculty achievements.

The functions of the University Promotions and Tenure Oversight Committee include but are not limited to the following:

- a) Maintain guidelines for the documentation of achievements for promotion and tenure.
- b) Promote continuous improvement in the review and appeal processes.
- c) Promote consistency in the promotion and tenure review processes across academic units and assure criteria and performance standards are consistent with University policies and procedures relative to the awarding of academic rank and tenure, while also insuring flexibility necessary to meet differing disciplinary and unit missions.
- d) Serve as a resource for faculty and administrators who make tenure and promotion recommendations and for faculty at large.
- e) Hear appeals of recommendations for (i) non-renewal of Tenure-Track Faculty during the probationary period, (ii) non-continuation of Instructors or Senior Instructors during an appointment period, (iii) negative promotion and tenure, or promotion to Senior Instructor decisions based on inadequate consideration or violations of academic freedom, and (iv) ineligibility of reappointment at the end of an appointment period. Recommendations of non-reappointment received at the end of an Instructor's or Senior Instructor's appointment period – whether eligible for reappointment or not – are not subject to appeal.

**305.18.2 Subject to Senate Authority.** The activities and products of the University Promotions and Tenure Oversight Committee are subject to the University Faculty Senate's primary authority to formulate policy and procedures governing faculty appointment and awards of academic rank and tenure. Proposals for changing faculty appointment, promotion and tenure policies and procedures shall be submitted to the University Faculty Affairs Committee of the University Faculty Senate.

**305.18.3 Composition.** The members of the University Promotions and Tenure Oversight Committee shall be selected (and may be discharged) by the Executive Committee and



confirmed by the University Faculty Senate to staggered three-year terms to represent the academic Colleges (except the College of Graduate and Professional Studies and the University College) and the library, with three (3) members appointed from the College of Arts and Sciences, two (2) members from the College of Health and Human Services, and one (1) from each of the other Colleges and the Library an additional member shall be appointed from among the member of the Faculty Affairs Committee for a term of one year and that member shall serve as Chair of this Committee. Only tenured faculty members are eligible to serve.

**305.18.4 Appeals of Denial of Promotion and Tenure.** Denials of promotion and tenure may be appealed to the University Promotions and Tenure Oversight Committee, the formal hearing body for such appeals. Appeals may be made only on the basis of

- a) inadequate consideration of the submitted materials bearing on the relevant performance of the candidate;
- b) inadequate consideration given to the department's recommendation; or
- c) violations of academic freedom.

## **305.19 Policies and Procedures for the Evaluation, Renewal, and Promotion of Instructors**

### **305.19.1 Policies for the Evaluation, Renewal and Promotion of Instructors.**

**305.19.1.1 Criteria and Responsibility for Evaluation.** Each department and the college shall maintain established criteria and standards for satisfactory performance by Instructors and ensure that the criteria and standards are easily accessible to Instructors. The Instructor's departmental colleagues shall have primary authority and responsibility for assessing academic discipline-specific performance.

**305.19.1.2 Peer Review Committees.** Each department shall elect a peer review committee of regular faculty members, including at least one tenured member and one Instructor (where appropriate), to evaluate the performance of Instructors. Chairpersons and deans shall not serve on these committees. It is the Instructor's responsibility to present to reviewing bodies evidence of satisfactory performance in the specified areas of responsibility in accordance with the established criteria and standards.

**305.19.1.3 Possible Outcome of Annual Review.** During an appointment period (e.g., years 1 and 2 of a 3-year appointment), annual reviews result in a recommendation for continuation, conditional continuation, or termination for failure to demonstrate satisfactory performance. In the last year of an appointment period, annual reviews result in a determination of eligibility or ineligibility for reappointment that is separate from a decision to renew the appointment. Eligibility or ineligibility for reappointment will be based on evaluations of satisfactory versus unsatisfactory performance. Recommendations for renewal of an appointment may be based on performance criteria as well as the mission and needs of the department and/or availability of resources to support the reappointment.

**305.19.1.3.1 Special Case of Non-reappointment.** Instructors who are determined eligible for reappointment but whose appointments are not renewed may apply for lecturer or instructor positions for subsequent terms. An instructor who is ineligible for reappointment or whose appointment has been terminated shall be precluded from upcoming appointments in the reviewing department for a period of no less than one year.

**305.19.1.4 Promotion and Renewal are Separate Decisions.** The renewal of an instructor and the promotion of an instructor are separate decisions.

## **305.19.2 Procedures for Annual Review and Promotion of Instructors.**

**305.19.2.1 Review Calendar.** The annual review of Instructors during an initial appointment will follow the due dates established for Regular Faculty in their first year, second, and third year, consecutively. If reappointed to any subsequent and consecutive three-year appointment, Instructors will follow the due dates established for Regular Faculty in their fourth, fifth, and sixth year, consecutively. Senior Instructors and Instructors reappointed after a sixth consecutive year will submit materials as part of the biennial review process.

