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## Faculty Senate Agenda, April 6, 2015

Utah State University

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**FACULTY SENATE**

April 6, 2015

Merrill-Cazier Library Room 154

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**Agenda**

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- 3:00 Call to Order**.....Doug Jackson-Smith  
Approval of Minutes March 2, 2015
  
- 3:05 Announcements**.....Doug Jackson-Smith
  - Be sure to sign the roll – reminder about attendance policies
  - Faculty Senate Nominations & Elections
  
- 3:10 University Business**.....Stan Albrecht, President  
Noelle Cockett, Provost
  
- 3:20 Information Items**
  - 1. Gun Survey.....Doug Jackson-Smith
  
- 3:25 Reports**
  - 1. PRPC Annual Report.....Stephen Bialkowski
  - 2. EPC Items for March.....Larry Smith
  - 3. FDDE Annual Report.....Britt Fagerheim
  
- 3:40 Unfinished Business**
  - 1. 405.2.2 (etc.) Code Change: Teaching Role Description for P&T  
(Second Reading).....Stephen Bialkowski
  
- 3:45 New Business**
  - 1. 402.9 Code Change: Scheduling of Faculty Forum (First Reading).....Stephen Bialkowski
  - 2. 405.12.2 (1-3) Code Changes: PTR (First Reading).....Stephen Bialkowski
  - 3. 405.6.5 Code Change: Remove term Quinquennial (First Reading).....Stephen Bialkowski
  - 4. Mutual Agreement code change.....Doug Jackson-Smith



**USU FACULTY SENATE  
MINUTES  
MARCH 2, 2015  
Merrill-Cazier Library, Room 154**

**Call to Order**

Doug Jackson-Smith called the meeting to order at 3:00 pm. The minutes of February 2, 2015 were adopted.

**Announcements – Doug Jackson-Smith**

**Roll Call.** Members are reminded to sign the role sheet at each meeting.

**Faculty Senate Nominations & Elections.** Doug reviewed the senate election process and encouraged senators to consider nominees for the upcoming elections.

**University Business – President Stan Albrecht, Provost Noelle Cockett**

The President gave a brief update on the ongoing legislative session. There are only 15 bills of core interest to higher education, five of which USU actively supports and one that we actively oppose. It is likely there will be some sort of performance based funding, but it is too soon to know the details yet. The President also addressed a recent table published on the USHE website which contained misleading faculty salary and compensation data. He has contacted the USHE leadership and the table has been removed. He presented data to the senate that more accurately reflects USU's compensation comparisons to our peer group which includes other western Land Grant institutions. USU does offer a generous benefit package, and our average salary is 94% of our peer group average.

Provost Cockett gave an update on the current Dean's searches. Two candidates were brought to campus for the Dean of Libraries position. Based on input from those who had the opportunity to interact with them, an offer has been extended to one and hopefully an announcement will be forthcoming in the next two weeks.

There have been four interviews for the Dean of Science position. The committee is doing their review now and coming near to making an offer to a candidate.

Student registration for Summer semester will occur the first week of April and Fall semester registration begins the second week of April. The registrars' office will be rolling out new software for registration.

**Information Items**

**Update on PTR Code Change Process – Stephen Bialkowski.** By code, PRPC should have returned their draft of PTR code changes by this meeting. PRPC requests a one-month extension.

Andy Walker made a motion to grant PRPC an extension until the April Faculty Senate meeting. The motion was seconded by Ronda Callister and passed unanimously.

On behalf of PRPC, Stephen asked for input from the senate on three questions related to the PTR code draft the committee has been discussing.

The first question was to eliminate language in section 405.12.2; *“as appropriate to evaluate: (1) teaching, through student, collegial, and administrative assessment; (2) the quality of scholarly and creative performance and/or research productivity; and (3) service to the profession, the university, and the community.”* A motion was made and seconded to make the change to code according to PRPC’s suggestion. The motion passed unanimously.

The second question was whether or not to specify the materials the Peer Review Committee receives. *“This documentation shall at a minimum contain: the department head or supervisor’s negative annual evaluation letter of the faculty member (405.12.1) and the warning letter that led to the forming of the PRC; the previous five annual written evaluations; the faculty member’s current role statement and curriculum vitae; other professional materials deemed necessary by the faculty member; and any professional development plan in place.”* A motion was made and seconded to accept the recommendation of PRPC. The motion passed unanimously.

The third question was if an ombudsperson must be required to attend any formal evaluation of a faculty member’s performance meeting. *“An ombudsperson may be requested by the faculty member, the department head or supervisor, and/or the PRC in accordance with policy 405.6.5.A.”* A motion was made to accept the proposal and seconded by Ronda Callister. The motion failed.

### **Reports – Doug Jackson-Smith**

**February EPC Items – Larry Smith**  
**AFT Annual Report – John Stevens**  
**BFW Annual Report – Alan Stephens**

A motion to approve the report agenda was made by Stephen Bialkowski and seconded by Andy Walker. The motion passed unanimously.

### **Unfinished Business**

#### **AFT code change proposals from PRPC (Second Reading) – Stephen Bialkowski**

Two technical changes and the addition of adding the reason for non-renewal in the letter that goes to the faculty member from the president. A motion to accept the inclusion of a reason for non-renewal was made by Stephen Bialkowski and seconded by Ronda Callister. The motion passed unanimously. A motion to fix the typographical errors was made and passed unanimously.

#### **Other 405 section code change proposals from PRPC (Second Reading) – Stephen Bialkowski.**

A motion approve the proposed change that clarifies that the newly drafted role statements should be approved by the provost, but the provost signature is not required on the role statement was made by Ronda Callister and seconded Stephen Bialkowski. The motion passed unanimously.

A motion to approve the proposal allowing academic units to employ an annual work plan was made by Ronda Callister and seconded by Bob Mueller. The motion passed unanimously.

A motion to approve the proposal clarifying that the annual P&T letter may not serve as a substitute for the Annual Review Letter was made by Ronda Callister and seconded by Stephen Bialkowski. The motion passed unanimously.

A motion to approve the proposal allowing academic deans and regional campus deans and/or chancellor to submit a joint letter during the evaluation and recommendation process was made by Paul Barr and seconded by Bob Mueller. The motion passed unanimously.

### **New Business**

#### **405.2.2 (etc) Code Change Teaching Role Description for P&T (first reading) – Stephen Bialkowski.**

It outlines what is under the teaching role for tenure and promotion and elaborates activities outside of the classroom which weren't really listed in this kind of detail previously. We don't need to vote but do need suggestions if there are any. There was no feedback given.

**Change to the Faculty Forum Dates – Doug Jackson-Smith.** Doug Jackson-Smith proposed a change allowing for the Faculty Forum to be held on a day other than a regular faculty senate day.

Mike Lyons moved to charge PRPC to amend the code according to the proposal and draft new code. The motion was seconded by Sherrie Haderlie and passed unanimously.

**Request Senate ask PRPC to replace “in consultation with” with “by mutual agreement with” for formation of promotion and tenure committees throughout Code – Ronda Callister.** Due to time limitations this item will be discussed at the next meeting.

### **Adjournment**

The meeting adjourned at 4:33 pm.

## Introduction:

This survey is being sent to faculty at all eight colleges and universities in the Utah System of Higher Education. The goal is to obtain accurate information from a representative sample of faculty about their knowledge, experiences, and views on issues surrounding the presence of guns on our campuses.

The survey was developed and will be used by Faculty Senate leaders at each USHE institution to help develop programs to help faculty do their jobs more effectively.

In designing this survey, we recognize that gun issues can be controversial, and we know that our faculty have diverse and wide ranging perspectives on the practical, academic, legal, and constitutional questions that inevitably arise when talking about guns on campus. As a group of faculty leaders, we do not share or promote any particular agenda with respect to the campus gun issue. Rather, we hope to gather objective information to better understand what faculty know about state and campus gun laws and policies, how the presence of guns has (if at all) positively or negatively impacted faculty, and what types of programs or policies (if any) might be pursued to help faculty members address gun issues on our campuses in a balanced, fair, and responsible manner.

This version of the survey has been approved by the Utah State University Institutional Review Board (IRB). All responses to this survey are completely anonymous and results will be aggregated at the college, school or division level to avoid release of individual identities.

## Familiarity with State Law and Campus Policies

### **How familiar are you with:**

(Not at all familiar, a little familiar, somewhat familiar, very familiar)

- State laws related to the rights of students, faculty and staff to carry guns on your campus?
- Your campus policies related to the rights of students, faculty and staff to carry guns on your campus?
- The extent and limits of your own right to carry a gun on your campus?

### **Have you received any training from your campus about what to do if you see a gun in your classroom or on campus? (Yes, No)**

### **How confident are you to know what to do if you see a person with a gun on your campus? (Not at all confident, a little confident, somewhat confident, very confident).**

### **Based on your understanding of state law and your campus policies, which of the following things are FACULTY allowed to do on your campus? (Not allowed, Allowed, Not Sure)**

- Carry a concealed weapon on campus if they obtain the appropriate permit.
- If they see a person with a gun, ask the person if they have a concealed weapon permit
- Require in a syllabus that students may not bring guns into a classroom.
- Call campus (or city) police if they see a person with a gun visible.

### **Based on your understanding of state law and your campus policies, which of the following things are STUDENTS allowed to do on your campus? (Not allowed, Allowed, Not Sure)**

- Carry a concealed weapon on campus if they obtain the appropriate permit.
- Inform their instructors that they have a concealed weapon in class.
- Show a concealed weapon to other students in a class.
- Carry a weapon openly (visibly) on campus.

## Information about Gun Issues

### **Over the last few years, how often have you used the following sources to get information about Utah laws or campus gun policies? (Never, Once, A few times, Often)**

- Attended campus trainings on gun law or policy
- Attended campus trainings on responding to 'active shooter' situations
- Talked with campus security office or officers
- Got information from campus websites
- Got information from other websites
- Read information in a faculty handbooks or policy document
- Read stories in campus newspapers
- Read or heard stories in mass media (newspaper, radio, TV)
- Talked to other faculty on my campus
- Talked to people outside of my campus

## Faculty Experiences

### **How often have you done or experienced any of the following:**

(Never, once, A few times, often)

- Brought a gun to campus
- Seen a student bring a gun into your classroom
- Been told by a student that they bring a gun to your class
- Been told by someone else that a student has a gun in your classroom
- Seen a gun elsewhere on campus (not in your classroom)

### **How often have you done or experienced any of the following:**

(Never, rarely, sometimes, often)

- Personally changed the content of your syllabus, lectures, or classroom activities because of concerns that students may be carrying weapons
- Self-censored your academic speech because of concerns about the presence of guns on campus or in your classes
- Heard about other faculty on your campus that self-censor their academic speech because of concerns about the presence of guns on campus or in classes
- Seen publicity around Utah's gun laws affect your unit's ability to recruit new faculty
- Seen publicity around Utah's gun laws affect your unit's ability to retain current faculty

### **In your experience, how does the presence of concealed carry weapons on your campus affect your sense of security?**

(much less secure, a little less secure, no impact, a little more secure, much more secure)

### **How does knowing that you can personally carry a concealed weapon on your campus affect your sense of security?**

(much less secure, a little less secure, no impact, a little more secure, much more secure)

## Support for Various Policy Options

While Utah law is clear about the right of individuals with permits to carry concealed weapons on college and university campuses, some have suggested the need for new campus training programs or proposed modest changes in state laws. To help faculty senate leaders know which proposals might have the support of our rank and file colleagues, **we want to know the extent to which you personally would oppose or support each of the following options:**

(Strongly oppose, oppose, neither support nor oppose, support, strongly support)

- More training for faculty in state laws and campus policies related to gun possession on campus
- New state laws or policies that would strengthen the right to openly carry weapons on campuses.
- New state laws or policies that would permit campuses to create temporary 'secure areas' where screening for guns could occur and concealed gun carry would not be allowed for designated campus events when an armed police presence has already been arranged
- Laws or policies that would allow campuses to create permanent 'secure areas' where concealed weapons could be disallowed (such as student centers or classroom buildings).



## BACKGROUND INFORMATION

Finally, we want to capture some information about the characteristics of respondents. This information can help us understand variation in the experiences and perspectives of faculty across our campuses. Note that we will not release any information from this study that would allow individual respondents to be identified.

**What is your gender?** (male, female)

**How long have you worked at this university or college?** (<6 years, 6-12 years, >12 yrs)

**How would you describe your faculty position?** (tenure-track vs. non-tenure track)

**With which unit on your campus do you primarily affiliate?**

### Utah State University Units:

- Caine College of the Arts
- College of Agriculture and Applied Sciences
- College of Engineering
- College of Humanities and Social Sciences
- College of Science
- Emma Eccles Jones College of Education and Human Services
- Jon M. Huntsman School of Business
- S.J and Jessie E. Quinney College of Natural Resources
- USU-Regional Campuses
- USU-Eastern
- USU-Extension
- USU-Libraries

**(NOTE: ANSWER OPTIONS FOR 'UNIT ON CAMPUS' WILL VARY BY CAMPUS – see below)**

Dixie State University

- School of Business & Communication
- School of Education
- School of Health Sciences
- School of Humanities
- School of Science & Technology
- School of Visual & Performing Arts
- School of Academic and Community Outreach

Salt Lake Community College:

- School of Applied Technologies and Professional Development
- School of Arts, Communication and Media
- School of Business
- School of Health Sciences
- School of Humanities and Social Sciences
- School of Science, Mathematics & Engineering
- School of Technical Specialties

Snow College:

- Business and Applied Technologies
- Humanities
- Social and Behavioral Sciences
- Natural Science & Mathematics
- Fine Arts, Communication and New Media

Southern Utah University

- College of Education and Human Development
- College of Humanities and Social Science
- College of Performing and Visual Arts
- College of Science and Engineering
- School of Business
- School of Continuing and Professional Studies

University of Utah

- College of Architecture & Planning
- David Eccles School of Business
- College of Education
- College of Engineering
- College of Fine Arts
- College of Humanities
- College of Law
- College of Mines & Earth Sciences
- College of Science
- College of Social and Behavioral Science
- College of Social Work
- School of Medicine
- Other (Natural History Museum, Marriott Library,

### Utah Valley University

- College of Aviation and Public Services
- College of Humanities and Social Sciences
- College of Science & Health
- College of Technology and Computing
- School of the Arts
- School of Business
- School of Education

### Weber State University

- College of Applied Science & Technology
- Telitha E. Lindquist College of Arts and Humanities
- John B. Goddard School of Business and Economics
- Jerry and Vickie Moyes College of Education
- Dr. Ezekial R. Dumke College of Health Professions
- College of Science
- College of Social and Behavioral Sciences

## **Professional Responsibilities and Procedures Committee (PRPC) Report**

**April 2015**

The Professional Responsibilities and Procedures Committee members for AY 2014-2015 are:

- Agriculture/Applied Sciences - Heidi Wengreen (15)
- Arts - Chris Gauthier (16)
- Business - Dan Holland (17)
- Education & Human Services - Bob Morgan (17)
- Engineering - William Rahmeyer (16)
- Humanities & Social Sciences - Terry Peak (16)
- Natural Resources - Terry Messmer (14)
- Science - Ian Anderson (16)
- Libraries - Jennifer Duncan (17)
- Extension - Jerry Goodspeed (14)
- RCDE - Nikole Eyre (17)
- USU Eastern - Steve Nelson (17)
- Senate - Jeanette Norton (15)
- Senate - JP Spicer-Escalante (17)
- Senate - Stephen Bialkowski (chair) (15)

The Professional Responsibilities and Procedures Committee advise the Faculty Senate regarding composition, interpretation, and revision of Section 400 in University Policies and Procedures. Recommended revisions shall be submitted to the Senate for its consideration. The following is a summary list of code changes presented to the Faculty Senate in this academic year in the order they were accepted by the Faculty Senate.

- January 2014 - Section 402.12.3 Committee on Committee term and election changes
- March 2014 - Several Section 405 code changes proposed by AFT, Several changes in Section 405 brought forward by Provost Noelle Cockett

In addition, PRPC has worked on the following which may be presented prior to the end of the academic year:

- Section 405.2.2 (etc.) changes to teaching role description for P&T
- Section 405.12 changes to the post tenure review process
- Section 402.9 changes to Faculty Forum policy

Specific approved wording changes approved are documented in the Faculty Senate minutes.

