

# Dixie State University Policy

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## 641 Faculty Retention, Tenure, and Promotion



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### I. Purpose

- 1.1 The highest priority for the Division of Academic Affairs in achieving academic excellence is the recruitment and appointment of talented faculty and their retention through a comprehensive and supportive professional learning environment and related evaluation process. The prime objective and theme of the faculty evaluation process is therefore to serve as feedback for professional growth.

### II. Scope

- 2.1 All full-time faculty and reviewers of candidates who submit a review under this policy.
- 2.2 Faculty hired following the July 1, 2020 effective date will adhere to the requirements of this revised policy. Faculty with full-time appointments prior to July 1, 2020 will adhere to the guidelines of the previous policy for their next review. Subsequent reviews will be in accordance to this revised policy.

### III. Definitions

- 3.1 ***Annual Faculty Activity Plan (AFAP)***: The AFAP is a document developed by faculty in conjunction with academic leadership to describe the planned activities for the subsequent year in the areas of student learning and success, scholarly and creative activities, and service and to establish a plan for professional growth. These activities should align with the Faculty Performance Standards defined in this policy and advance professional growth and learning. The AFAP should also include any unique responsibilities or

expectations that were described in the published position announcement.

- 3.2 **Candidate:** A full-time employee with a faculty appointment who submits a portfolio for review under this policy.
- 3.3 **Clinical-Track Faculty:** Full-time faculty who are in the Clinical-Track as defined in Policy 631: Faculty Categories.
- 3.4 **College:** A college within the University is usually organized under a dean. However, in this policy, a **College Faculty Review Committee** refers to faculty members who have been grouped together for the purposes of voting on faculty review matters. Colleges under deans may be subdivided as provided in this policy, but in no case will faculty members in a department be assigned to separate Colleges. Faculty members without appointment in an academic department will be assigned a College for the purpose of faculty reviews, and reasonable effort will be made to continue that assignment throughout the faculty member's appointment.
- 3.5 **Day:** Within this policy, "day" refers "business day." A day is when the University is open for business, excluding weekends and holidays.
- 3.6 **Deadlines:** If a deadline included in this policy falls on a non-business day, the deadline will be changed to the next business day.
- 3.7 **Dean's Letter:** The Dean's Letter is an evaluation by the faculty member's dean or designee as to how the faculty member is progressing in the quality and fulfillment of their AFAP, as well as other activities, duties, and responsibilities relevant to the review process.
- 3.8 **Faculty:** For the purposes of this policy, faculty is a full-time employee with any type of faculty status as defined in Policy 631: Faculty Categories.
- 3.9 **Faculty Mentorship:** Faculty Mentorship consists of a faculty member assigned to provide guidance to newly hired faculty.
- 3.10 **Faculty Performance Standards:** A set of established performance standards related to student learning and success, scholarly and creative activities, and service. (See Addendum 7.1 Faculty Performance Standards).
- 3.11 **Non-Compliance:** Failure to submit a portfolio for an Intermediate or Tenure Review according to the schedule outlined in this policy.
- 3.12 **Peer Exchange:** Peer exchanges are collegial exchanges between faculty members of ideas and constructive discussion about teaching and learning.

- 3.13 **Portfolio:** A faculty maintained electronic repository for all materials required for review.
- 3.14 **Post-Tenure:** Faculty members who have completed the probationary period and have been awarded tenure.
- 3.15 **Probation:** A six (6)-year period of probationary employment required for Tenure-Track faculty in accordance with the Utah Board of Regents policy R481: Academic Freedom, Professional Responsibility, Tenure, Termination, DSU Policy 642 Post-Tenure Review, and DSU Policy 371: Faculty Termination.
- 3.16 **Professional Improvement Plan:** A Professional Improvement Plan outlines the areas for improvement over the next academic year and is approved by the Provost/VPAA.
- 3.17 **Professional-Track Faculty:** Full-time faculty who are in the Professional-Track as defined in Policy 631: Faculty Categories.
- 3.18 **Promotion/Rank Advancement:** Promotion in faculty rank is the acknowledgement by the institution of excellence in performance of student learning and success, scholarly and creative activities, and service as appropriate to the faculty member's AFAP.
- 3.19 **Rank:** Academic ranks as outlined in Policy 631: Faculty Categories
- 3.20 **Retention:** A probationary faculty member is retained when s/he is offered employment for the following academic year, either through direct reappointment or in the absence of non-reappointment.
- 3.21 **Review:** A faculty review is the process of peer and administrator examination of a faculty member's portfolio for the purpose of appraising the faculty member's performance in his/her duties and responsibilities as outlined in the faculty member's AFAP, DSU Policy 633: Faculty Rights and Responsibilities, and other applicable University policies.
- 3.22 **Self-Evaluation:** A document faculty submit to their department chair and subsequently forwarded to their college dean; identifying their accomplishments or deviations from that year's AFAP; also identifying their strengths, ambitions, and challenges as instructors, and requesting the department chair's support in addressing those challenges and ambitions.
- 3.23 **Student Surveys:** A survey completed by currently enrolled students about the class and instructor.