**305.19.2.2 Promotion to Senior Instructor.** Instructors who have completed five or more years may submit materials for promotion to the rank of Senior Instructor following the calendar, rights, roles, procedures, and appeals for promotion of tenure-track faculty specified above except where specified here.

**305.19.2.2.1 Denial of Promotion** An instructor denied promotion to senior instructor will remain eligible for a continued appointment as an instructor.

**305.19.2.2.2 Peer Review Committees** Each department shall elect a peer review committee of regular faculty members, including at least one tenured member and one Senior Instructor (where appropriate), to evaluate the performance of Instructors seeking promotion to Senior Instructor. Chairpersons and deans shall not serve on these committees. It is the Instructor's responsibility to present to reviewing bodies evidence of satisfactory performance in the specified areas of responsibility in accordance with the established criteria and standards. [3](#)

**305.19.2.3 Review by Department.** Instructors submit to their department a portfolio documenting their performance in their areas of responsibility. The portfolio is reviewed independently by the department committee and chairperson. Each makes a separate recommendation, applying the established department criteria and performance standards, and taking into account the terms and conditions of the appointment and comments generated during previous annual reviews. Candidates are notified of these recommendations and their rationales in accordance with the annual calendar of due dates published by the Academic Affairs.

**305.19.2.4 Right of Rebuttal** Without regard to the summative recommendation, at each level of recommendation (department, college, and, where appropriate the level required by accreditation), the faculty member shall be offered the opportunity to produce a written response to the recommendation(s) made at that level. The faculty member has five working days to produce that document before it passes to the next level as part of the faculty evaluation file. No other participant in the review process has this right of rebuttal.

**305.19.2.4.1 Positive Recommendations.** If department level recommendations are positive, the instructor's portfolio and the recommendations are forwarded to the appropriate Dean for consideration.

**305.19.2.4.2 Cases of any Negative Recommendations.** If one or both of the department-level recommendations are negative, instructors may choose to 1) terminate the process; or b) prepare a response within five (5) working days, which is included in the faculty evaluation file and forwarded to the next level of review. In choosing to terminate the process an instructor withdraws from consideration for further regular faculty appointment for a period of at least one year in the reviewing department at Indiana State University.

**305.19.2.5 Review by College.** At least in their third and sixth years, Instructors' evaluation file is reviewed by their college/library peer review committees prior to and

independent from the annual review of the file by the Dean. The separate College recommendations are based on the college's established criteria and performance standards. Neither the peer review committee nor the dean shall substitute their assessments of academic discipline-specific faculty achievement for that of the department. Candidates are notified of the college/library peer review committee and dean's recommendations and rationales in accordance with the calendar of due dates published annually by Academic Affairs and the respective Colleges.

**305.19.2.5.1 Special Circumstance Requiring Additional Level**

**Review.** When required to satisfy accreditation or equivalent professional standards, an additional level of review, prior to the college level review, may be conducted and the form amended to include the additional review.

**305.19.2.5.2 Positive Recommendations.** If both recommendations are positive, they are forwarded with the candidate's materials to the Provost and Vice President for Academic Affairs.

**305.19.2.5.3 Cases of any Negative Recommendations.** If one or both of the recommendations is negative, candidates may elect to a) terminate the review process, or b) prepare a written response within five (5) working days, which is included in the faculty evaluation file and forwarded to the next level of review. A copy of the written response is also forwarded to the candidate's department committee and chairperson. In choosing to terminate the process, the instructor also withdraws from consideration for further regular faculty appointment for a period of at least one year in the reviewing department at Indiana State University.

**305.19.2.6 Review by Provost and Vice President for Academic Affairs.** The Provost and Vice President for Academic Affairs reviews candidate faculty evaluation files, recommendations from the department and the College/library as well as the candidate's responses and makes a recommendation for continuation, conditional continuation (only in the first or second, fourth or fifth years), reappointment, or termination.

**305.19.2.6.1 Notice of Decision.** The Provost and Vice President for Academic Affairs notifies the Instructor of his/her recommendation. The candidate's dean, department chairperson, and department committee are also informed of this recommendation. Positive recommendations are forwarded to the University President.

**305.19.2.6.2 Negative Recommendation.** If the recommendation from the Provost and Vice President for Academic Affairs is termination of appointment, candidates may elect to a) terminate the review process, or b) formally appeal the recommendation to the University Promotions and Tenure Oversight committee. In choosing to terminate the process, an Instructor also withdraws from consideration for further regular faculty appointment for a period of at least one year in the reviewing department.