Committee action was performed through email discussions and voting. PRPC held one meeting in February to finalize draft post tenure review code changes.

## Report from the Educational Policies Committee March 11, 2015

The Educational Policies Committee met on March 5, 2015. The agenda and minutes of the meeting are posted on the Educational Policies Committee web page and are available for review by the members of the Faculty Senate and other interested parties.

During the March meeting of the Educational Policies Committee, the following discussions were held and actions taken.

1. Approval of the report from the Curriculum Subcommittee meeting of March 5, 2015 which included the following notable actions:
  - The Curriculum Subcommittee approved 64 requests for course actions.
  - A request from the Department of Psychology to offer an interdisciplinary doctoral program in Neuroscience was approved.
  - A request from the Department of Sociology, Social Work and Anthropology to discontinue of the Master of Arts degree in Sociology was approved.
2. Approval of the report from Academics Standards Subcommittee meeting of January 12, 2015. Action items from that meeting included the following:
  - A proposal for revision to the Undergraduate Degree Enrichment policy was approved. Currently, if a student graduates with a bachelor's degree but wants to take additional classes they are considered a non-matriculated graduate student. The proposal would allow students to remain classified as undergraduate students for up to 9 additional credits.
3. Approval of the report from the General Education Subcommittee meeting of February 17, 2015. Actions include:
  - The following General Education courses and syllabi were approved:  
HIST 3230 (DHA)
  - A motion to amend the current Communications Intensive (CI) criteria statement, "2. Require both written and oral communication" to read "2. Require written and/or oral communication," and to adopt new language as follows:

*"Oral Communication:*

*Each applicant for the CI designation stressing oral communication should explain how the course in question gives students practice, feedback, and/or instruction in oral communication relevant and useful to the specific discipline. The following are some ways oral communication has been incorporated into courses, but this is not a complete list. The Communication Committee welcomes the use of discipline appropriate ways of meeting the CI goals.*

*Students may communicate orally in a wide variety of formats. Some examples include the following:*

- 1. Make a formal presentation to a class or subgroup of a class, an outside audience, or the instructor.*
- 2. Make a formal presentation using video format or other presentation software.*
- 3. Perform in a dramatic presentation or other oral reading.*
- 4. Participate in structured in-class debates with assigned roles.*
- 5. Lead structured discussions by doing such things as introducing the reading, synthesizing class materials and audience responses, summarizing at the end of class, or reading and paraphrasing important but not required articles.*
- 6. Have the class join or create a mock-conference with poster or PowerPoint presentations.*
- 7. Create podcasts or YouTube videos."*

## **Faculty Diversity, Development and Equity Committee Annual Report March 2015**

**Charge:** The duties of the Faculty Diversity, Development, and Equity Committee are to: (1) collect data and identify and promote best practices for faculty development, mentoring, and work environment to facilitate the success of diverse faculty at all career levels; (2) provide feedback and advocate processes for faculty recruitment, promotion, and retention that promote diversity, fair pay standards and work/life balance for the faculty; (3) report on the status of faculty development, mentoring, diversity, and equity; and (4) make recommendations for implementation of proposals related to faculty diversity, development, and equity.

### **Committee Members:**

Agriculture & Applied Sciences - Man-Keun Kim  
Caine College of the Arts - Nancy Hills  
Emma Eccles Jones College of Education & Human Services - Cinthya Saavedra  
Engineering - Reyhan Baktur  
Jon M. Huntsman School of Business – Zsolt Ugray  
Humanities & Social Sciences - Jim Rogers  
Natural Resources - Helga Van Miegroet  
Science - Nancy Huntly  
Extension - Clark Israelsen  
Regional Campuses - Christopher Johnson  
USU Eastern - Jennifer Truschka  
Libraries - Connie Woxland  
Senate – Martha Aruchleta  
Senate - Britt Fagerheim (Chair)  
Senate – Juan Villalba

Note: the Chair of FDDE is also a member of the University’s Diversity Council.

### **I. Summary of Committee Work:**

#### **Annual Report**

This year’s annual report seeks to document trends in hiring and promotion related to gender and diversity. The committee has been working closely with, and received much support from, Michael Torrens in the office of Analysis, Assessment, and Accreditation and with Stacy Sturgeon in the Affirmative Action/Equal Opportunity office.

We also obtained permission to change the due date of the report to Faculty Senate from April to February. Previously, there was not enough time to compile the data using the current year’s data before the report deadline. Using the previous year’s data, the committee will in the future present the report to Faculty Senate at the February meeting.

### **Welcome Plus**

FDDE discussed the Welcome Plus program and thought it was a positive initiative that we should pursue. Welcome Plus is an informal, candid conversation that candidates can have with faculty outside the hiring committee to answer questions about life in Logan. Welcome Plus is based on the SERT program of the ADVANCE grant.

- Notes in the 2012-13 FDDE report indicate this issue was brought up and approved by Faculty Senate in 2011.
- Because of other priorities, we will wait to begin working on a proposal until the 2015-16 academic year.

### **Faculty Climate/Satisfaction Survey**

Both FDDE and the Underrepresented Faculty and Staff Recruitment/Retention Subcommittee of Diversity Council have discussed conducting a climate/satisfaction survey for faculty. FDDE would be interested in providing input and feedback if Diversity Council takes the lead with this survey.

### **Candidate and Exit Interviews**

FDDE discussed possibilities with gathering data around why faculty leave USU and if there is anything that can prevent some of this attrition. We discussed also potentially conducting a survey with job candidates who decline an employment offer from USU, likely collecting data over five years or as much time as necessary to eliminate any potential to identify individual participants. The Underrepresented Faculty and Staff Recruitment/Retention Subcommittee also discussed a similar initiative and the two groups can potentially collaborate in the future.

### **Discussion: Mentoring/Advocacy**

The committee also discussed ways FDDE can serve a role with mentoring and advocacy for faculty. We will pursue these discussions next year.

## **II. Data: Gender and Race/Ethnicity Availability by College**

The 2015 FDDE report documents trends in hiring and promotion related to gender and diversity within each college at USU. The data are based on demographic data from AAA and availability data from AA/EO. The AA/EO data is based on the Survey of Earned Doctorates and census data, purchased and compiled by the AA/EO office for federal reporting purposes and help determine goals for candidate searches within each college.

Availability data are only periodically updated, with the Census data and Survey of Earned Doctorates data sets both updated every 5 to 10 years. Also, in 2011, AA/EO changed data sets from manually-entered data from the Professional Women and Minorities: A Total Human Resources Data Compendium and Census data to the Census data and the Survey of Earned Doctorates (the Professional Women and Minorities data set was not consistently available). FDDE committee members compiling the statistics explored calculating average availability across all five years, average between 2009 and 2013 and calculating standard deviation and coefficient of variation. We could not be sure of the assumptions for SD and CV and both



averages provided approximately the same values, and therefore we used availability data averaged from 2009 – 2013 (the most recent year available).

### **Discussion: Tracking Time to Promotion**

The committee discussed a need for tracking time to promotion. Currently, no data were available to the committee that allowed us to analyze time to promotion by gender, ethnicity, or college, including Regional Campuses. Regional campuses present a special case as data coding remains unclear. The committee recommends future collaboration with AAA and AA/OE to create appropriate data tools and tracking mechanisms to examine patterns of promotion over time.

### **III. Graphs: Gender and Race/Ethnicity Availability by College**

For each college for gender, there is a chart for:

- Percentage Female Faculty showing Availability versus Tenure-Track and Non-Tenure Track
- Percentage Female Faculty showing Availability versus Rank.

For each college for diversity, there is a chart for:

- Percentage Non-White Faculty showing Availability versus Tenure-Track and Non-Tenure Track.

Data and charts prepared by: Helga Van Miegroet, Cinthya Saavedra and Juan Villalba

#### **A) Percentage Female Faculty: Availability versus Tenure-Track / Non-Tenure Track & Availability versus Rank**

**Gender statistics overall:** When the percentage of women faculty is high in non-tenure track and low in tenured/tenure track positions, this indicated a problem in their college in that women are primarily able to obtain positions in the college in non-tenure track positions.

**COLLEGE OF AGRICULTURE AND APPLIED SCIENCES**

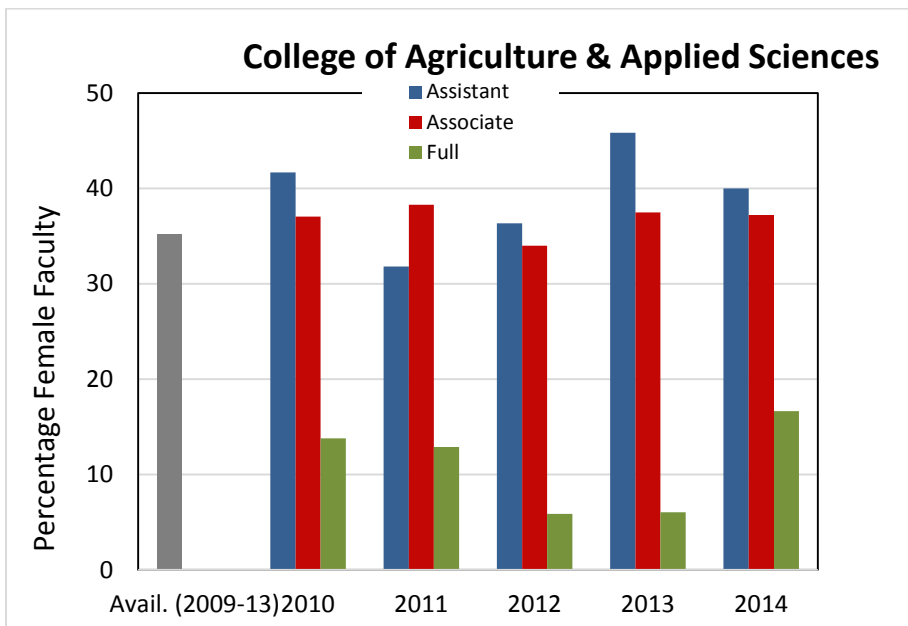
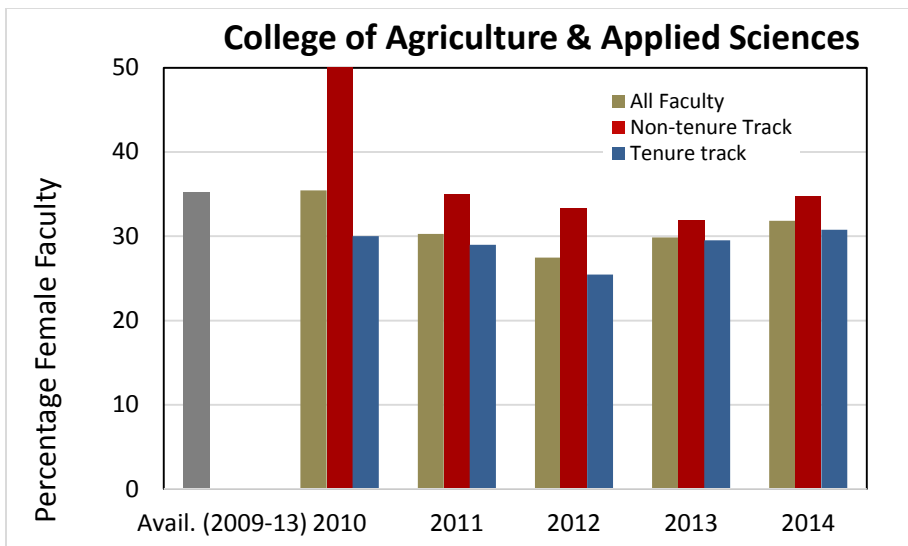
Chart 1: Overall percentages look very good with faculty percentages essentially matching availability.

Chart 2: Assistant and Associate Professor percentages of women show a very close match with availability. Full Professor percentages lag but will probably catch up over the next few years if hiring and retention remain strong.

**College of Agriculture & Applied Sciences**

Number of Women faculty (2014):

<u>ALL</u>	<u>Non Tenure track</u>	<u>Assistant Professor</u>	<u>Associate Professor</u>	<u>Full Professor</u>
49	17	10	16	6



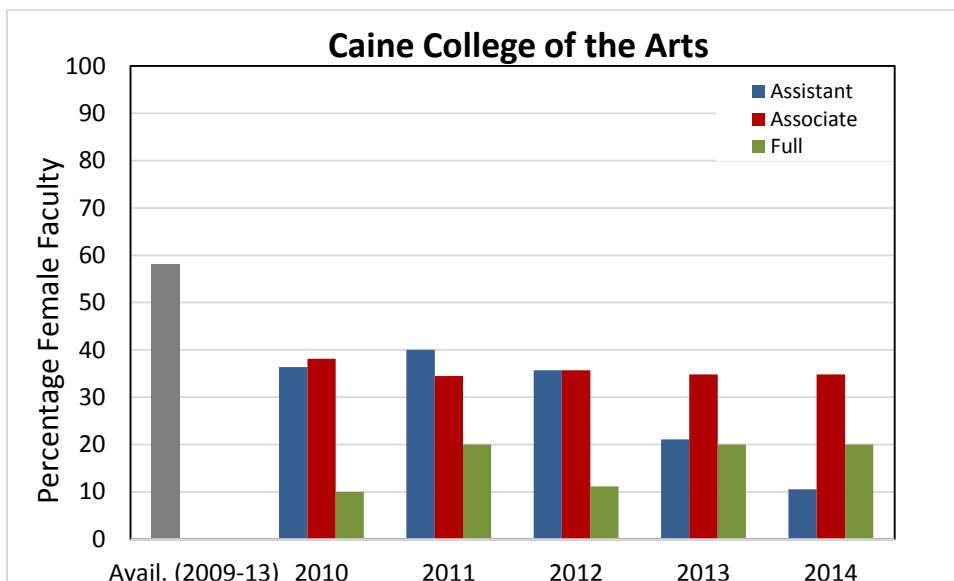
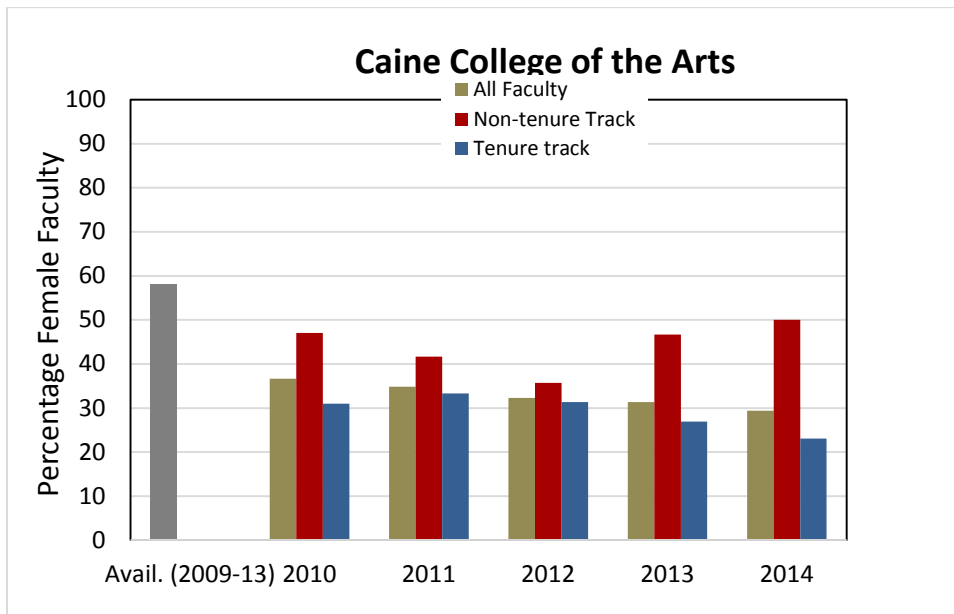
### CAINE COLLEGE OF THE ARTS

Chart 1: tenured and tenure-track faculty are less than half of availability indicating a serious problem in the hiring or retention process.

Chart 2: Hiring and retention of women faculty shows a downward trend especially among Assistant Professors.