- 3.24 ***Supervisor Evaluation:*** The department chair, dean, or supervisor will visit a class session of the faculty member and complete an evaluation form on the faculty member's instruction.
- 3.25 ***Tenure:*** Tenure-Track faculty who demonstrate excellence in student learning and success, scholarly and creative activities, and service can be awarded tenure after a successful Tenure Review at the end of probation. Granting tenure after probation acknowledges that faculty members are especially valued by the institution, are competent in their disciplines, and are capable of continued excellence in student learning and success, scholarly and creative activities, and service as appropriate to their AFAPs. Tenured faculty have specific rights and responsibilities regarding institutional and faculty governance. Because granting tenure is regarded as the University's most critical personnel decision, it is imperative that a thorough, responsible screening be part of the tenure-granting process. Tenured faculty may apply for promotion and are required to submit portfolios for Post-Tenure Reviews as scheduled. Tenured faculty members who receive favorable Post-Tenure Reviews are eligible for salary increases as outlined in DSU Policy 341: Faculty Salaries.
- 3.26 ***Tenure-Track Faculty:*** Full-time faculty who are on the Tenure-Track as defined in Policy 631: Faculty Categories.
- 3.27 ***Terminal Degree:*** The level of and/or specific academic degree required for tenure as well as for various academic appointments at DSU. Academic disciplines may have specific standards listed in Addendum 7.10 Terminal Degrees by Discipline, in this policy.
- 3.27.1 Utah Board of Regents Policy R312 includes the following for Regional Universities: Regular full-time tenure-track faculty will have earned or be working toward the appropriate terminal degree for their field and specialty. Faculty in career and technical education or professional fields also will have practical, related work experience.

#### IV. Policy

- 4.1 Dixie State University (DSU) has adopted and is committed to fully developing the teacher-scholar model (TSM) for faculty life. While the highest priority for all faculty is promoting effective, efficient, and engaging student learning, scholarship and creative activity are highly valued as intellectual pursuits that inform and elevate teaching and student learning.
- 4.2 All faculty who request reappointment, tenure, or promotion in rank shall be

evaluated based on their strengths and weaknesses relative to the Faculty Performance Standards.

- 4.3 Decisions regarding retention, tenure, and promotion in rank are among the most important made by the university. These decisions must be clear, fair, and unbiased at all levels of review. Faculty achievements may vary among colleagues and still meet the standards for retention, tenure, and promotion in rank.
- 4.4 Faculty professional growth and learning are the DSU academic culture and provide the framework for the organization and expectations of this retention, tenure and promotion (RTP) policy.
- 4.5 Faculty members are expected to demonstrate and emphasize the quality of their achievements and the impact of their activities on student learning and success during the review period.
- 4.6 Initial Tenure-Track Announcement:
  - 4.6.1 Academic departments will determine the following:
    - 4.6.1.1 Appropriate terminal degree for Tenure-Track Faculty within each department discipline and/or sub-discipline according to accreditation standards
    - 4.6.1.2 Prior teaching experience or preparation for teaching in the discipline
    - 4.6.1.3 Starting rank for the position
    - 4.6.1.4 Any other unique responsibilities and expectations for the position and provide the framework for subsequent faculty evaluations that may exist beyond the expectations outlined here.
  - 4.6.2 These determinations must be approved by the dean and Provost/VPAA.
- 4.7 Initial Faculty Appointment: Based on the posted announcement and documented prior experience, a new faculty member may be appointed at the highest rank listed in the job announcement. A number of factors may be used in consideration of appointment at higher rank, including the relevance and quality of prior experience. Rank cannot be negotiated after the faculty member's appointment. Appointment at higher rank must be approved in writing by the dean, the Provost/VPAA, and the President. Appointment at a

higher rank has no bearing on a faculty member's probationary period.

- 4.8 Faculty Mentorship: Each new faculty member shall be assigned a current faculty member approved by the department chair and/or dean to be their peer mentor/coach.

#### 4.9 Probationary Faculty

- 4.9.1 All full-time faculty will begin employment at DSU on probation. Scheduled evaluations and reviews during the probationary period evaluate performance and provide constructive feedback as faculty progress. At any time the contracts of faculty members on probation who do not meet the standards of the department or the expectations of the institution may be subject to non-renewal in accordance with the Utah Board of Regents policy R481: Academic Freedom, Professional Responsibility, Tenure, Termination, and Post-Tenure Review, and DSU Policy 371: Faculty Termination. Faculty members on probation are at-will employees.
- 4.9.2 The University is permitted, within the limits of DSU policy, academic freedom, statutory law, and constitutional law, the utmost discretion in determining who will be retained for tenure.
- 4.9.3 Serving as a department chair or other administrative position during probation has no impact on the length of the probationary period.
- 4.9.4 A faculty member on probation who accepts a full-time administrative position relinquishes his/her faculty status, with the exception that she/he may negotiate to have prior years of faculty service counted toward tenure status and rank advancement if she/he accepts a faculty position immediately after serving in the full-time administrative position.
- 4.9.5 No credit toward tenure or rank advancement can be awarded for prior term appointments or non-full time positions at DSU or other institutions.
- 4.9.6 Certain situations such as family medical leave or military duty may merit temporary suspension of the probationary period. The faculty member must make a written request for approval of the suspension to the chair, the dean and the Provost/VPAA. Periods of duty spent off campus or on scholarly activity or educational leave are counted as part of the probationary period unless other written agreement is made.



4.9.7 In exceptional circumstances and solely at the discretion of the University, a new faculty member who has met annual DSU faculty performance standards in rank in a prior tenure-track position at a regionally accredited university may be awarded a reduction in the probationary period with the written approval of the Dean and the Provost/VPAA.

4.9.7.1 A one to two year reduction is allowed based on the amount and quality of documented previous tenure track experience. The maximum two year credit allows an experienced, exemplary faculty member to undergo the required Intermediate Review in the second as opposed to third year and the required Tenure Review in the fourth rather than the sixth year. Any exception made in extraordinary circumstances must be approved in writing by the Dean and the Provost/VPAA.