**305.19.2.7 Window for Promotion to Senior Instructor for Previous**

**Lecturers/Instructors.** During the 2016-2017 academic year, any Instructor who served as a full-time Lecturer and/or Instructor (using current definitions) for the five consecutive prior years or served a total of six years as a full-time Lecturer or Instructor (using current definitions) may apply for promotion to Senior Instructor following the calendar, rights, roles, procedures, and appeals for promotion of tenure-track faculty specified above except where specified here. Such promotion would be effective starting with the 2017-2018 academic year. This provision of the Handbook will be removed at the conclusion of the 2018 academic year. [4](#) [5](#)

**305.19.3 Notification.**

**305.19.3.1 Notice of Outcome in Writing.** Instructors shall be notified in writing of the outcome of their reviews. Evidence of unsatisfactory performance, insufficiency of evidence, and any other matter which might serve as a basis for termination shall be clearly specified in the notification.

**305.19.3.2 Instructors** shall be notified of the outcome of annual reviews by the date specified on the calendar of due dates published annually by Academic Affairs.

**305.19.3.3 Method of Notice of Continuation, Reappointment or Termination.** The notification of continuation or reappointment shall be by first class mail. Notification of termination shall be sent by certified mail with return receipt.

**305.19.4 Appeal.** Recommendations of termination during a period of appointment, of ineligibility for reappointment at the end of an appointment period, or denial of promotion to Senior Instructor may be appealed to the University Promotions and Tenure Oversight Committee. Recommendations of non-reappointment received at the end of an Instructor's or Senior Instructor's appointment period – whether eligible for future reappointment or not – are not subject to appeal. Appeals may be made only on the basis of

- a) inadequate consideration of the submitted materials bearing on the relevant performance of the candidate;
- b) inadequate consideration given to the department's recommendation; or
- c) violation of academic freedom.

**305.19.4.1 Appeal Process.** The Appeal process follows that outlined for Tenured and Tenure-track faculty.

## **305.20 Policies and Procedures for the Evaluation and Reappointment of Lecturers**

### **305.20.1 Policies for the Evaluation and Reappointment of Lecturers.**

**305.20.1.1 Evaluation.** Lecturers shall be evaluated once annually based on the department's established criteria and standards of performance and/or any specific terms or conditions of appointment. Evaluations shall ordinarily be limited to activities since the most recent review, but data from prior periods may also be considered (e.g., if current syllabi or teaching evaluations are unavailable, to determine whether behavior is indicative of a pattern or aberration, or to assess responsiveness to previous review comments).

**305.20.1.2 Criteria and Responsibility for Evaluation.** Each department and the college/library shall maintain established criteria and standards for satisfactory performance by Lecturers and ensure the criteria are accessible to Lecturers. The candidate's departmental colleagues shall have primary authority and responsibility for assessing academic discipline-specific performance.

**305.20.1.3 Peer Review Committees.** Each department shall elect a peer review committee of faculty members, including at least one tenured faculty member, and one Instructor, where appropriate, to evaluate the performance of Lecturers. Chairpersons and deans shall not serve on these committees. It is the Lecturer's responsibility to present to reviewing bodies evidence of satisfactory performance in the specified areas of responsibility.

**305.20.1.4 Possible Outcomes upon Review.** Lecturers whose performance is judged to be satisfactory are determined eligible for reappointment and may be recommended for continued teaching as need exists and resources are available.

## **305.20.2 Procedures for Annual Review of Lecturers.**

**305.20.2.1 Timing of Review.** Departments shall review all Lecturers within four weeks prior to the end of the last academic term of their appointment.

**305.20.2.2 Basis of Reviews.** Reviews shall consider available departmental and institutional data, including copies of syllabi, teaching evaluations, patterns of attendance and grade reporting, etc. (for teaching appointments) and other relevant data (for non-teaching appointments). Lecturers shall also be invited to submit a portfolio documenting achievements in their areas of responsibility.

### **305.20.2.3 Process of Departmental Review.**

**305.20.2.3.1 Recommendations.** The review committee and Department Chair shall reach independent judgments as to whether the lecturer is “eligible for reappointment” and should remain in the pool of possible lecturers for additional assignments (as needs and resources allow) or “ineligible for reappointment”. When required to satisfy accreditation or equivalent professional standards, an additional level of review, prior to the college level review, may be conducted and the form amended to include the additional review

**305.20.2.3.1.1 Consistent Recommendation.** If the two recommendations are consistent, they shall be forwarded to the Dean. In the event there is another level of review prior to College level, if all recommendations are consistent, they shall be forwarded to the Dean.

**305.20.2.3.1.2 Inconsistent Recommendation.** If the recommendations are inconsistent, the Department Chair and Review Committee will meet in an attempt to come to an agreement. If this does not yield a consistent recommendation, the matter shall be forwarded to the college dean for resolution. In the event there is another level of review prior to College level, if the recommendations are inconsistent they will meet in an attempt to come to an agreement. If this does not yield a consistent recommendation, the matter shall be forwarded to the college dean for resolution.