Number of Women faculty (2014):

<u>ALL</u>	<u>Non Tenure track</u>	<u>Assistant Professor</u>	<u>Associate Professor</u>	<u>Full Professor</u>
<b>20</b>	<b>8</b>	<b>2</b>	<b>8</b>	<b>2</b>



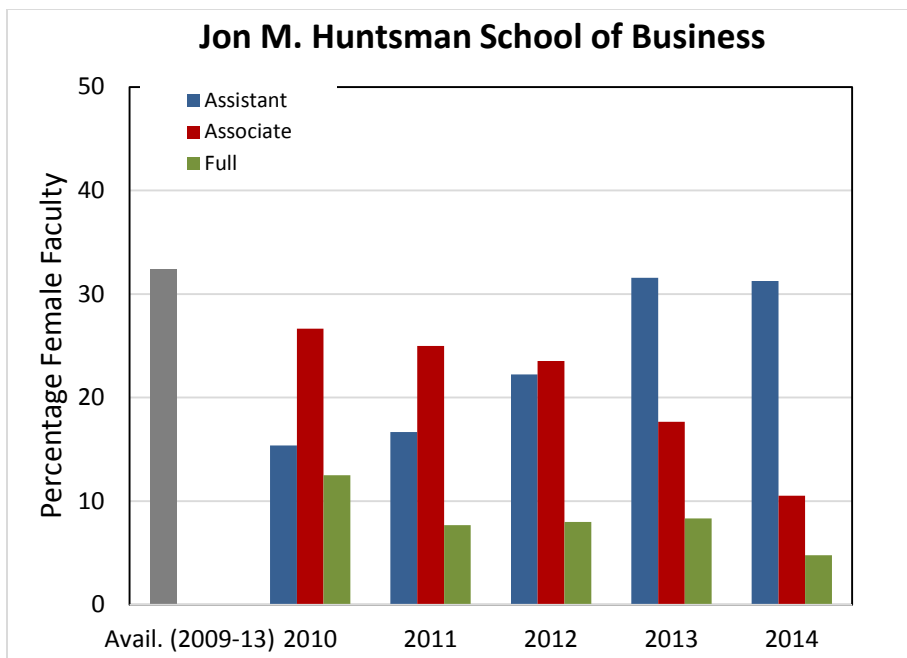
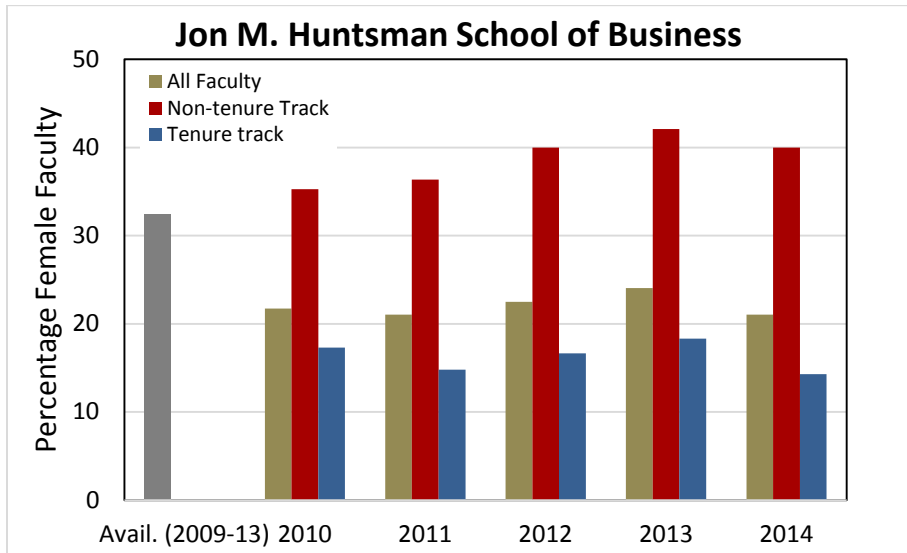
## JON M. HUNTSMAN SCHOOL OF BUSINESS

Chart 1: Women faculty are only well represented in the non-tenure track ranks. Women in tenure track positions are less than one half the rate of availability, indicating a significant problem.

Chart 2: Women faculty in the Assistant Professor rank are at current availability rates, while they have been dropping over time at the Associate and Full Professor levels, suggesting a retention problem.

Number of Women faculty (2014):

<u>ALL</u>	<u>Non Tenure track</u>	<u>Assistant Professor</u>	<u>Associate Professor</u>	<u>Full Professor</u>
<b>16</b>	<b>8</b>	<b>5</b>	<b>2</b>	<b>1</b>



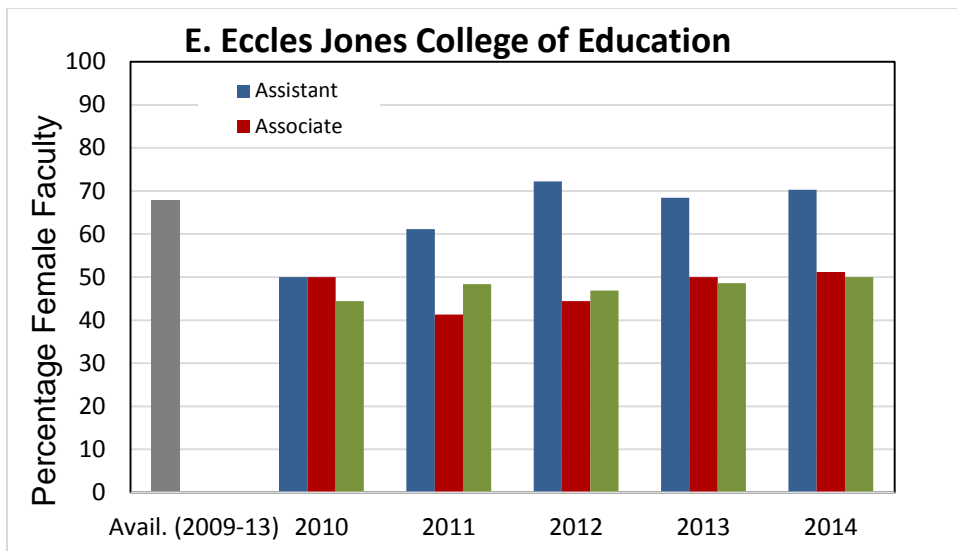
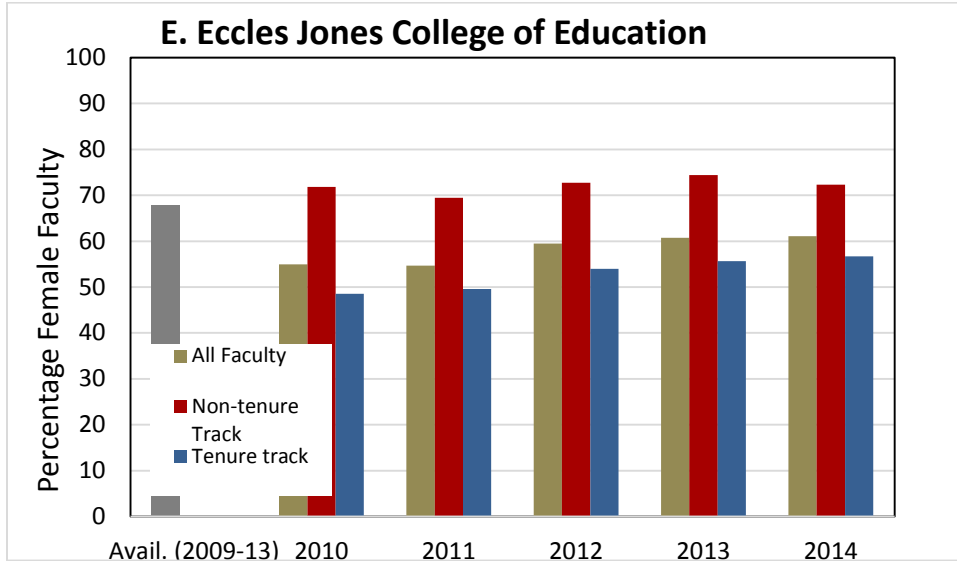
**EMMA ECCLES JONES COLLEGE OF EDUCATION & HUMAN SERVICES**

Chart 1: Women are close to availability rate and percentages are similar between tenure and non-tenure track.

Chart 2: Assistant Professors are at levels slightly above availability, suggesting that if retention is good the ranks of Associate and Full Professor will fill in over time.

Number of Women faculty (2014):

<u>ALL</u>	<u>Non Tenure track</u>	<u>Assistant Professor</u>	<u>Associate Professor</u>	<u>Full Professor</u>
102	34	26	22	20



## COLLEGE OF ENGINEERING

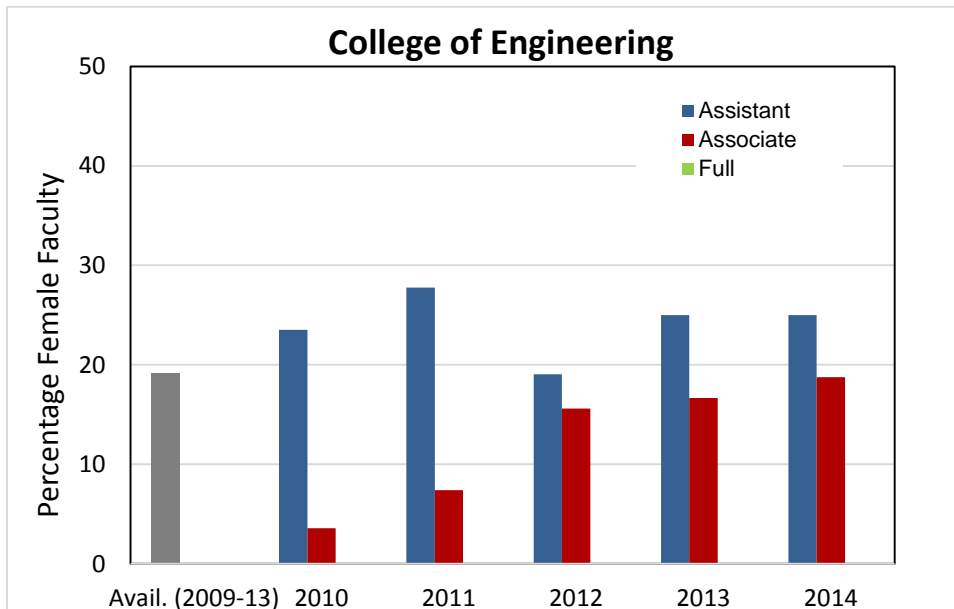
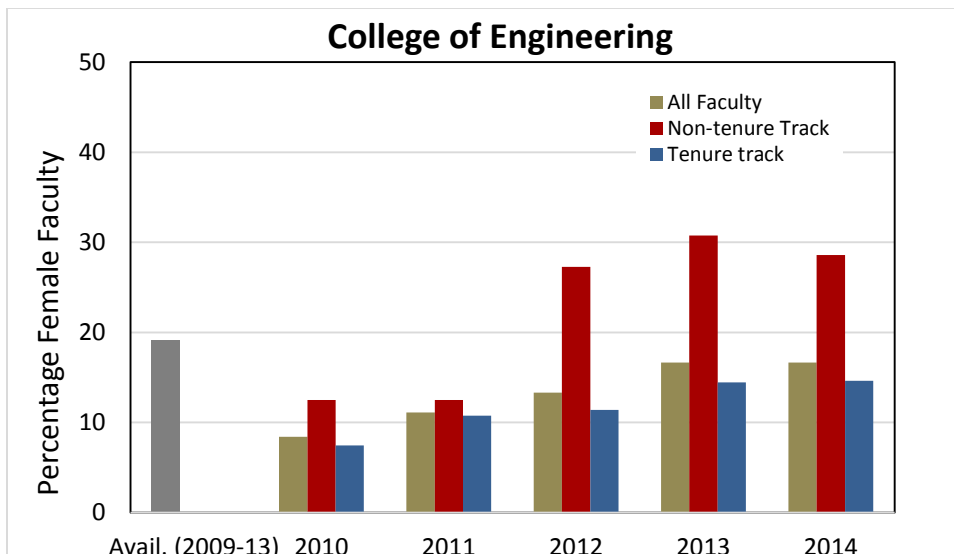
Chart 1: Women in tenure track positions are coming very close to availability, while women in non-tenure track positions are above availability, and well above the ranks of tenure-track.

Chart 2: Percentages of women in Associate Professor positions have been growing steadily, which is positive provided women begin to move into the rank of Full.

### College of Engineering

Number of Women faculty (2014):

<u>ALL</u>	<u>Non Tenure track</u>	<u>Assistant Professor</u>	<u>Associate Professor</u>	<u>Full Professor</u>
<b>16</b>	<b>4</b>	<b>6</b>	<b>6</b>	<b>0</b>



**COLLEGE OF HUMANITIES AND SOCIAL SCIENCES**

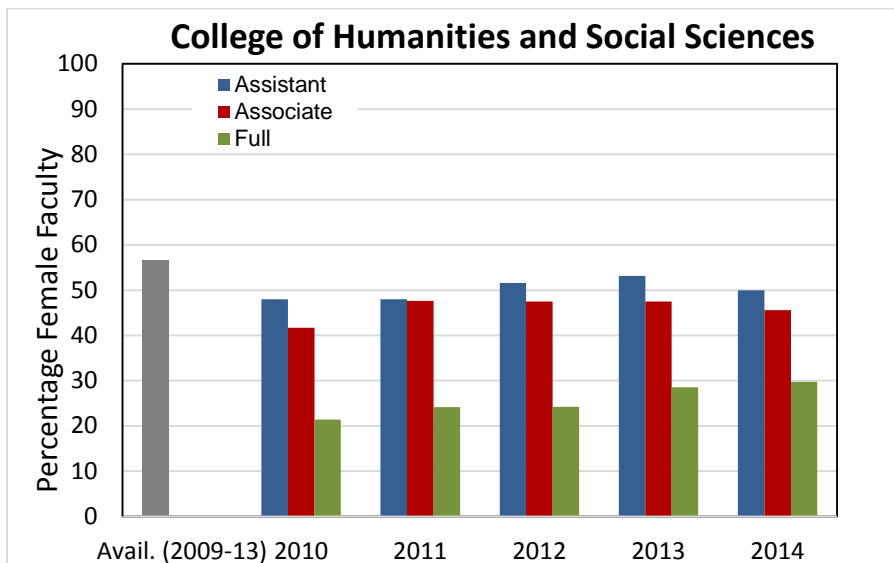
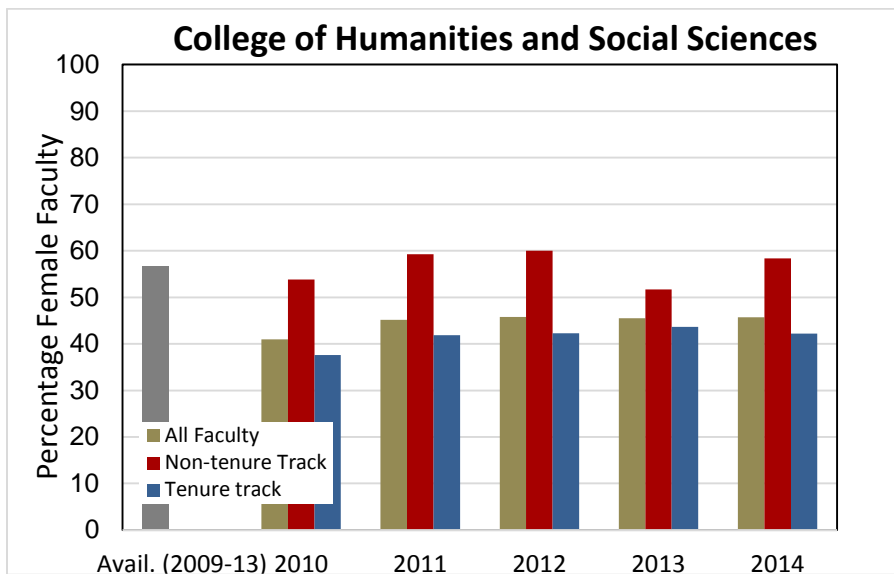
Chart 1: Non-tenure track female faculty are above availability, while tenure track percentages are below availability and do not appear to be increasing.

Chart 2: Assistant and Associate professor percentages are slightly below availability and on a slight downward trend in the past year. Retention of Associate female faculty will be necessary to raise the number of Full female professors.