4.9.7.2 Within the first two years of initial appointment, a newly hired faculty member may request an additional review of qualifications and experience prior to appointment. The Dean and Provost/VPAA will complete the review. A reduced probationary period may be awarded.

#### 4.10 Rank Advancements

4.10.1 Tenure-Track faculty may be eligible to apply for promotion during the Tenure Review and each sequential sixth year of full-time Tenure-Track employment after the last promotion. Length of service alone should not create an expectation of promotion. Professional-Track faculty and Clinical-Track faculty apply for retention and promotion in the sixth year of full-time faculty employment, and each sequential sixth year after the last review until highest rank is achieved and then are required to apply for retention review each sequential sixth year after the last review, as outlined in Policy 631: Faculty Categories.

4.10.2 In exceptional circumstances and solely at the discretion of the University, a new faculty member who has met annual DSU faculty performance standards in rank in a prior tenure-track position at a regionally accredited university may be awarded a reduction in the time period before they qualify for rank advancement with the written approval of the Dean and the Provost/VPAA.

- 4.10.3 A one to two year reduction is allowed based on the amount and quality of documented previous experience. The maximum two year credit allows an experienced, exemplary faculty member to undergo the Rank Advancement Review in the fourth rather than the sixth year. Any exception made in extraordinary circumstances must be approved in writing by the Dean and the Provost/VPAA.
- 4.10.3.1 Within the first year of appointment, a newly hired faculty member may request an additional review of qualifications and experience that were obtained prior to appointment. The Dean and Provost/VPAA will complete the review. A reduced period may be awarded.
- 4.10.4 A post-tenure faculty member with rank in a DSU academic department who accepts appointment as a dean or other full-time administrative position retains faculty status, rank, and tenure during his/her administrative appointment, but is not considered to have a current faculty appointment. Years served as a dean or other full-time administrative position can accrue toward rank advancement as applicable, although application for such advancement may not be submitted while the individual is serving in a non-faculty appointment. Post-tenure reviews are not required while a faculty member serves as a dean or in another full-time administrative position. (See DSU Policy 642: Post-Tenure Review and 661: Academic Structure.)
- 4.11 A faculty member who is non-compliant with the review process as outlined is subject to corrective and/or disciplinary actions up to and including non-reappointment or termination in accordance with DSU Policy 371: Faculty Termination and 372: Corrective and Disciplinary Action.
- 4.12 Types of Evaluations
- 4.12.1 Student Surveys: Students who are currently enrolled in a credit-bearing class will complete a written evaluation of their class and instructor.
- 4.12.2 Self-Evaluation: Full-time faculty will write a memorandum to their department chair, which is forwarded to his or her college dean, identifying their strengths, ambitions, and challenges as instructors, and requesting the department chair's support in addressing those challenges and ambitions.
- 4.12.3 Supervisor Evaluation: The department chair, dean, or supervisor will visit a class session of the faculty member and fill out an evaluation



form, which will be delivered to the faculty member. A faculty member's signature on the form does not mean the faculty member agrees with the evaluation; the signature just confirms the faculty member has seen the evaluation form. The supervisor may review the faculty member's portfolio, the results of recent student surveys, self-evaluation, and peer exchange within the past academic year.

- 4.12.4 Peer Exchange: Peer exchanges are designed to promote collegial exchange of ideas and constructive discussion about instruction between faculty members. Faculty members will identify one peer and this peer will visit one of the faculty member's class sessions and fill out a form, which will be delivered to the faculty member.

#### 4.13 Review Criteria

- 4.13.1 Tenure-Track Faculty are reviewed based on criteria for student learning and success, scholarly and creative activities, and service. All faculty members are required to satisfactorily perform the duties and responsibilities detailed in the faculty member's AFAP in fulfillment of the University's mission. All members of the faculty are expected to perform their duties in accordance with DSU Policy 633: Faculty Rights and Responsibilities, including statements on ethics and responsible conduct. Documentation must be provided to substantiate the portfolio and allow review based on applicable criteria. Reviews involve both quantitative and qualitative information. Portfolios are evaluated on a case by case basis. (See Addendum Faculty Performance Standards)
- 4.13.2 Standard criteria are applied as appropriate to the candidate's AFAP and those criteria may be altered as needed based on a candidate's duties as listed in their AFAP for each year under review. Candidates are not necessarily reviewed on the same criteria, and criteria are not weighted equally.
- 4.13.3 In addition to institutional recommended general activity (See Faculty Performance Standards Addendum), Departments and/or Colleges will develop unambiguous standards and discipline-specific criteria that the faculty member must achieve in the areas of student learning and success, scholarly and creative activities, and service.
  - 4.13.3.1 These standards and criteria should reflect the mission, values and priorities of the department, college, and university and should be differentiated for the various faculty ranks.

4.13.3.2 Such departmental criteria must be approved by a majority of the full-time faculty in the organizational unit, must be submitted to Academic Council for approval, and must be linked from this policy as addenda before implementation.

4.13.4 Intermediate and Tenure Reviews are based on the cumulative work of a faculty member during the probationary period, including any years brought towards tenure and promotion. Promotion review focuses on the faculty member's accomplishments since his/her last promotion.

#### 4.14 Faculty Portfolios

4.14.1 The University requires that all documentation regarding and in support of a candidate's review portfolio be housed in the specified electronic system. All full-time employees with faculty appointments are required to maintain a current portfolio in the electronic portfolio system.