**305.20.2.4 College Level Process.** The College Dean shall be responsible for (a) oversight of the timing and process of reviews, (b) notification of recommendations, and (c) review of inconsistent recommendations.

**305.20.2.4.1 Consistent Recommendations.** If the Department’s recommendations are consistent, the Lecturer shall be notified of their eligibility/ineligibility for future appointment and provided a copy of the comments from the Departmental reviews. Copies shall also be forwarded to the Provost and Vice President for Academic Affairs for inclusion in the Lecturer’s official personnel file.

**305.20.2.4.2 Inconsistent Recommendations.** If the Department’s recommendations are inconsistent, the Dean or an appropriate designee shall review the divergent recommendations made by the Department Committee and Chairperson, the supporting documentation/evidence for their statements, and the established Departmental standards. The Dean or designee shall make the final determination of eligibility/ineligibility for reappointment. Notification of the final recommendation shall include both the Department’s and the Dean’s / Designee’s comments and be sent to the lecturer and to the Provost and Vice President for Academic Affairs for inclusion in the Lecturer’s official personnel file.

**305.20.2.4.3 Timing of Notification.** Notifications of Lecturers under this policy shall be completed no later than two weeks after the conclusion of the last academic term of their appointment.

## Interpretations

*Policy 399.1 Interpretation* provides that all questions regarding material in Policies 300-399 are to be directed to the Faculty Senate Chairperson. The Faculty Senate Chairperson shall consult with the Senate officers and Provost. The agreed-upon interpretations shall be communicated to the person or body seeking the interpretation. Listed below are agreed-upon interpretations of Handbook Policies.

### **1 May pre-tenure faculty and Instructors evaluate Assistant Professors in years 1-5?**

The officers and provost agree they may not. [Agreed-upon interpretation issued November 2, 2016.]

### **2 Can faculty member rebut only once at the department level or may they rebut at each level of review (both the Department Faculty Affairs Committee level and the Department Chairperson level)? The same questions apply at the College level (College FAC level and College Dean level).**

The officers and provost agree that a rebuttal or written response is appropriate at each or any of the “levels”. The officers and the provost agree that the department counts as one level and the college counts as a second level. In certain cases, i.e. for accreditation standards, a third level may exist. Practically, this means that a faculty member has the right to one written response at each level—in most cases, this would be a maximum of two (department and college); in certain cases this could mean three (plus the accreditation level). [Agreed-upon interpretation issued November 2, 2016.]

### **3 Are Instructors allowed to serve on Senior Instructor reviews? It would seem that they can. However, it is not specified clearly.**

The officers and provost agreed that instructors should not serve on a Senior Instructor review. [Agreed-upon interpretation issued November 2, 2016.]

### **4 I want to be certain that Instructors eligible for promotion under the grandfather clause do not have to undergo both promotion and annual review. I was asked by two of our instructors if they should submit both promotion and their actual year, in case the promotion decision is negative. I believe they should submit only for promotion and that the decision can be promote and reappoint, do not promote and reappoint, or do not promote and do not reappoint for them as it can be for those seeking promotion in the ordinary year... I believe the HB supports this (305.11.1.4, “The renewal of an instructor and the promotion of an instructor are separate decisions” and “An instructor denied promotion to senior instructor will remain eligible for a continued appointment as an instructor.” (305.11.2.2.1).**

The officers and the provost agree that instructors should not have to submit for both. The provost clarifies that the review is not “to reappoint” but rather to determine if the instructor is eligible to be reappointed. [Agreed-upon interpretation issued November 2, 2016.]

### **5 Will the option to apply for Senior Instructor to include any previous time served as a full-time lecturer and/or instructor be available next year also? It was my understanding that this was available for the 2016-2017 academic year only, but the language causes one to question as it states that the provision will be removed at the conclusion of the 2018 academic year. This would be at the end of the 2017-2018 AY. After this year has passed, must the individual be in the sixth continuous year of service as an instructor, or be in the sixth year of service as an instructor. The University Policy Library does not use the word continuous.**

The officers and provost agree that for this academic year, Section 305.11.2.7, which creates a “Window” for promotion, will be in force. This language will disappear at the conclusion of the

2018 academic year. Next academic year, the relevant language will be 305.11.2.2, which allows instructors who have completed five or more years to apply. The officers and provost agree this service does not have to be consecutive, but it does have to be at the instructor rank. [Agreed-upon interpretation issued November 2, 2016.]

**6 Should we assume that the one Instructor could be a Senior Instructor?**

The officers and provost agreed that an Instructor could be a Senior Instructor. [Agreed-upon interpretation issued November 2, 2016.]