**College of Humanities and Social Science**

Number of Women faculty (2014):

<u>ALL</u>	<u>Non Tenure track</u>	<u>Assistant Professor</u>	<u>Associate Professor</u>	<u>Full Professor</u>
75	21	17	26	11



## QUINNEY COLLEGE OF NATURAL RESOURCES

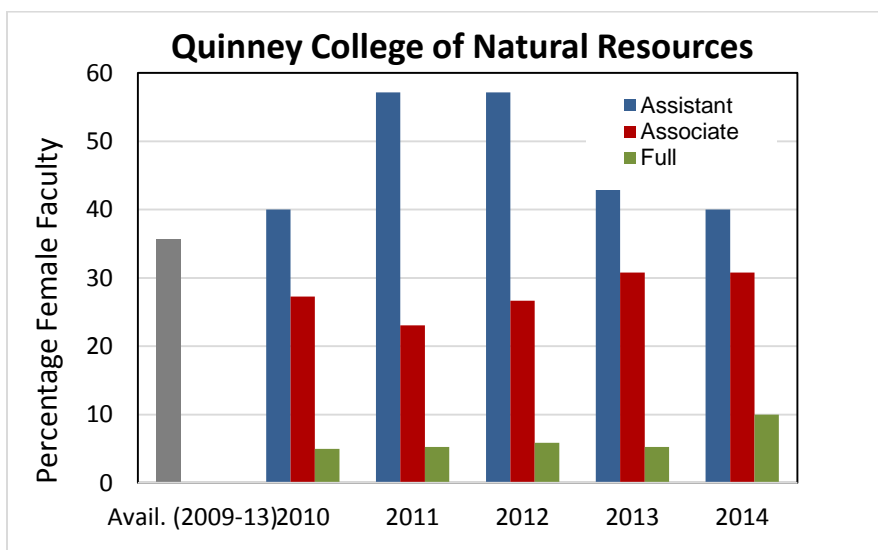
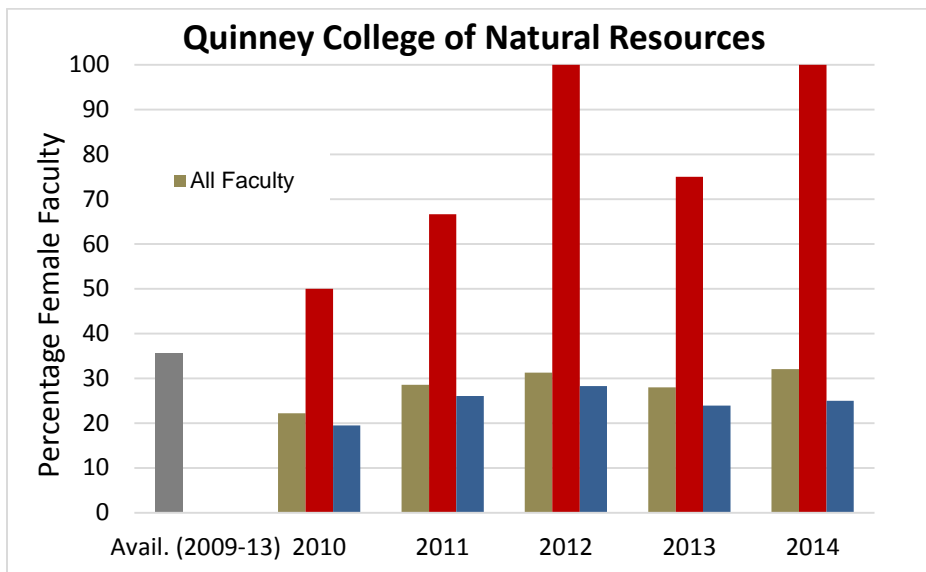
Chart 1: Non tenure-track female faculty appear over-represented although the actual number of non-tenure track women are very low.

Chart 2: Assistant professor percentages of women are above availability with Associate slightly below. Full professor percentages lag but will likely catch up over the next few years if hiring and retention remain strong.

### Quinney College of Natural Resources

Number of Women faculty (2014):

<u>ALL</u>	<u>Non Tenure track</u>	<u>Assistant Professor</u>	<u>Associate Professor</u>	<u>Full Professor</u>
17	5	6	4	2





## COLLEGE OF SCIENCE

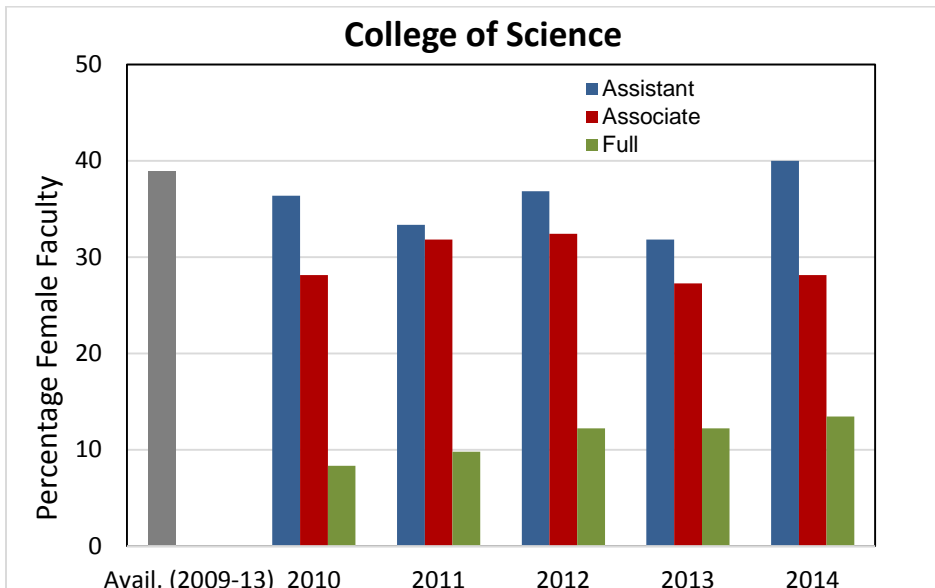
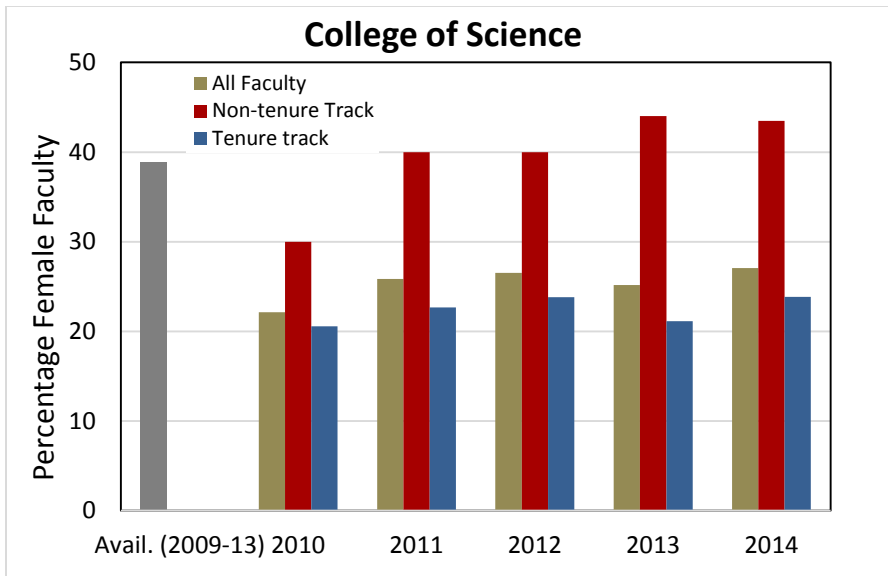
Chart 1: Women non-tenure track percentages are above availability, while women tenure track faculty are significantly below availability, indicating women have more trouble gaining tenure track positions than non-tenure track.

Chart 2: Assistant faculty near availability for women, with Associate slightly below availability and women Full professors significantly below availability.

### College of Science

Number of Women faculty (2014):

<u>ALL</u>	<u>Non Tenure track</u>	<u>Assistant Professor</u>	<u>Associate Professor</u>	<u>Full Professor</u>
<b>36</b>	<b>10</b>	<b>10</b>	<b>9</b>	<b>7</b>



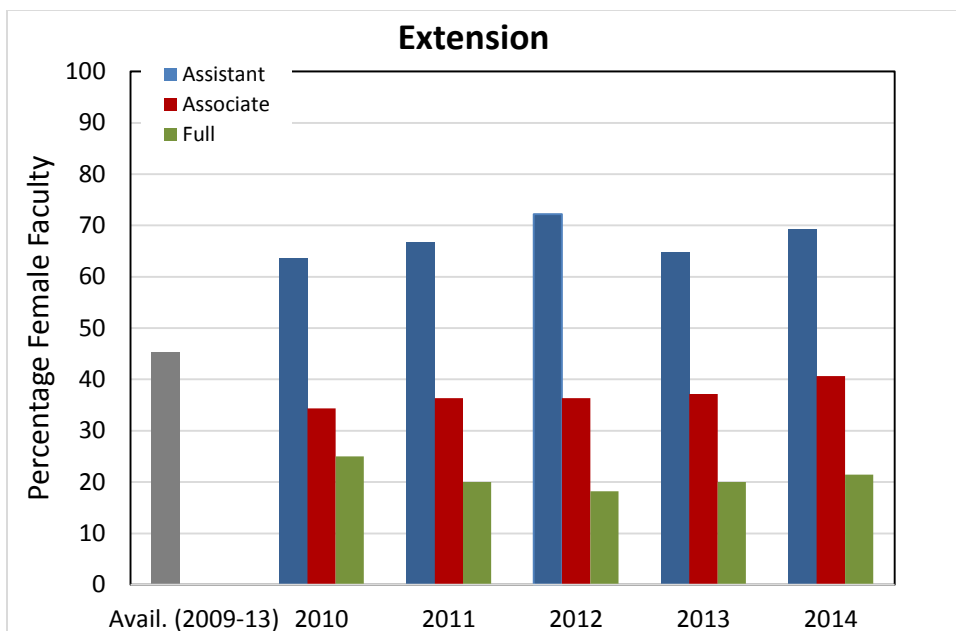
## EXTENSION

Chart 1: Assistant female faculty well above availability, although women Associate and Full Professors are significantly below availability. This indicates retention needs to remain strong.

### Extension

Number of Women faculty (2014):

<u>ALL</u>	<u>Non Tenure</u> <u>track</u>	<u>Assistant Professor</u>	<u>Associate Professor</u>	<u>Full Professor</u>
<b>25</b>	<b>0</b>	<b>9</b>	<b>13</b>	<b>3</b>



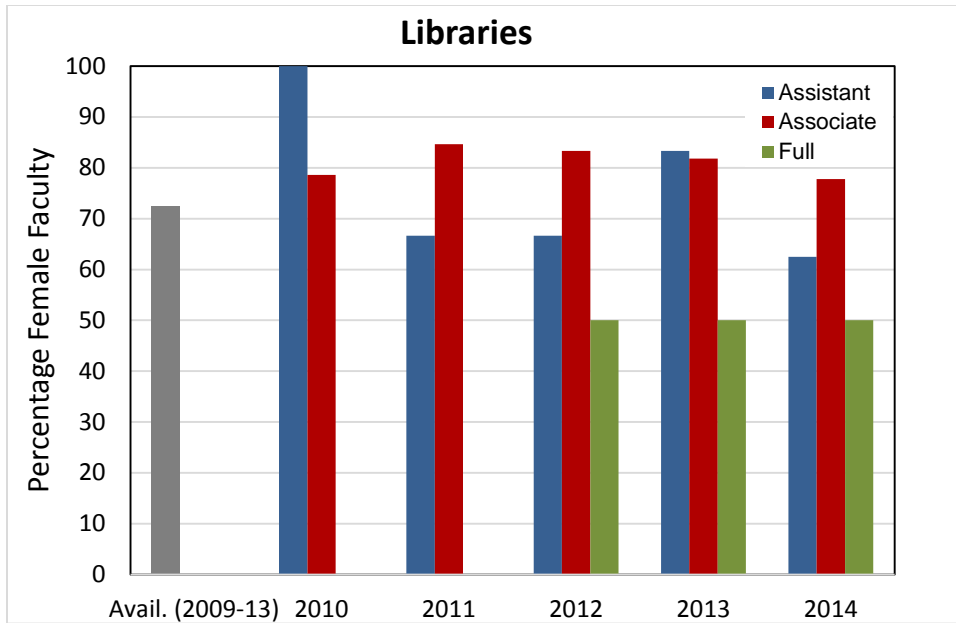
## LIBRARIES

Chart 1: Assistant and Associate women librarians are above availability, although Full librarians are slightly below availability. Retention needs to remain strong. Actual numbers for Full librarians are very small.

### Library

Number of Women faculty (2014):

<u>ALL</u>	<u>Non Tenure track</u>	<u>Assistant Professor</u>	<u>Associate Professor</u>	<u>Full Professor</u>
<b>13</b>		5	7	1



## REGIONAL CAMPUSES

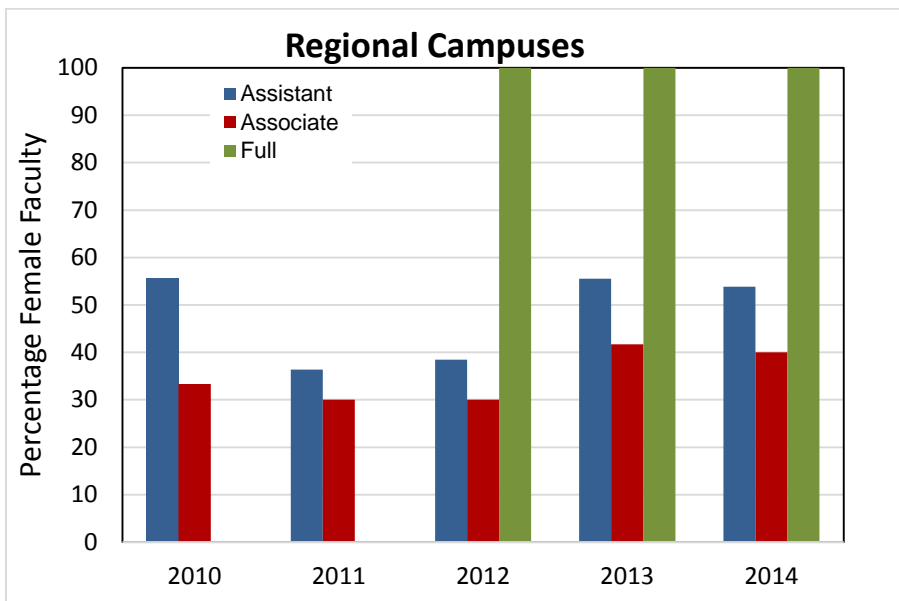
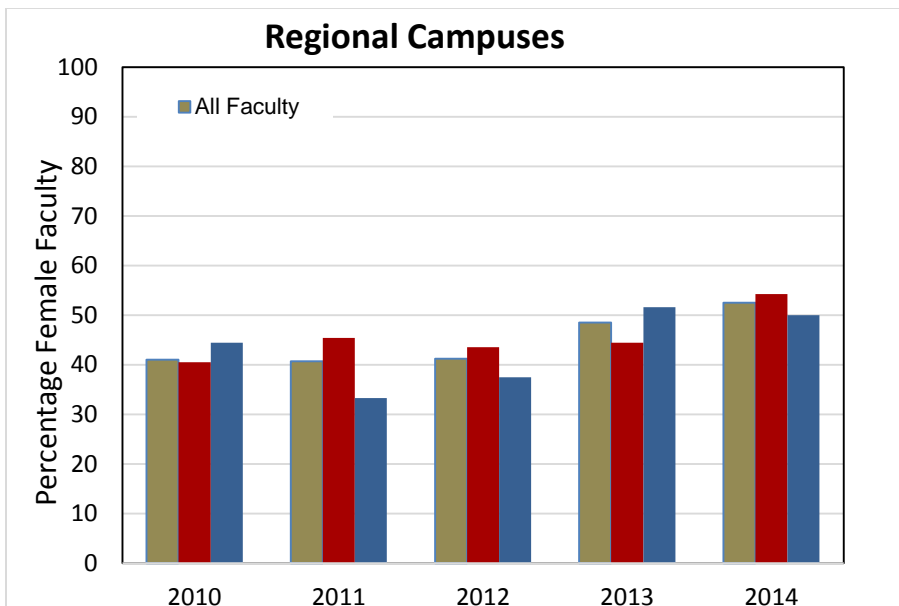
Chart 1: We do not have data for availability. Percentages of women female faculty across tenure and tenure track ranks are growing.