4.14.1.1 Reviews are based primarily on a faculty member's performance and activities in the period since the last review. The portfolio should include documentation of all aspects of a faculty member's assignment as detailed in the annual AFAP.

4.14.1.2 Only student learning and success, scholarly and creative activities, and service accomplished after the initial faculty appointment at DSU should be included in the portfolio except for the following two conditions:

4.14.1.2.1 If years toward tenure and/or rank promotion are granted then activities completed during that time should also be included in the portfolio.

4.14.1.2.2 Any information included in the portfolio from before the initial faculty appointment at DSU can only be considered for context related to material under consideration and should be noted as such.

4.14.2 Before undergoing a review, the candidate is responsible to ensure that his/her electronic portfolio includes the following:

4.14.2.1 Human Resources form indicating eligibility, terminal rank in discipline, and faculty member's educational attainment.

- 4.14.2.2 Curriculum Vitae for the period under review with activities and documentation that supports the University's criteria for review of portfolios.
- 4.14.2.3 AFAP documents for all years under review
- 4.14.2.4 Required evaluations for the specific type of review
  - 4.14.2.4.1 Student surveys
  - 4.14.2.4.2 Self-evaluations
  - 4.14.2.4.3 Supervisor evaluations
  - 4.14.2.4.4 Peer-exchanges
- 4.14.2.5 Evidence to support student learning and success, as appropriate to their AFAP (See addenda 7.1 Faculty Performance Standards).
- 4.14.2.6 Evidence of scholarship and creative activities, as appropriate to their AFAP (See addenda 7.1 Faculty Performance Standards).
- 4.14.2.7 Evidence to support service, as appropriate to the AFAP (See addenda 7.1 Faculty Performance Standards).
- 4.14.2.8 Written results of all previous portfolio reviews, including letters and/or reports issued by the College Faculty Review Committee, University Faculty Review Committee, Dean, and Provost/VPAA. All documentation in this category should be maintained throughout the faculty member's employment at the University and may not be removed as outdated.
- 4.14.2.9 Letters to include the Dean Letter and/or reports from the College Faculty Review Committee, University Faculty Review Committee, and Provost/VPAA received throughout the current review process must be added to the portfolio before the next level of review can commence.
- 4.14.2.10 It is the responsibility of the faculty member to ensure that all required evaluations outlined in the addendum Faculty Portfolio Checklist are included in the portfolio.
- 4.14.2.11 Other documentation as determined to be needed including:

- 4.14.2.11.1 Post-award reports for professional development , scholarship, and/or creative activities.
- 4.14.2.11.2 General letters of support or recommendation as desired.
- 4.14.2.11.3 Copy of Professional Improvement Plan, if one has been implemented.

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

Level of Review	Documents Required Before Review
College Faculty Review Committee and Dean's Letter	<ol style="list-style-type: none"> <li>1. Letter from the candidate to chair of College Faculty Review Committee.</li> <li>2. Human Resources document that indicates eligibility, terminal rank in discipline, faculty member's educational attainment, etc.</li> </ol>
University Faculty Review Committee	<ol style="list-style-type: none"> <li>1. Dean's Letter</li> <li>2. Letter from College Faculty Review Committee to University Faculty Review Committee.</li> </ol>
Provost' Review	<ol style="list-style-type: none"> <li>1. Letter from University Faculty Review Committee to Provost/VPAA</li> </ol>

#### 4.15 Committees

4.15.1 Confidentiality: For the purposes of this policy, confidential information includes that which is not generally known to the public. The confidentiality of information related to the processes outlined in this policy is to be respected. The confidentiality extends indefinitely, not just during the review period. Members of all committees and others with access to this information participate in the process with the understanding that all matters related to faculty reviews, including deliberations and voting results, must remain confidential. The rule of confidentiality does not expire. Even after a review is completed, committee members are prohibited from discussing any actions, deliberations, and recommendations of the committee, or any information about candidates derived from the review process.

Individuals who violate this confidentiality will be considered in violation of DSU policy and may be subject to disciplinary action.

- 4.15.1.1 Candidates under review are discouraged from directly approaching committee members concerning disposition of their review beyond any supervisor and/or mentor relationship previously established between two members of the faculty. This does not preclude social, business, and casual interaction where the candidate's application and the process are not discussed. This does not prohibit a committee chair or administrator from requesting more information from a candidate when needed. Candidates may contact a Review Committee Chair for clarification purposes.
- 4.15.1.2 Notwithstanding the foregoing, DSU and all DSU employees must comply with all public records laws including the Utah Government Records Access and Management Act (GRAMA). See DSU Policy 152: Records Access and Management.

#### 4.15.2 College Faculty Review Committee

- 4.15.2.1 The College Faculty Review Committee is comprised of the faculty in the College(s), with the right to vote on a specific candidate's application determined by this policy.
  - 4.15.2.1.1 Any member of a College Faculty Review Committee has the right to access the electronic portfolio of a faculty member who has submitted an application to that committee and to participate in the review, regardless of voting rights, rank, or discipline. All faculty members eligible to participate in the review should have access to relevant portfolios through their office computers. Deans and the Provost/VPAA or their designee(s) have the right to review the electronic portfolio of any faculty member under their jurisdiction.
  - 4.15.2.1.2 The College Faculty Review Committee will deliberate and provide written recommendations regarding applications for Intermediate, Tenure, and Promotion reviews for all faculty assigned to that College Faculty Review Committee.