Chart 2: Graph shows high percentage for women Full professors, although actual numbers are very low, for both men and women.

### Regional Campuses

Number of Women faculty (2014):

<u>ALL</u>	<u>Non Tenure track</u>	<u>Assistant Professor</u>	<u>Associate Professor</u>	<u>Full Professor</u>
<b>31</b>	19	7	4	1



## B) Percentage Non-White Faculty, Availability versus Tenure-Track and Non-Tenure Track

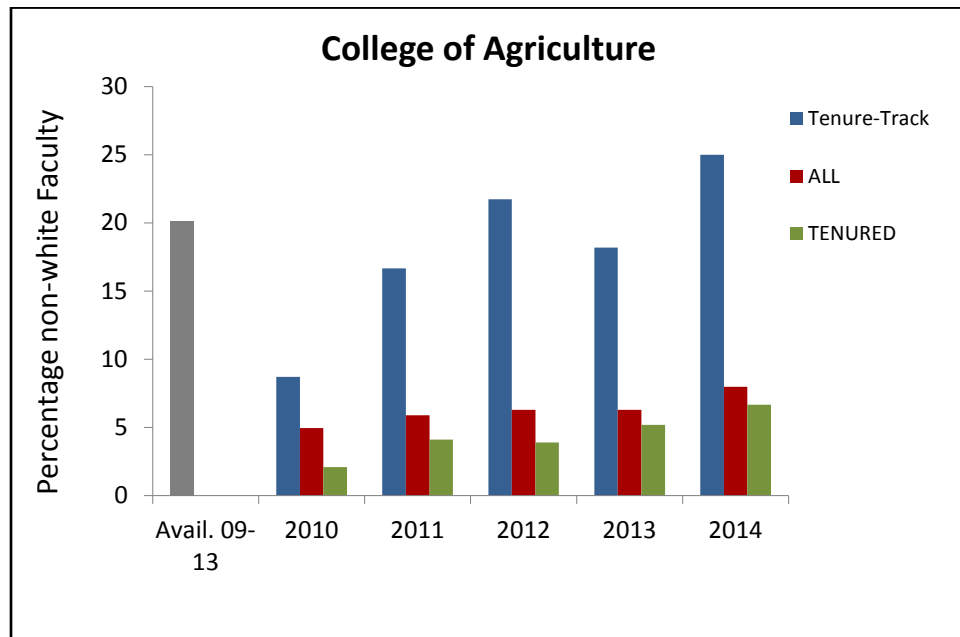
**Race statistics overall:** When the percentage of non-white faculty is very low compared availability, this could indicate a problem with recruiting a diverse candidate pool for job searches. Low percentages compared to availability for tenured faculty could indicate retention problems.

### COLEGE OF AGRICULTURE AND APPLIED SCIENCES

Percentage of non-white tenure-track faculty above availability, indicating positive trends. Retention needs to remain strong to bring up numbers within tenured ranks.

Number of Non-white faculty (2014):

Tenure-track: 5      Tenured: 5

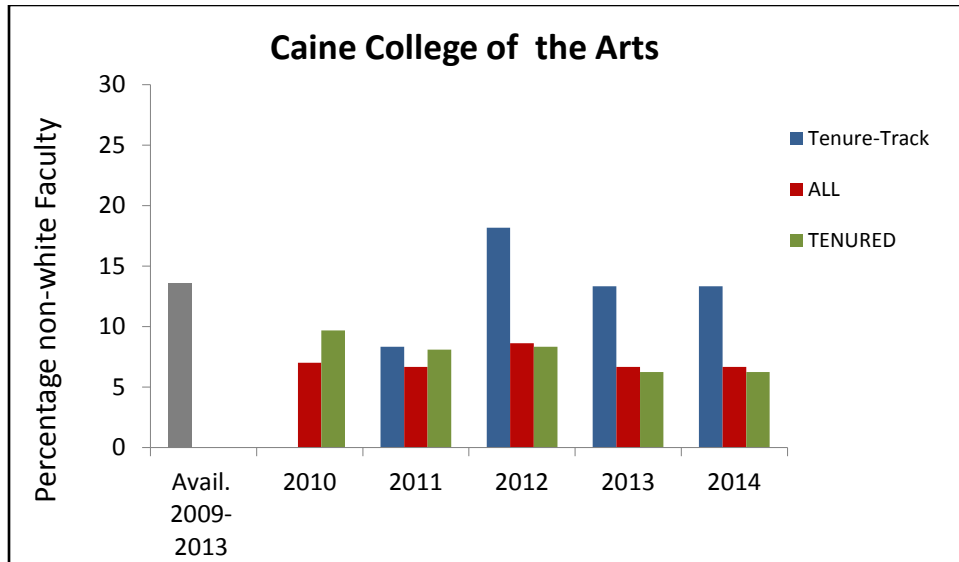


### CAINE COLLEGE OF THE ARTS

Percentage of non-white tenure-track faculty have dropped over the past few years, indicating problems with hiring or retention. Tenured faculty have dropped slightly, indicating retention issues.

Number of Non-white faculty (2014):

Tenure-track: 2      Tenured: 2

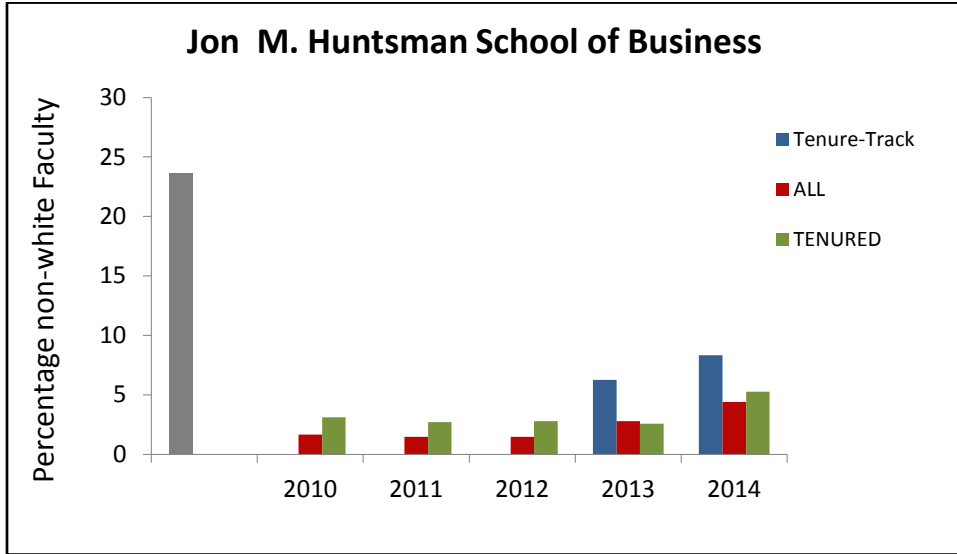


**JON M. HUNSTMAN SCHOOL OF BUSINESS**

Percentage non-white faculty significantly below availability, indicating issues in the hiring process.

Number of Non-white faculty (2014):

Tenure-track: 1      Tenured: 2

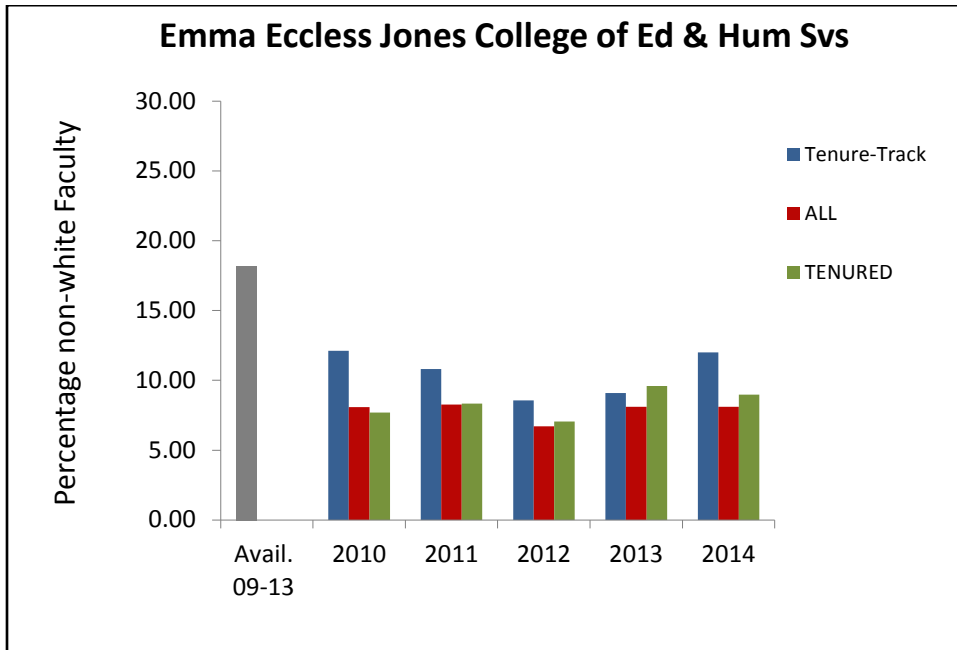


## EMMA ECCLES JONES COLLEGE OF EDUCATION & HUMAN SERVICES

Percentage of tenure-track and tenured faculty are significantly below availability, although percentages for tenure-track are slightly higher than others. Hiring and retention need to remain strong.

Number of Non-white faculty (2014):

Tenure-track: 3      Tenured: 7



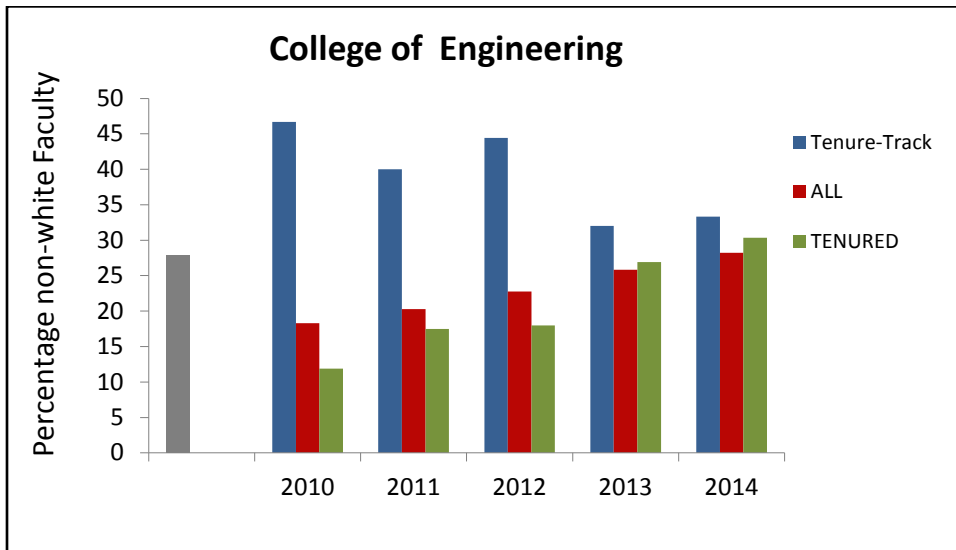


## COLLEGE OF ENGINEERING

Tenure-track faculty for Engineering are above availability, with a slight downward trend in recent years. Upward trend for tenured faculty indicates strong retention.

Number of Non-white faculty (2014):

Tenure-track: 6      Tenured: 17

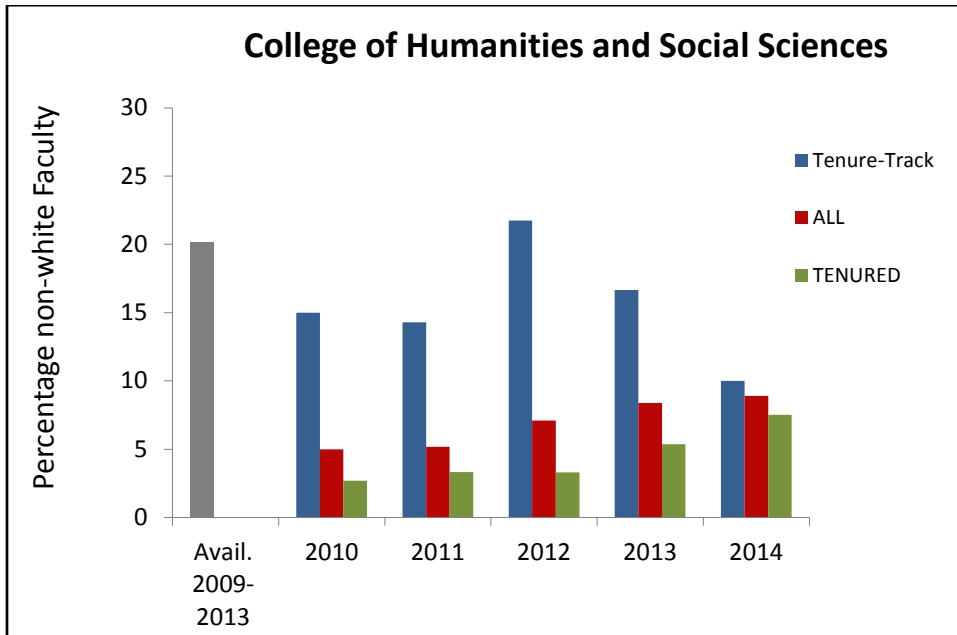


## COLLEGE OF HUMANITIES AND SOCIAL SCIENCES

Upward trend for tenured faculty and overall faculty percentages indicate positive retention, although trends with tenure track, and therefore hiring, show downward trend over the past two years.

Number of Non-white faculty (2014):

Tenure-track: 2      Tenured: 7

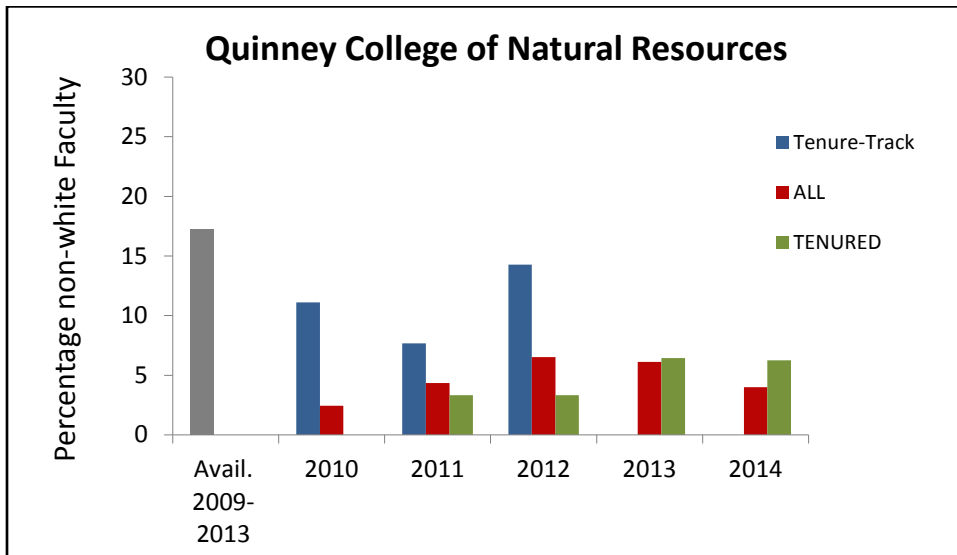


## QUINNEY COLLEGE OF NATURAL RESOURCES

Tenured ranks show slight upward trend although still significantly below availability.  
Percentages of tenured faculty have dropped off, indicating problems with the hiring process.