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

4.15.2.2.1 Organizational units may not create any review process or committee outside of those specifically designated by this policy although they are encouraged to foster mentorships and to develop and distribute specific departmental criteria to be applied by College and University Faculty Review committees. Any such specific criteria must be approved by Academic Council and included as an addendum to this policy.

4.15.2.2.2 The necessity may arise for the University to combine established committees to accommodate relevant variations in organizational composition such as a limited number of tenured faculty members (less than 3), absence of full professors, Equal Opportunity requirements, etc.

4.15.2.2.3 Within the membership of the College Faculty Review Committee, voting rights are dependent on an individual faculty member's status and rank except as limited by the single vote rule, which states that no individual may cast more than one vote on a candidate's application in the same academic year. Voting members of the University Faculty Review Committee should not cast votes in the College Faculty Review Committee although the non-voting chair of the University Faculty Review Committee is eligible to vote in his/her assigned College Faculty Review Committee. Votes should be based on comprehensive review of each candidate's portfolio and application of appropriate criteria. A quorum, consisting of two-thirds of the faculty members eligible to vote on a candidate's application, is required for all votes.

4.15.2.3 Intermediate Review: In each College Faculty Review Committee, all tenured faculty members, regardless of rank or discipline, are



eligible to participate in the Intermediate Review process. The College Faculty Review Committee must consist of at least three tenured faculty members or the Provost/VPAA shall appoint other faculty members to serve on the committee from within the same college.

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

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

4.15.2.5.1 University Professors, Professors, University Librarians, and Academic Librarians are eligible to vote on all candidates for promotion.

4.15.2.5.2 Associate Professors and Associate Librarians are eligible to vote on candidates applying for Associate Professor and Associate Librarian.

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

4.15.2.5.4 Promotion to University Professor is outlined in Policy 642: Post-Tenure Review.

4.15.2.6 The Chair of the College Faculty Review Committee must be a tenured faculty member. The Chair will be elected by all full-time Tenure-Track College faculty (as defined by the membership assigned to a specific College for the purposes of implementing

this policy) and will serve a three year term. A chair may be reelected and succeed him/herself in subsequent terms.

- 4.15.2.6.1 No faculty member scheduled for a mandatory review by the College Faculty Review Committee during the three-year term may be elected as chair. The chair may not submit an optional review to the College Faculty Review Committee during his/her period in office.
- 4.15.2.6.2 The College Faculty Review Committee Chair remains a voting member of the College Faculty Review Committee at the level indicated by his/her rank.
- 4.15.2.6.3 A faculty member scheduled for a Post-Tenure Review during his/her period in office is eligible to serve as chair of the College Faculty Review Committee.
- 4.15.2.6.4 The Chair of a College Faculty Review Committee may not simultaneously serve in any capacity on any other review committee or any appeals committee or hearing board that might be called upon to hear an appeal of a review process or outcome.
- 4.15.2.6.5 Deans and department chairs are not eligible to serve as Chair. Deans do not vote at any level of the faculty review process, and the department chairs retain voting rights appropriate to their rank and status when he or she does not write the Dean's Letter as the dean's designee.
- 4.15.2.6.6 The chair of the University Faculty Review Committee is responsible for ensuring that an election for a new College Faculty Review Committee chair is completed by March 15 in the last year of the College Faculty Review chair's term. If, by March 15 in the last year of a chair's term, a new chair has not been elected, the dean(s) of the affected College(s) will appoint an eligible faculty member chair to serve as chair for a one-year term.

#### 4.15.3 University Faculty Review Committee

- 4.15.3.1 The University Faculty Review Committee will deliberate and provide written recommendations regarding applications for Intermediate, Tenure, and Promotion reviews for all University

faculty. The Committee has the responsibility to recommend non-reappointment of a probationary faculty member who, in the judgment of the committee, has not made satisfactory progress toward tenure.

- 4.15.3.1.1 Based on comprehensive review of each candidate's portfolios and application of the appropriate criteria, all members of the University Faculty Review Committee are eligible to vote on all applications, regardless of rank.
- 4.15.3.1.2 A quorum of two-thirds of the voting members of the University Faculty Review Committee is required for each vote.
- 4.15.3.1.3 Deans and department chairs are not eligible to serve on the University Faculty Review Committee.
- 4.15.3.1.4 The single vote rule applies to voting members of the University Faculty Review Committee such that no individual may cast more than one vote on a candidate's application in the same academic year. Voting members of the University Faculty Review Committee should not cast votes in their College Faculty Review committees although they may participate in that review. The chair of the University Faculty Review Committee is eligible to vote in the College Faculty Review Committee of his/her appointment.
- 4.15.3.2 The University Faculty Review Committee will consist of a minimum of nine tenured faculty members, with a minimum rank of associate professor, elected from representative divisions of the faculty at large. Deans and department chairs may not serve on the University Faculty Review Committee during their appointment or assignment to administrative office. The members will serve staggered three-year terms.
- 4.15.3.2.1 The voting members of University Faculty Review Committee will be representative of all Colleges within the University. One-third of the committee members' terms will expire each year. Committee members may be reelected and succeed themselves as representatives.