Number of Non-white faculty (2014):

Tenure-track: 0      Tenured: 2

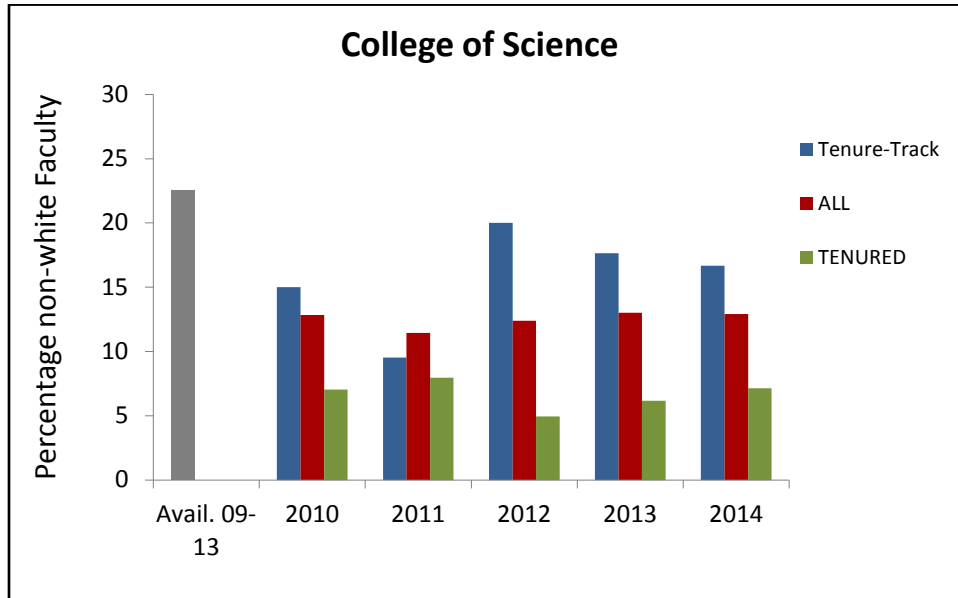


## COLLEGE OF SCIENCE

Percentages of non-white tenure-track faculty are slightly below availability.

Number of Non-white faculty (2014):

Tenure-track: 3      Tenured: 6

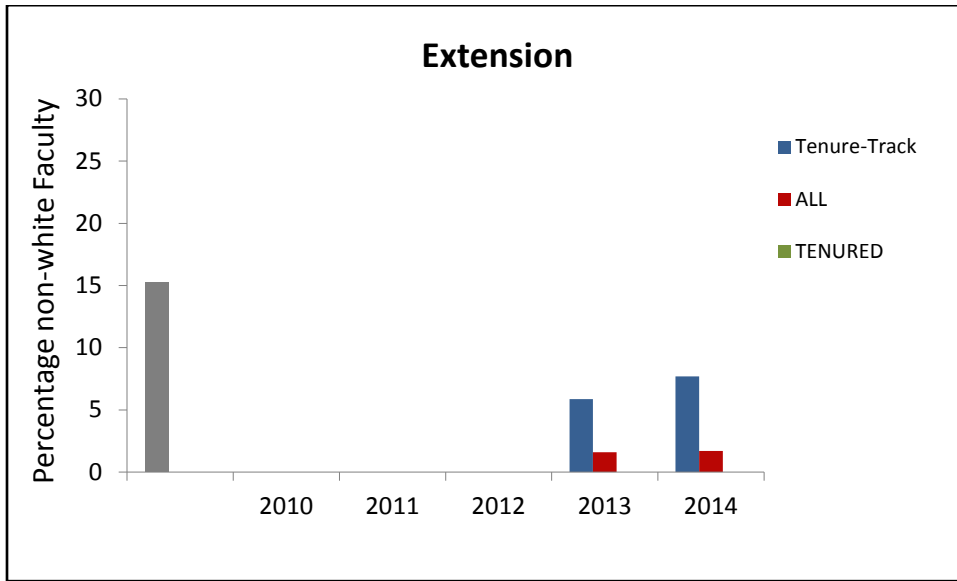


### EXTENSION

No tenured ranks are showing for the last 5 years. Percentages of non-white tenure-track faculty are clearly below availability, indicating problems with hiring although there is an upward trend for 2014.

Number of Non-white faculty (2014):

Tenure-track: 1      Tenured: 0

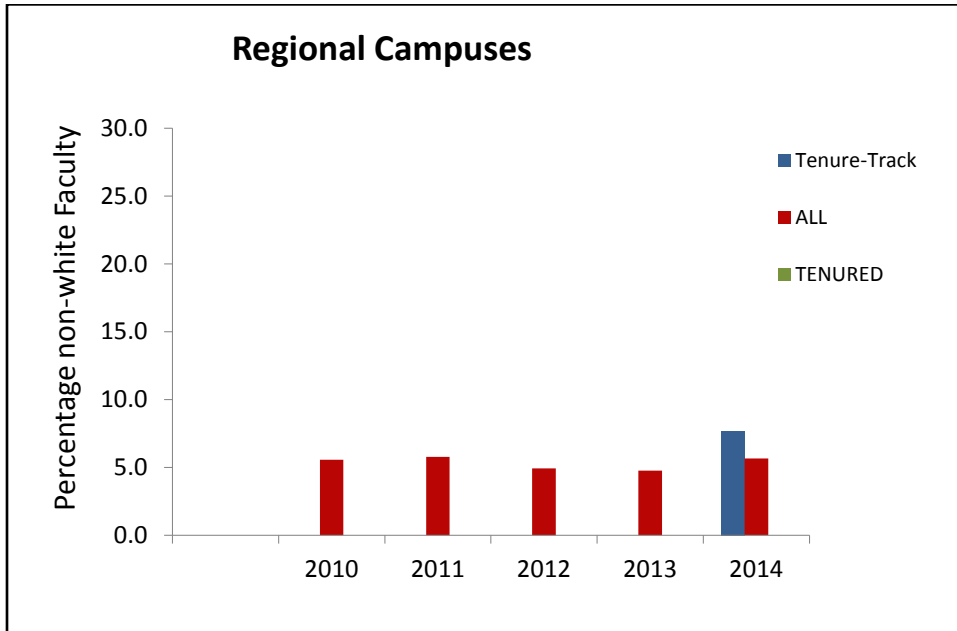


## REGIONAL CAMPUSES

No availability data is present and percentages for all ranks have not changed since 2010. This suggests problems with hiring although an improvement is shown for 2014.

Number of Non-white faculty (2014):

Tenure-track: 1      Tenured: 0

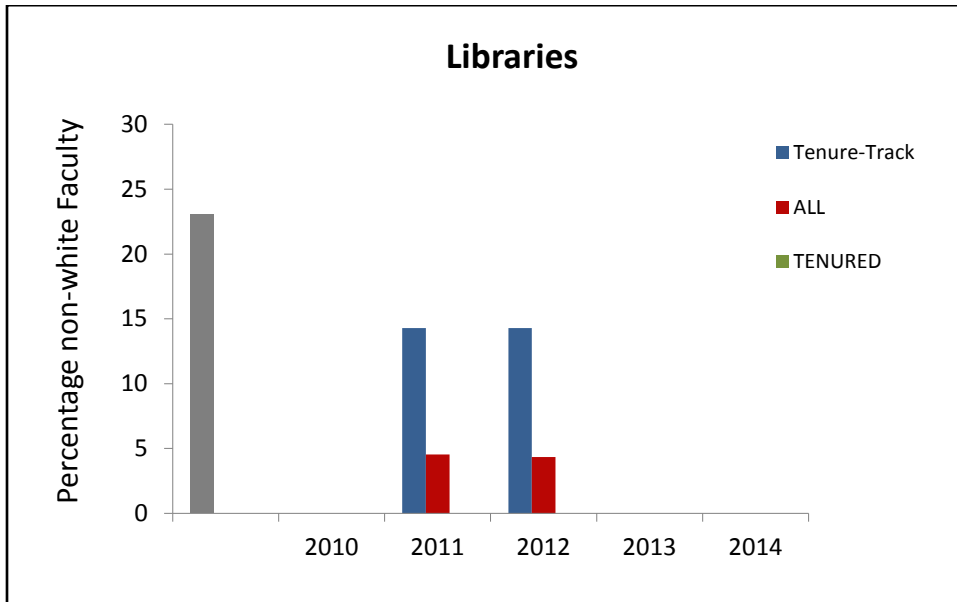


## LIBRARIES

No tenured ranks are showing for the last 5 years. Percentages of non-white tenure-track faculty are significantly below availability, with percentages = 0 for 2013 and 2014 indicating serious problems of retention. Problems with hiring are also evident.

Number of Non-white faculty (2014):

Tenure-track: 0      Tenured: 0



## 405.2 TENURE AND PROMOTION: CRITERIA FOR CORE FACULTY RANKS

### 2.2 Criteria for the Award of Tenure and for Promotion from Assistant to Associate Professor

Tenure and promotion from assistant to associate professor are awarded on the basis by which a faculty member performs his or her responsibilities as defined by the role statement. Although tenured and tenure-eligible faculty members are expected to carry out the major university functions of teaching, research or creative endeavors, extension, and service, individual emphasis will vary within and among academic departments as described in each faculty member's role statement. Each candidate must present evidence of effectiveness in all of the professional domains in which he or she performs, and must present evidence of excellence in the major emphasis of his or her role statement. The criteria for the award of tenure and the criteria for the award of promotion from assistant to associate professor are the same. These criteria include, but are not limited to: an established reputation based upon a balance of teaching, research or creative endeavors, extension, and service; broad recognition of professional success in the field of appointment; evidence of effectiveness in all of the professional domains in which the faculty member performs; and evidence of excellence in the major emphasis of his or her role statement (policies 401.3.2(3) and 405.2.1). Excellence is measured by standards for associate professors within the national professional peer group.

The foregoing criteria are to be applied to the following areas:

#### (1) Teaching.

Teaching includes but is not limited to all forms of instructional activities: classroom performance, broadcast and online instruction, mentoring students inside and outside the classroom, student advising and supervision, thesis and dissertation direction, and curriculum development. Documentation supporting teaching performance must include student and peer evaluations, and may include, but is not restricted to: proficiency in curriculum development as demonstrated through imaginative or creative use of instructional materials such as syllabi, instructional manuals, edited readings, case studies, media packages and computer programs; authorship of textbooks; teaching and/or advising awards; authorship of refereed articles on teaching; success of students in post-graduate endeavors; evidence of mentoring inside and outside the classroom, including work with graduate or undergraduate researchers, graduate instructors or undergraduate teaching fellows, applicants for major scholarships or grants, and Honors or other independent study work; recognition by peers of substantive contributions on graduate committees; service on professional committees, panels, and task forces; and invited lectures or panel participation.



## **405.5 TENURE AND PROMOTION: CRITERIA FOR PROFESSIONAL CAREER AND TECHNICAL EDUCATION FACULTY RANKS**

### **5.2 Criteria for the Award of Tenure and for Promotion from Professional Career and Technical Education Assistant Professor to Professional Career and Technical Education Associate Professor**

Tenure and promotion from professional career and technical education assistant professor to professional career and technical education associate professor are awarded on the basis by which a faculty member performs his or her assignment. Although professional career and technical education faculty are expected to carry out the major university functions of teaching, research or creative endeavors, and service responsibilities assigned to them, individual emphasis will vary as described in the faculty member's role statement. Each candidate must present evidence of effectiveness in all of the professional domains in which he or she performs and must present evidence of excellence in the major emphasis of his or her role statement.

The criteria for the award of tenure and for promotion from professional career and technical education assistant professor to professional career and technical education associate professor are the same. These criteria include, but are not limited to: all of the qualifications prescribed for an professional career and technical education assistant professor; a bachelor's degree from an accredited university; a minimum of seven years of full-time teaching at an accredited college; an established reputation based upon a balance of teaching, research or creative endeavors, and service; broad recognition for professional success in the field of appointment; evidence of effectiveness in all of the professional domains in which the faculty member performs; and evidence of excellence in the major emphasis of his or her role statement. Excellence is measured by national standards within the professional peer group.

The foregoing criteria are to be applied to the following areas:

#### (1) Teaching.

Teaching includes, but is not limited to, all forms of career and technical education instructional activities: classroom performance, student advising and supervision, oversight of independent learning mentoring students inside and outside the classroom, and curriculum development. Documentation supporting teaching performance must include student and peer evaluations, and may include, but is not restricted to: proficiency in identifying the needs of the identified audience; curriculum development as demonstrated through imaginative or creative use of up-to-date instructional methods materials such as workshops, conferences, classes, lectures, newsletters, syllabi, instructional manuals, assigned readings, case studies, media presentations, packages and computer-assisted instruction, programs; authorship of extension bulletins, self-instruction textbooks or other instructional materials; program development teaching and/or advising awards; authorship of refereed articles on teaching; evidence of mentoring inside and outside the classroom, including work with graduate or undergraduate researchers, graduate instructors or undergraduate teaching fellows,

applicants for major scholarships or grants, and Honors or other independent study work; success of students in post-instructional licensing procedures or employment placements; service on professional committees; panels and task forces; and invited presentations or panel participation and professional lectures or consultations.

## **405.10 TERM APPOINTMENTS AND PROMOTION: CRITERIA**

### **10.1 Criteria for Promotion to the Penultimate Ranks:**

Clinical or Research Assistant Professor, Assistant Professor (Federal Cooperator), Assistant Professor (Federal Research), Lecturer, Professional Practice Instructor to Clinical or Research Associate Professor, Associate Professor (Federal Cooperator), Associate Professor (Federal Research), Senior Lecturer, and Professional Practice Associate Professor

Promotion to the penultimate ranks is awarded on the basis by which a faculty member performs his or her role statement. Each candidate must present evidence of effectiveness in all of the professional domains in which he or she performs and must present evidence of excellence in the major emphasis of his or her role statement.

For promotion to the penultimate ranks, faculty members must demonstrate their ability to fulfill the following criteria, appropriate to their appointment:

#### (1) Teaching.

Teaching includes all forms of instructional activities: classroom performance, mentoring students inside and outside the classroom, student advising, clinical supervision, thesis and dissertation direction, and curriculum development. Evidence supporting teaching performance must include student and peer evaluations where appropriate, and may include, but is not restricted to: proficiency in curriculum development as demonstrated through imaginative or creative use of up-to-date instructional materials such as syllabi, instructional manuals, edited readings, case studies, media packages, and computer programs; authorship of textbooks; teaching and/or advising awards; authorship of refereed articles on teaching; success of students in post-graduate endeavors; evidence of mentoring inside and outside the classroom, including work with graduate or undergraduate researchers, graduate instructors or undergraduate teaching fellows, applicants for major scholarships or grants, and Honors or other independent study work; recognition by peers of substantive contributions on graduate committees; service on professional committees, panels, and task forces; invited lectures or panel participation.

## **Proposal for Code Change Related to Faculty Forum Sent to PRPC by Faculty Senate**

1. Move Faculty Forum date away from November regular faculty senate meeting
  - a. Motivation: The lack of a regular faculty senate meeting in November has caused significant delays in our ability to address important faculty business in the fall, and in the pace at which new course or academic program proposal from the Educational Policies Committee can move through the approval process. If we have the freedom to find another window to hold the Faculty Forum (away from a regularly scheduled senate meeting), we might also have the flexibility to pick a time and place that is more likely to facilitate widespread faculty participation.
  - b. Proposal
    - i. Revise code (Section 402.9) (see page 2 below) to identify an alternative date for Faculty Forum that does not conflict with a regular meeting of the Faculty Senate or Faculty Senate Executive Committee.
    - ii. Tentative suggestion – some time during the month of October.

## EXISTING CODE ON FACULTY FORUM

### 402.9 FACULTY FORUM

#### **9.1 Membership of the Faculty Forum; Description**

Faculty Forum consists of all elected Senate members, and the chairs of the Academic Freedom and Tenure Committee, the Budget and Faculty Welfare Committee, the Professional Responsibilities and Procedures Committee, the Faculty Diversity, Development and Equity Committee, and the Faculty Evaluation Committee. The Faculty Forum meetings are a means of open discussion for elected Senate members and the committee chairs without participation by or from the president of the university, the executive vice president and provost, the presidential appointees, academic deans and department heads, chancellors, regional campus deans, or the student members of the Senate, unless specifically requested by the Executive Committee of the Faculty Forum (see Policy 402.9.3(2)). During meetings of the Faculty Forum, participants may discuss subjects of current interest, question and debate any policies and procedures, and formulate recommendations for consideration by the Faculty Senate. The Faculty Forum does not exercise the legislative authority of the Faculty Senate.

#### **9.2 Meetings; Agenda; Notice**

The Faculty Forum shall convene at and in lieu of the regularly scheduled November meeting of the Senate. This annual scheduled meeting of the Faculty Forum will be open to all faculty members to attend and speak, with the exception of those excluded by policy 402.9.1.

Additional special meetings may be held by the call of the Faculty Forum President, or upon the written request of a majority of the Faculty Forum Executive Committee, or upon the written petition of 10 members of the Faculty Forum, or upon the written petition of 25 faculty members. Special meetings of the Faculty Forum will be scheduled, whenever possible, within two weeks after receipt of the petition(s) by the Faculty Forum President. Business at special meetings of the Faculty Forum will be conducted by Faculty Forum members. The Faculty Forum Executive Committee will set the agenda for the November meeting and other Faculty Forum meetings. The agenda will include all items raised by the petition(s), together with items deemed pertinent by the Executive Committee. The minutes and agenda for all Faculty Forum meetings shall be distributed in accordance with policy 402.4.2(3). Notice of the November Faculty Forum meeting will be given in the October Senate meeting and distributed to faculty on all campuses.

#### **9.3 Officers and Executive Committee of the Faculty Forum**

(1) Officers.

The Senate President shall preside over and conduct meetings of the Faculty Forum and its Executive Committee. The Senate President-Elect shall serve as the President-Elect of both, and shall perform the duties of the Senate President when the latter is unable to exercise them or when the Senate President-Elect is designated by the Senate President to perform in the Senate President's stead.

(2) Executive Committee of the Faculty Forum.

The Faculty Forum Executive Committee shall consist of the elected faculty members on the Senate Executive Committee (policy 402.12).

## **402.9 FACULTY FORUM**

### **9.1 Membership of the Faculty Forum; Description**

Faculty Forum consists of all elected Senate members, and the chairs of the Academic Freedom and Tenure Committee, the Budget and Faculty Welfare Committee, the Professional Responsibilities and Procedures Committee, the Faculty Diversity, Development and Equity Committee, and the Faculty Evaluation Committee. The Faculty Forum meetings are a means of open discussion for elected Senate members and the committee chairs without participation by or from the president of the university, the executive vice president and provost, the presidential appointees, academic deans and department heads, chancellors, regional campus deans, or the student members of the Senate, unless specifically requested by the Executive Committee of the Faculty Forum (see Policy 402.9.3(2)). During meetings of the Faculty Forum, participants may discuss subjects of current interest, question and debate any policies and procedures, and formulate recommendations for consideration by the Faculty Senate. The Faculty Forum does not exercise the legislative authority of the Faculty Senate.

### **9.2 Meetings; Agenda; Notice**

The Faculty Forum shall ~~convene at and in lieu of the regularly~~be scheduled in October or November ~~meeting of the Senate~~by the Officers and Executive Committee of the Faculty Forum. This annual scheduled meeting of the Faculty Forum will be open to all faculty members to attend and speak, with the exception of those excluded by policy 402.9.1.

Additional special meetings may be held by the call of the Faculty Forum President, or upon the written request of a majority of the Faculty Forum Executive Committee, or upon the written petition of 10 members of the Faculty Forum, or upon the written petition of 25 faculty members. Special meetings of the Faculty Forum will be scheduled, whenever possible, within two weeks after receipt of the petition(s) by the Faculty Forum President. Business at special meetings of the Faculty Forum will be conducted by Faculty Forum members. The Faculty Forum Executive Committee will set the agenda for the November meeting and other Faculty Forum meetings. The agenda will include all items raised by the petition(s), together with items deemed pertinent by the Executive Committee. The minutes and agenda for all Faculty Forum meetings shall be distributed in accordance with policy 402.4.2(3). Notice of the ~~November~~ Faculty Forum meeting will be given in the ~~October~~previous Senate meeting and distributed to faculty on all campuses.

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(2) Executive Committee of the Faculty Forum.

The Faculty Forum Executive Committee shall consist of the elected faculty members on the Senate Executive Committee (policy 402.12).

# **Post-Tenure Review Code Draft Consideration**

## **First Reading**

### **USU Faculty Senate**

#### **April 6, 2015**

For several years, the USU faculty senate and a variety of task forces and working groups have been exploring options to replace the current system for post-tenure review.

At the January 12, 2015 faculty senate meeting, a proposal that originated with a faculty senate PTR working group was approved by the senate to send to the Professional Responsibilities and Professional Communications (PRPC) committee with a request that PRPC draft code amendments that could implement this proposal.

The PRPC has completed drafting the code amendment and is submitting it to the full faculty senate for a first reading on April 6, 2015.

The draft was also circulated for input to the FS Executive Committee (FSEC), chairs of three FS committees (AFT, BFW, and FEC) and to the members of the FS PTR working group that met regularly last fall and that developed the proposal considered by the faculty senate in January. During those discussions, a number of possible amendments/edits to the PRPC proposal were identified.

At this stage, the PRPC and FSEC recommended forwarding the PRPC PTR code draft to the FS for discussion in the form that was approved by the PRPC.

In its last meeting, the FSEC also voted to recommend that the April 6, 2015 FS meeting agenda include time to consider a number of possible edits during the first reading of this code draft. In particular, they discussed and placed on the agenda two specific amendments for FS consideration – one addressing the appeals process if a PRC membership cannot be mutually agreed upon, another clarifying the deadlines for PRC activities. A set of 7 other possible changes were discussed, but the decision was made to leave it to the FS members to decide which of these to push forward for discussion and consideration at the April 6<sup>th</sup> meeting.

To facilitate discussions on the floor of the FS, the FS President (Jackson-Smith) created a set of background materials that can serve as a guide to our deliberations. The specific proposals included in that background material are not meant to be the only options, but represent a synthesis of suggestions made by different individuals and groups, and can serve as a starting point for FS debate.

In addition – two committees (AFT and BFW) submitted formal reports of their discussions and recommendations. These are appended to this material as background for the FS debate.

**SPECIFIC EDITING SUGGESTIONS FOR DRAFT PTR CODE**  
*(Developed by Doug Jackson-Smith, with input from FS committees,  
FS PTR Working Group members, and Faculty Senate Executive Committee)*  
**March 23, 2015**

Overview:

The draft of code from PRPC does a good job implementing nearly all of the elements that were included in the memo approved by the Faculty Senate on January 12, 2014. In reviewing the draft, a number of potential areas where the code draft could be modified were identified. The FS process allows faculty senate to edit/amend the draft code during the first reading (scheduled for April 6, 2014). To facilitate discussion on the floor of the faculty senate, the Faculty Senate Executive Committee approved presenting two formal amendments (see below) and supported consideration of seven additional possible amendments – versions of which individual senators could propose if they want on the floor of the senate.

FSEC recommended amendments (approved by FSEC 3/16/15):

- 1) **Add sentence to specify that an appeals process will be followed if mutual agreement between the faculty member and department head on membership on a PRC is not possible.** New material would start on line 172 (end of fourth paragraph under 406.12.2).
  - a. Option 1 (preferred by FSEC): **“If mutual agreement about membership for the PRC cannot be reached within 2 weeks, the college faculty appeals committee (CFAC) will be asked to form the PRC.”**
  - b. Option 2: **“If mutual agreement about membership for the PRC cannot be reached, individual department, college, and/or University appeal or hearing procedures should be used to resolve disagreements.”**
  - c. More detailed options are appended in appendix below.
  
- 2) **Clarify that the Peer Review Committee should meet and establish deadlines for the process.** Add three new sentences on line 185 (before 'For any meeting...')
  - a. **"These materials should be provided to the PRC within 3 weeks of the appointment of the committee. Within 4 weeks after receiving these materials, the PRC shall schedule a meeting to discuss their evaluation of the faculty member's post-tenure performance. At this meeting, the faculty member and department head should be allowed to make oral presentations to the committee."**

Additional amendments that could be considered by faculty senate:

- 3) **Clarify what types of meetings permit or require ombudsperson (lines 184-186)**
  - a. Insert bold text: **“... between the faculty member, the department head or supervisor, and/or the PRC for the purposes of formal post-tenure performance review, an ombudsperson may be requested ...”**



- 4) Clarify that the list of materials that will be provided to PRC is ‘the minimum’ not the only things that could be requested
  - a. At beginning of second sentence on line 176, revise the start with “**The documentation provided to the PRC shall at a minimum contain: the department head or supervisor’s negative annual evaluation letter...**”
- 5) Clarify timing and content of warning letter (lines 146-156)
  - a. Line 151 - add bold: “indicate this concern with regards to post-tenure performance **initially** by providing a formal written warning...”
  - b. Insert new sentence next: “**To serve as the formal written warning, this letter should clearly indicate that the department is concerned that, if performance does not improve, the department is likely to request the formation of a Peer Review Committee (PRC) to conduct a review of post-tenure performance as outlined below.**”
- 6) Clarify what happens when PRC determines the faculty member IS meeting the PTR standard (line 196)
  - a. Replace “no further action is required.” with “**a written summary of the reasons for their decision shall be provided to the faculty member, department head, and appropriate academic dean, vice-president for extension, regional campus dean, or chancellor, and no further action is required.**”
- 7) Make small changes in “voluntarily convened PRC” section (lines 158-161)
  - a. Line 160 – add new second sentence: “**The PRC will meet and review materials related to the 5-year performance of the faculty member.**”
  - b. Line 160 – replace ‘decision’ with ‘role’ as in: “The PRC role in this case is only to provide post-tenure performance feedback.”
  - c. Line 161 – continue last sentence by adding a new clause “**in writing to the faculty member requesting the review.**”
- 8) Make a small change in PRC membership paragraph Line 169 – add bold text:
  - a. “Department heads and supervisors of the faculty member being reviewed, **and any other faculty members formally involved in the departmental annual review decision that triggered the review,** shall not serve on the PRC...”
- 9) Provide for appeals process for PDP content (edited version of current code)
  - a. End of line 262, add: “If agreement cannot be reached, individual department, college, and/or University appeal or hearing procedures should be used to resolve disagreements ~~before transmitting revised role statements to promotion advisory committee and tenure committees.~~ Such appeal and hearing procedures can, upon request, include a review of the professional development plan by the Peer Review Committee described in policy 405.12.2.”

## **DETAILED APPENDIX OF CODE AMENDMENT OPTIONS AND SUGGESTIONS**

(for background use only – was provided to FSEC in advance of their most recent meeting).

### **1) Add an appeals process if mutual agreement on PRC membership cannot be reached.**

#### a. RATIONALE:

- i. This was explicitly called for in the memo sent to the PRPC from the faculty senate “An appeals procedure should be outlined to ensure a PRC can be formed if the faculty member and DH cannot agree on a fair and balanced membership for the PRC.”
- ii. Over the last 6 months, this idea has been a widely accepted component of the proposed process in discussions in the faculty senate, and in the deliberations of the PTR working group that drafted the proposal that was eventually approved by the senate.
- iii. This is critical to avoid having the process get bogged down when agreement cannot be reached.
- iv. This is very important to department heads, deans and the Provost to ensure that the post-tenure review process can proceed on a reasonable timetable. In our meeting with the DH Executive committee we agreed to include a “viable, fair and efficient way to resolve disagreements on who would serve on the review committee.”

#### b. SUGGESTION: Add new material starting on line 172 (end of fourth paragraph under 406.12.2):

- i. OPTION 1: “If mutual agreement about membership for the PRC cannot be reached, individual department, college, and/or University appeal or hearing procedures should be used to resolve disagreements.”
- ii. OPTION 2 “If mutual agreement about membership for the PRC cannot be reached within 2 weeks, the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean will be asked to form the PRC. They will request the faculty member and department head to each nominate 5 potential members who meet the criteria outlined above. The faculty member and department head each will then be allowed to veto 2 members from the others’ list. A committee will then be appointed that draws at least 2 members from the remaining names on each list, with a fifth member to be determined by the appropriate deans, VP, or chancellor.”
- iii. OPTION 3 “If mutual agreement about membership for the PRC cannot be reached within 2 weeks, the college faculty appeals committee (CFAC) will be asked to form the PRC. They will request the faculty member and department head to each nominate 5 potential members who meet the criteria outlined above. The faculty member and department head each will then be allowed to veto 2 members from the others’ list. A committee will then be appointed that draws at least 2 members from the remaining names on each list, with a fifth member to be determined by the CFAC.
  1. Requires us to set up a College Faculty Appeals Committee (CFAC) elsewhere in code.
  2. Perhaps have each department elect one full professor to serve on the CFAC for their college on staggered 3 year terms. Limit CFAC to 3 members?
  3. The CFAC’s job will be to resolve disagreements about membership of PRCs (and potentially PDP and/or T&P committees).

**2) Clarify that the PRC should meet and set deadlines**

a. RATIONALE:

- i. AFT feedback points out that the proposed change does not make it clear that the PRC has to actually meet. From the perspective of protecting and documenting the process, AFT insists that the code should require the following:
  1. a meeting of the PRC,
  2. the presence of an ombudsperson (with a checklist and training from the Provost's office [405.6.5]) at that meeting, and
  3. allowance for the faculty member to be present for at least part of that meeting.

b. SUGGESTION:

- i. Add a new sentence on line 185 (before 'For any meeting...') stating a timeframe within which the materials should be given to the PRC
  1. Possible text: "These materials should be provided to the PRC within 3 weeks of the appointment of the committee."
- ii. Start a new paragraph at line 185 (before 'For any meeting...')
  1. Possible text: "Within 4 weeks after receiving these materials, the PRC shall schedule a meeting to discuss their evaluation of the faculty member's post-tenure performance. At this meeting, the faculty member and department head should be allowed to make oral presentations to the committee."
  2. This sentence should be followed by some version of the ombudsperson text referenced below.

**3) Clarify the circumstances under which an ombudsperson may be requested (lines 185-187)**

a. RATIONALE:

- i. We definitely want an ombudsperson to be present if a formal meeting with consequences is held between the PRC, the DH, and the faculty member.
- ii. Faculty senate asked for clarification about the types of formal PTR meetings where an ombudsperson could be requested by the faculty member and DH.
- iii. We don't want to overload the ombudsperson system.

b. SUGGESTION:

- i. Add a word early on and a new clause in the middle of the sentence (in caps): "For any meeting held between the faculty member, the department head or supervisor, and/or the PRC FOR THE PURPOSES OF FORMAL POST-TENURE PERFORMANCE REVIEW, an ombudsperson may be requested by the faculty member, the department head or supervisor, and/or the PRC in accordance with policy 405.6.5."

- 4) Clarify that the list of materials that will be provided to PRC is ‘the minimum’ not the only things that could be requested**
- a. RATIONALE:
    - i. AFT feedback points out that the proposed change could be interpreted as limiting the materials that could be given (and there could be confusion about whether the exact same documents used in the departmental review should be considered by the PRC.
    - ii. They also point out that the ombudsperson could be given a checklist to ensure a full set of documents were given to the PRC.
  - b. SUGGESTION:
    - i. At beginning of second sentence on line 176, revise the start with “The documentation provided to the PRC shall at a minimum contain: the department head or supervisor’s negative annual evaluation letter...”
- 5) Clarify timing and content of warning letter (lines 146-156)**
- a. RATIONALE:
    - i. We need some mechanisms to address seriously underperforming faculty in the 5 years after tenure or promotion. The warning letter provides an important vehicle for departments to signal serious concerns about post-tenure performance before the formal decision is made to request a PRC in year 5.
    - ii. In order to request a PRC exactly 5 years after a tenure or promotion decision, it is necessary to allow warning letters to be issued in years 1-4. Whether this is possible is ambiguous in the current wording.
  - b. SUGGESTION:
    - i. Line 151 - add the word ‘initially’: “indicate this concern with regards to post-tenure performance INITIALLY by providing a formal written warning to the faculty member.”
    - ii. Insert new sentence next: “To serve as the formal written warning, this letter should clearly indicate that the department is concerned that, if performance does not improve, the department is likely to request the formation of a Peer Review Committee (PRC) to conduct a review of post-tenure performance as outlined below.”
- 6) Clarify what happens when PRC determines the faculty member IS meeting the PTR standard**
- a. RATIONALE:
    - i. Current draft says ‘no further action shall be required’ – yet it would make sense to ask the PRC to provide a written report/letter to the faculty member, department head, and relevant upper administrators.
  - b. SUGGESTION:
    - i. Line 196, replace “no further action is required.” to “a written summary of the reasons for their decision shall be provided to the faculty member, department head, and appropriate academic dean, vice-president for extension, regional campus dean, or chancellor, and no further action is required.”