- 4.15.3.2.2 The Faculty Senate is responsible for holding elections to populate the University Faculty Review Committee. If, at the end of an academic year (June 30), the Faculty Senate has not fully populated the University Faculty Review Committee, the Provost/VPAA and the deans will appoint an appropriate number of eligible representative faculty members to serve one-year terms on the committee.
- 4.15.3.2.3 No faculty member may simultaneously serve as chair of the College Faculty Review Committee and as a member or chair of the University Faculty Review Committee.
- 4.15.3.2.4 If requested by the chair of the University Faculty Review Committee, the Provost/VPAA will designate a mutually agreed-upon individual to serve as a non-voting secretary to the committee during that chair's term in office. The secretary can be either a faculty or staff member as requested by the chair. The secretary is under the same confidentiality restraints as all other committee members.
- 4.15.3.2.5 No faculty member scheduled for a mandatory review by the University Faculty Review Committee during his/her three-year term of office may be elected as a member of that committee. No faculty member may submit an optional review that will go to the University Faculty Review Committee during his/her period as a member or chair of that committee.
- 4.15.3.2.5.1 Faculty members scheduled for a Post-Tenure Review during that period are eligible to serve as members of the University Faculty Review Committee.
- 4.15.3.2.6 The Provost/VPAA and the Faculty Senate President will jointly designate a tenured professor to act as a non-voting chair of the University Faculty Review Committee for a three year period. Such appointment must be made by February 15 in the last year of the previous chair's term. An individual chair may not immediately succeed him/herself in the position of chair.

4.15.3.2.6.1 The chair of the University Faculty Review Committee may not simultaneously serve in any capacity on any other review committee or any appeals committee or hearing board that might be called upon to hear an appeal of a review process or outcome.

4.15.3.3 Department chairs, deans, and other University administrators may not attend meetings or participate in the deliberations of the University Faculty Review Committee except by specific invitation from the committee.

#### 4.16 Promotion Appeals Board

4.16.1 The Promotion Appeals Board will hear appeals of decisions made by the Provost/VPAA as needed. A probationary faculty member who receives a notice of non-appointment may not appeal any decision.

4.16.2 Composition and selection of members of the Promotion Appeals Board, as well as the procedures of that board, are detailed below.

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

##### 4.17.1 Feedback on Self-Evaluation

4.17.1.1 Department chairs will provide feedback, annually, on each faculty member's self-evaluation. This feedback will be documented in the faculty member's portfolio.

##### 4.17.2 Intermediate Review

4.17.2.1 The purpose of the Intermediate Review is to provide feedback and guidance to assist the faculty member in their progress toward post-tenure status.

4.17.2.2 Required of all Tenure-Track Faculty to take place in the fall semester of the third year of their probation. A faculty member may reduce this amount of time with the written approval of the Dean and the Provost/VPAA (See Section 4.4.6)

##### 4.17.3 Tenure Review

4.17.3.1 Required of all Tenure-Track Faculty to take place in the fall semester of the last year of their probation. Tenure, if approved, goes into effect at the onset of the following academic year (July 1).

#### 4.17.4 Promotion Reviews

4.17.4.1 Faculty members eligible for rank advancement may apply by undergoing a Promotion review simultaneously with the Tenure Review or every sixth fall semester since their last review until final available rank is attained. New rank, if approved, goes into effect at the onset of the following academic year (July 1).

4.17.5 Additional Reviews may be required as specified in a Professional Improvement Plan. Professional Improvement Plans are not required of all faculty members.

4.17.6 The Intermediate and Tenure Review are mandatory. A Tenure-Track Faculty who fails to submit a required letter and/or make a complete and current portfolio available for review according to the schedule listed in this policy will be considered in violation of this policy.

## V. References

- 5.1 DSU Policy 341: Faculty Salaries
- 5.2 DSU Policy 371: Faculty Termination
- 5.3 DSU Policy 372: Corrective and Disciplinary Action
- 5.4 DSU Policy 631: Faculty Categories
- 5.5 DSU Policy 633: Faculty Rights and Responsibilities
- 5.6 DSU Policy 642: Post-Tenure Review
- 5.7 DSU Policy 661: Academic Structure
- 5.8 Title VI, 42 U.S.C. § 2000d et seq.
- 5.9 Title VII of the Civil Rights Act of 1964
- 5.10 Utah Board of Regents Policy R312: Utah System of Higher Education and Institutional Missions and Roles



5.11 Utah Board of Regents Policy R481: Academic Freedom, Professional Responsibility, Tenure, Termination, and Post-Tenure Review

## VI. Procedures

### 6.1 AFAP:

6.1.1 Full-time faculty, in conjunction with his/her supervisor(s), will submit an AFAP to the Department Chair for review.

6.1.2 Subsequent to their review, the Department Chair submits the AFAP to the Dean for their review. Upon the Dean's approval, the AFAP is placed in the faculty member's digital portfolio. (AFAP template may be found in Addendum 7.1 Faculty Performance Standards)

### 6.2 Evaluation Schedule and Process

6.2.1 All full-time faculty will be evaluated on the following schedule and process:

#### 6.2.1.1 Full-time probationary faculty:

6.2.1.1.1 Student Surveys will be conducted in all courses every term the last two weeks of the semester before finals week. The faculty member responsible for the course will not administer the survey. Student evaluations will close before finals week. The faculty member will not see the results of the student survey until after final grades have been issued.

6.2.1.1.2 Self-Evaluation will be completed once per year by May 15th as an evaluation of the previous academic year, and the self-evaluation will be submitted to the professor's respective department chair.

6.2.1.1.3 Supervisor Evaluation will be completed once per academic year during the probationary period. For the supervisor evaluation, the dean, department chair, or program coordinator who reviewed the class will meet with the faculty member to review the form either immediately after the class session or at a mutually agreed upon time. The faculty member will sign the form, keep a

photocopy, and return the original to the department chair with a copy sent to the college dean.

6.2.1.1.4 Peer exchange will be completed once per academic year. Within a week following the visit, the peer will meet with the faculty member to informally discuss the session. The faculty member and peer will sign the form, keep a photocopy, and send the original to the department chair with a copy sent to the college dean. Additional peers may be invited to visit a faculty member's class at the faculty member's discretion.

6.2.1.2 Full-time non-probationary or tenured faculty:

6.2.1.2.1 Student Surveys will be conducted in all courses every term the last two weeks of the semester before finals week. The faculty member responsible for the course will not administer the survey. Student evaluations will close before finals week. The faculty member will not see the results of the student survey until after final grades have been issued

6.2.1.2.2 Self-Evaluation will be completed once per year by May 15th as an evaluation of the previous academic year, and the self-evaluation will be submitted to the professor's respective department chair.

6.2.1.2.3 Supervisor Evaluation should be completed once per every three academic years for tenured and non-probationary faculty. For the supervisor evaluation, the dean, department chair, or program coordinator who reviewed the class will meet with the faculty member to review the form either immediately after the class session or at a mutually agreed upon date. The faculty member will sign the form, keep a photocopy, and return the original to the department chair with a copy sent to the college dean.

6.2.1.2.4 Peer exchange will be completed once every three academic years. Within a week following the visit, the peer will meet with the faculty member to informally discuss the session. The faculty member and peer will sign the

form, keep a photocopy, and send the form to the department chair with a copy sent to the college dean. Additional peers may be invited to visit a faculty member's class at the faculty member's discretion.

### 6.3 Appeals of Supervisor Evaluations

6.3.1 Faculty members who wish to challenge the results of a supervisor evaluation based on errors of facts may appeal the evaluation.

6.3.1.1 The faculty member will submit a request for appeal to the next level supervisor within 10 days of receiving the evaluation. This request will outline the reasons for the appeal along with a copy of the original supervisor evaluation.

6.3.1.2 This appeal goes to the next level supervisor. If the supervisor was a department chair, the appeal will go to the dean. If the supervisor was the dean, the appeal will go to the Provost/VPAA.

6.3.1.3 If the finding of the appeal is in favor of the faculty member, the supervisor will rewrite the evaluation to reflect the corrections of facts.

6.3.1.4 The results of the appeal will be final.

6.4 Probationary Faculty members are appointed on an annual basis according to the following schedule in accordance with Utah Board of Regents policy R481:

6.4.1 During the first academic year of service, notice of non-reappointment will be given no later than March 1 of the first year of academic service, or at least three months in advance of termination.

6.4.2 During the second and subsequent years of academic service, notice of non-reappointment will be given not later than December 15 of the academic year, or at least six months in advance of termination.

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

6.5 Candidates for Intermediate, Tenure, and/or Promotion Review shall be evaluated in student learning and success, scholarly and creative activities, and service.

6.6 Timeline for Reviews: All full-time faculty who submit a review as outlined in this policy must submit a portfolio according to the following schedule:

6.6.1 College Faculty Review Committee

- 6.6.1.1 A faculty member undergoing a review must obtain a signed form from Human Resources noting the candidate's current rank and status as well as his/her eligibility for tenure and for rank advancement. The form, which also includes the faculty member's educational credentials as evidenced by official transcripts on file and the terminal degree required in the faculty member's discipline, must be included in the portfolio.
- 6.6.1.2 On or before April 1 prior to the review, the candidate must submit a written Letter of Intent to the chair of the College Faculty Review Committee. The letter must request the appropriate review(s) and give permission to the chairs of the College and University Faculty Review committees to make the candidate's electronic portfolio available during the following fall semester to all faculty eligible to participate in the review. The candidate must also upload this letter into his/her portfolio.
- 6.6.1.3 On June 15, the chair of the College Faculty Review Committee will make available portfolios of all candidates who have requested and are eligible for review and invite written comments from any interested party. Only the portfolios of faculty members who are eligible for review will be released. At that time, the chair informs all eligible voters of the date(s) on which the vote will occur and method that will be used for voting. Voting must be concluded by September 10.
- 6.6.1.4 On or before September 15, the chair of the College Faculty Review Committee will send a written report to the chair of the University Faculty Review Committee, which will include the final tally of the voting and the number of votes required for a quorum. This report must be concomitantly sent to the candidate, who is responsible for ensuring that a copy is added to his/her electronic portfolio by September 15. At the same time, the report will be made available for all voting members of the College Faculty Review Committee to review. A copy will also be provided to the faculty member's department chair and dean following submission of the Dean's Letter.

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

6.6.1.5.1 The faculty member has a right to respond to the Dean's Letter and must include this response in his/her portfolio by September 25.

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

## 6.6.2 University Faculty Review Committee

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

- 6.6.2.2 On or before November 7, the chair of the University Faculty Review Committee will forward a report on each candidate to the Provost/VPAA. The report will contain a recommendation on the retention of the candidate and an assessment of the candidate's request to be awarded tenure and/or rank as appropriate.
- 6.6.2.3 Concomitant to forwarding the report to the Provost/VPAA, the University Faculty Review Committee will send its report to the candidate and to the faculty member's dean and department chair.
- 6.6.2.4 At this time, the candidate will have the opportunity, but not the obligation, to add a written statement to his/her formal portfolio in response to the report of the University Faculty Review Committee. Written notice of this option will be included in the copy of the report that is sent to the candidate. If the candidate chooses to add such a statement to the portfolio, that statement must be submitted to the Provost/VPAA by November 17. If the candidate submits a written statement to the Provost within this time limit, the candidate's statement will be included in the review as it progresses. The candidate must also include the written statement in his/her portfolio.

#### 6.6.3 Provost/VPAA

- 6.6.3.1 The Provost/VPAA will review each candidate's portfolio, taking into consideration the recommendations from the College and University Faculty Review committees, Dean's Letter, consultations with the faculty member's dean and department chair as needed, and any other relevant factors. The Provost/VPAA will use the appropriate criteria in order to prepare a final recommendation to the President with respect to the candidate's retention, tenure, and/or promotion, stating reasons therefore.
- 6.6.3.2 On or before December 15, the Provost/VPAA will send to each candidate either a recommendation for retention, tenure, and/or promotion as appropriate or, for those applying for tenure, a notice of non-reappointment. At the same time, the recommendation or notice will be sent to the University President and faculty member's dean.



- 6.6.3.2.1 Tenure-Track Faculty whose application for tenure is not approved will not be reappointed in accordance with DSU Policy 371: Faculty Termination.
- 6.6.3.2.2 If the faculty member's department chair, dean, and the Provost/VPAA believe the candidate has the capability to improve his/her portfolio to the point where it could be approved, the faculty member can, at the sole discretion of the Provost/VPAA, be offered a single one-year extension of the probationary period in which to do so. The faculty member remains a probationary employee and must re-submit his/her portfolio for a second Tenure Review in the next cycle, beginning with submitting a new Letter of Intent by April 1.
- 6.6.3.2.3 In the case of such an extension, any decision on an application for promotion must be postponed until the next year.
- 6.6.3.2.4 When an extension has been granted, a Professional Improvement Plan must be submitted to the Provost/VPAA for approval within 60 days.
- 6.6.3.2.5 DSU may terminate a faculty member pursuant to DSU Policy 371: Faculty Termination in cases where such a one-year extension has been granted.
- 6.6.3.3 Candidates with tenure may appeal a negative recommendation from the Provost/VPAA regarding an application for promotion. The guidelines for such an appeal are outlined in Section 6.7 Appeals Process.
  - 6.6.3.3.1 Because probationary faculty members are at-will employees, a probationary faculty member who receives a letter of non-reappointment in accordance with this policy, DSU Policy 371: Faculty Termination, and relevant Board of Regents policy may not appeal.
- 6.6.3.4 Candidates who choose to apply for promotion rather than a Post-Tenure Review, and are not approved for promotion, are required to submit a Post-Tenure Review the following academic year.

6.6.3.4.1 A candidate is allowed to submit a Promotion review at the same time as a Post-Tenure Review.

#### 6.6.4 President

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

6.6.4.2 The President will present a recommendation about the candidate's application for retention, tenure, and/or promotion to the Board of Trustees.

#### 6.6.5 Board of Trustees

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

6.6.5.2 A faculty member whose retention or tenure request is denied by the Board of Trustees after December 15 will be given an appointment for one final year of employment in fulfillment of the Board of Regents notice of non-reappointment policy.

6.6.5.3 Retention, tenure, promotion, if approved, goes into effect July 1.

#### 6.7 Appeals Process

6.7.1 A faculty member with tenure may appeal a negative recommendation from the Provost/VPAA regarding an application for promotion. The appeal must be filed in writing to the chair of the Faculty Hearing Board within 30 days of the notification being sent.

6.7.1.1 A probationary faculty member does not have the right to appeal non-reappointment. If a probationary faculty member applies for promotion at the same time as s/he submits a portfolio for a

Tenure Review, any result of the Promotion Review will be null if the faculty member is not reappointed. A non-reappointed probationary faculty member may not appeal a promotion or non-reappointment decision.

- 6.7.2 Appeals of recommendations from Provost/VPAA concerning a candidate's application for promotion may also be initiated by a majority of either the College Faculty Review Committee or the University Faculty Review Committee if the recommendation of the Provost/VPAA opposes their own previous vote. The appeal must be made to the Faculty Hearing Board within 30 days of the Provost/VPAA report. Authorized committee members initiating an appeal may have access to the entire portfolio to assist in determining whether an appeal should be filed and/or constructing the appeal.
- 6.7.3 Appeals can be made on one or more of the following bases.
  - 6.7.3.1 Material procedural irregularities which were likely to have substantially and adversely affected the recommendation at any level.
  - 6.7.3.2 Bias, discrimination, or illegal employment practices in violation of DSU policy, including DSU Policy 633, or state or federal law.
- 6.7.4 The Faculty Hearing Board's composition and procedures are outlined in DSU Policy 640d: Faculty Senate Standing Committees.
- 6.7.5 The Faculty Hearing Board will review the portfolio and any other documentation submitted, conduct hearings as it deems appropriate, and make a recommendation to the University President either to uphold the previous decision or request reconsideration beginning at the level of the College Faculty Review Committee, the University Faculty Review Committee, or the Provost/VPAA.
- 6.7.6 If the appeal is denied and the previous decision upheld, the original decision not to recommend promotion will be final.

## **VII. Addenda**

7.1 Faculty Performance Standards

7.2 Faculty Review Criteria for Academic Librarians

7.3 Faculty Portfolio Checklist

7.4 Terminal Degrees by Discipline

7.5 Sample Schedule of Faculty Reviews

7.6 Blank Schedule of Faculty Reviews

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