**7) Make a small change in “voluntarily convened PRC” section (lines 158-161)**

- a. RATIONALE:
  - i. The PRC does not need to make a ‘decision’ if voluntarily convened by the faculty member. It makes more sense to refer to their ‘role’.
  - ii. We should specify that the PRC should meet and provide a written report to the faculty member requesting the review.
- b. SUGGESTION:
  - i. Line 160 – add new second sentence: “The PRC will meet and review materials related to the 5-year performance of the faculty member.”
  - ii. Line 160 – replace ‘decision’ with ‘role’ as in: “The PRC role in this case is only to provide post-tenure performance feedback.”
  - iii. Line 161 – continue last sentence by adding a new clause “in writing to the faculty member requesting the review.”

**8) Make a small change in PRC membership paragraph (lines 163-172)**

- a. RATIONALE:
  - i. Since some units have other faculty (e.g., program chairs) participate in the annual review process, we might want to ensure that any other faculty who play a formal role in the departmental annual review process not be allowed to serve on the PRC.
- b. SUGGESTION:
  - i. Line 169 – add a clause (in CAPS):
    - 1. “Department heads and supervisors of the faculty member being reviewed, AS WELL AS ANY OTHER FACULTY MEMBERS FORMALLY INVOLVED IN THE DEPARTMENTAL ANNUAL REVIEW DECISION THAT TRIGGERED THE REVIEW, shall not serve on the PRC...”

**9) Replace modified version of current appeals process for PDP content disagreements**

- a. RATIONALE:
  - i. If the PDP content cannot be mutually agreed upon, we need a way forward.
  - ii. Not sure why the appeals process was deleted in proposal – though the existing language references a ‘revised role statement’ not a PDP, which is confusing.
- b. SUGGESTION:
  - i. OPTION 1: Replace the appeals process with edited version of original code:
    - 1. At the end of line 262, add: “If agreement cannot be reached, individual department, college, and/or University appeal or hearing procedures should be used to resolve disagreements ~~before transmitting revised role statements to promotion advisory committee and tenure committees.~~ Such appeal and hearing procedures can, upon request, include a review of the professional development plan by the Peer Review Committee described in policy 405.12.2.”
  - ii. OPTION 2: Have the PRC resolve the disagreements about the PDP content.
  - iii. OPTION 3: Use faculty appeals committee outlined above

Academic Freedom and Tenure Committee (AFT)  
Feedback on Proposed Code Changes for Post-Tenure Review Process  
6 March 2015

At the request of Faculty Senate President Doug Jackson-Smith (in a February 25 email), the AFT committee reviewed a draft of proposed code changes from the Professional Responsibilities and Procedures Committee (PRPC), following ongoing discussions in the Faculty Senate regarding the post-tenure review process. The Faculty Senate President gave two deadlines for an AFT response – by Friday March 6<sup>th</sup> on three narrow issues (see second section below), and by the end of March on the overall package of proposed changes (see first section below). AFT met Wednesday March 4<sup>th</sup> to discuss these proposed code changes, and this document summarizes that discussion.

Overall Package of Proposed Changes (more AFT feedback coming by end of March)

The AFT committee has deep concerns about a central feature of the proposal, which implicitly allows the annual department-level review to be conducted by a department head or supervisor alone (in cases where such is the annual review procedure established by the department). This may be inconsistent with the requirement that the annual review be “consistent with accreditation standards” (Policy 405.12.1, proposed revision), as NWCCU accreditation standard 2.B.6 refers to the “collegial” element of regular faculty reviews. (“Collegial” is defined by dictionary.com as “of or characterized by the collective responsibility shared by each of a group of colleagues, with minimal supervision from above.”) Such an inconsistency in code may give rise to grievances, which relates to AFT jurisdiction. The AFT committee charged its chair John Stevens to contact NWCCU regarding the issue of whether a supervisor-only annual review could be considered “collegial.” John has done so and will report back to AFT and the Faculty Senate President by the end of March on this issue.

Also by the end of March, AFT will provide additional feedback on other issues from the proposed code changes involving AFT jurisdiction (such as process timelines, appeals, and a requirement that the “negative” and “warning” aspects of annual reviews be made explicit in the letter from the department head) and a few typographical errors. The two-stage nature of AFT feedback (with a second feedback document coming by the end of March) should not be interpreted by the Faculty Senate as tacit approval or disapproval of any other part of the proposed code changes, but only reflects the feedback deadlines suggested by the Faculty Senate President.

Three Narrow Issues (AFT feedback due Friday March 6<sup>th</sup>)

These same three issues were discussed in the March 2<sup>nd</sup> Faculty Senate meeting, but AFT still met to discuss them following the Faculty Senate President’s invitation. Feedback given here focuses on AFT jurisdiction, including processes that may give rise to grievances.

*(a) Should the ombudsperson be present at all Peer Review Committee (PRC) meetings?*

The proposed code changes do not actually require there to be any PRC meetings; it implicitly could allow purely email correspondence among PRC members. From the perspective of protecting and documenting the process, AFT insists that the code should require the following:

- i. a meeting of the PRC,
- ii. the presence of an ombudsperson (with a checklist and training from the Provost's office [405.6.5]) at that meeting, and
- iii. allowance for the faculty member to be present for at least part of that meeting.

*(b) Should a single sentence in current Policy 405.12.2, second paragraph [referring to (1) teaching, (2) research, and (3) service] be dropped?*

AFT agrees that this sentence could be safely dropped (as it has been in the proposed code changes) without threatening the process, as language in the same code section refers to the role statement, where such roles (teaching, research, and service) would be specified as appropriate.

*(c) What documents should be provided to the PRC?*

AFT agrees that the list of documents listed in the fifth paragraph of 405.12.2 (proposed version) should be sufficient for the purposes of the PRC. The presence of an ombudsperson (with appropriate checklist; see a.ii above) could ensure this important element of the process.

At the same time, from a procedural perspective AFT raises the concern that the wording of the first sentence of that paragraph suggests that those same documents are the only ones to be considered in the annual department-level review. (Inconsistency here could lead to grievances.) A possible point of discussion is whether the exact same set of documents should be considered by both the annual department-level review and PRC review, or whether perhaps the second sentence of the paragraph might instead read "The documentation provided to the PRC shall also at a minimum contain ..."

Respectfully Submitted,

John Stevens (as 2014-2015 AFT Chair)  
Dept. of Mathematics and Statistics  
Utah State University

Academic Freedom and Tenure Committee (AFT)  
Feedback on Proposed Code Changes for Post-Tenure Review Process  
27 March 2015

The AFT committee has reviewed the draft of proposed code changes regarding the post-tenure review process. AFT met Wednesday March 4<sup>th</sup> and Monday March 23<sup>rd</sup> to discuss these proposed code changes, and this document (along with our previous feedback in a March 6<sup>th</sup> document) summarizes those discussions on four specific issues relevant to AFT jurisdiction, with a few typographical comments. Overall, the AFT committee encourages the Faculty Senate to complete their consideration of the proposed changes, which should either be adopted (after some appropriate modification) or dropped altogether.

“Collegial” aspect of post-tenure review

The current post-tenure review discussion was prompted by NWCCU concerns (regarding inconsistent application of post-tenure reviews across units), and AFT has been concerned that part of the proposed changes may introduce a new NWCCU concern. Specifically, the proposed changes implicitly allow the annual department-level review to be conducted by a department head or supervisor alone (in cases where such is the annual review procedure established by the department). This may be inconsistent with the requirement that the annual review be “consistent with accreditation standards” (Policy 405.12.1, proposed revision), as NWCCU accreditation standard 2.B.6 refers to the “collegial” aspect of regular faculty reviews. Such an inconsistency in code may give rise to grievances, which relates to AFT jurisdiction.

“Collegial” is defined by dictionary.com as “of or characterized by the collective responsibility shared by each of a group of colleagues, with minimal supervision from above,” but across other similar dictionary definitions (which also refer to colleagues) there is a recurring connotation of “cordial.” On behalf of the AFT committee, its chair John Stevens contacted the NWCCU regarding the issue of whether a supervisor-only annual review could be considered “collegial” by applying the connotation of “cordial.” NWCCU Vice President Pam Goad responded (through USU’s Accreditation Liaison Officer Michael Torrens) in essence that this was a matter for USU to determine internally, and NWCCU would not respond further.

The unanimous consensus of the AFT committee is that the Faculty Senate must have an earnest discussion on this issue in particular, addressing the question, “Can the USU faculty interpret the word *collegial* (in NWCCU accreditation standard 2.B.6) as *cordial*?”

Process timelines

AFT recommends that the proposed changes include timelines for peer review committee (PRC) formation and meeting. Also, faculty members should have adequate time to show performance relative to professional development plan (PDP) standards. Since the PDP would be written by mutual agreement with the faculty member, such a timeline (for progress) may be faculty member specific, but mention of this in the code revisions would be worthwhile.



### Appeals process

AFT feels that the grievance and sanction appeal processes already in code should be adequate for violations of code relative to any post-tenure review process. We note, however, that there is no mechanism in code for mediation in the event that “mutual agreement” is not achieved on the PDP (or on other matters referred to in code using that phrase).

### “Warning” / “Negative” aspect of annual review letter

AFT strongly recommends that the “warning” or “negative” assessment in the department head’s annual review letter should be explicitly required by code. The format of the assessment may vary across departments, but there should be no ambiguity in whether a letter constitutes a “warning” or “negative” assessment. For example, if a letter constructively points out areas of possible improvement or future growth, it may not necessarily constitute a “warning”.

### Typographical comments

- Proposed code 405.12.3(1) refers to policy 405.12.2, which describes the PRC, not the in-depth evaluation.
- Proposed code 405.12.3(1) has a repeated use of the phrase “of the”.

Respectfully Submitted,

John Stevens (as 2014-2015 AFT Chair)  
Dept. of Mathematics and Statistics  
Utah State University

Memo: To FSEC

From: BFW

Date: March 16, 2015

Subject: Post Tenure Review

Members attending: Vicki Allan, Stephen Bialkowski, Rich Etchberger, Carol Kochan, Chris Monz, Ilka Nemere, Michael Pate, Christopher Skousen, Alan Stephens, Dale Wagner

The BFW committee met Friday February 27, 2015 to discuss the code revision produced by PRPC.

This memo is NOT to be considered the final statement of BFW regarding the proposal to change Section 405 of the code. We address two issues below: 1) whether the code revision written by PRPC follows the direction given to PRPC, and 2) an evaluation of the code revision in contrast to the current code or the current code with modifications.

Issue 1: Did PRPC do its job?

- BFW fully endorses the comments of John Stevens Chair of AFT. Professor Stevens states:

“Regarding context, it seems like the AFT, BFW, and FEC committees are being asked to verify that the proposed code changes accurately reflect the package that was sent from the faculty senate to PRPC. If we respond positively (or negatively), it could be incorrectly viewed as approval (or disapproval) of the content with respect to the committee's respective jurisdictions. For example, even if AFT unanimously felt that the proposed code changes would negatively affect academic freedom or the concept of tenure, but also unanimously conceded that the proposed code changes did accurately reflect the package PRPC was given, our response to this specific invitation could be interpreted (out of context) as unanimously positive.”

“Regarding jurisdiction, it really isn't within AFT jurisdiction to double-check that PRPC has done its job. Code says that AFT "will review, for consideration by the Senate, all matters pertaining to faculty rights, academic freedom, and tenure." Any review done by AFT should (and will) focus on those aspects alone. I'm a little concerned that if we do that, though, our response may be disregarded (or worse, misrepresented) since in your email you specifically say that you're not inviting

feedback on the content of the proposal, just how the draft "reflects the will of the senate."

- BFW for its part notes that our charge, in part, "is periodically evaluate and report to the Senate on matters relating to faculty salaries, insurance programs, retirement benefits, sabbatical leaves, consulting policies, and other faculty benefits." Of particular note is the evaluation of other faculty benefits of which any diminution of faculty rights under the code are of particular concern. Thus as Professor Stevens notes: "it really isn't within BFW's jurisdiction to double-check that PRPC has done its job."
- With respect to the PRPC code revision we note that two issues should be addressed.
  - That for all meetings between a faculty member and a committee, an ombudsperson must be present.
  - If we are going to persist with the fiction that the "department" not the Department Head does the evaluations with respect to PTR then the "department" must meet as a body once per year to ensure PTR standards are understood and applied.
  - BFW agrees with AFT on items b and c of their response dated March 6, 2015

#### Issue 2: Evaluation of the code revision.

- The "will of the senate" is supposedly presented in the code revision, however as Professor Stevens notes: "That January faculty senate meeting was unnecessarily rushed and uncivil. Senators were interrupting, talking over others, and misusing rules of order (such as repeated inappropriate applications of "calling the question" to prematurely end discussion)."
  - The central issue with the January meeting was the one-sided nature of the presentation that dealt only with the proposal coming out of FSEC committee. That is, all the senate did was modify the proposal coming out of the FSEC and then pass it along "as the will of the senate". At that point PRPC's hands were tied. However, there was no effort to examine the existing code and make the same sort of revisions. It simply sat by itself as the unwanted step child, ignored and with no defense.
  - As has been provided to FSEC multiple times, it is possible to tweak the existing code, with little effort, which will eliminate the problems of administrative interference and keep a faculty right with the faculty. This solution has been largely ignored by FSEC.
- The proposal continues to transfer a faculty right to an administrator, i.e., the department head.

- The proposal makes special effort to remove the term Department Head and replace it with Department. While in theory it is the department that makes evaluation decisions, this is largely a fictional structure and it is, in fact, the DH that makes all evaluative decisions.

As one member of BFW observed, “in all reviews, evaluations and salary discussions, FACULTY have been taken out of the process and we are enabling one more cut to faculty input.”

- Given that DHs, who are hired by and subject to the deans of the colleges, it may be expected that DHs would be in favor of the code change. However, there is evidence that DHs are not in favor of such a change.
- The proposal continues to be punitive rather than collaborative and includes no incentives. Thus the proposal has a serious incentive misalignment problem.
- The proposal is unnecessarily complex.
  - The single benefit that has been identified for this proposal is that it will reduce faculty workload. That is, faculty will not have to meet every 5 years to collaboratively work with their colleagues.
    - As our very young charges would say “REALLY!” Are we willing to admit that we are too lazy or incompetent to fulfill our duty to the academic community and that instead we, the faculty, are willing to rely on administrators whose allegiance is to the administrative structure and not necessarily to the faculty.
    - Are we willing to forego the idea that “Faculty status and related matters, such as appointments, reappointments, nonrenewals of appointments, terminations, dismissals, reductions in status, promotions, and the granting of tenure are primarily a faculty responsibility?” (401.8.1(3))
- The consensus of those attending the BFW meeting on February 27 is that the proposed code change is not in the best interests of the faculty.

1 **CURRENT CODE** (text that was deleted is highlighted in yellow)

2  
3 **405.12 REVIEW OF FACULTY**

4  
5 There are **two additional reviews** of faculty performance other than those for tenure-eligible faculty  
6 and for promotion. These are annual reviews for faculty for salary adjustments and for term  
7 appointment renewal, and **quinquennial reviews** of tenured faculty.

8  
9 Tenure (see Section 405.1) is a means to certain ends, specifically; freedom of teaching, research  
10 and other academic endeavors, and a sufficient degree of economic security to make the profession  
11 attractive to men and women of ability. Academic freedom and economic security for faculty are  
12 indispensable to the success of a university in fulfilling its obligation to its student and to society.  
13 With tenure comes professional responsibility, the obligation conscientiously and competently to  
14 devote one's energies and skills to the teaching, research, extension and service missions of the  
15 university. A central dimension of academic freedom is the exercise of professional judgment in  
16 such matters. The intent of post-tenure review is to support the principles of academic freedom and  
17 tenure through the provision of effective evaluation, useful feedback, appropriate intervention, and  
18 timely and affirmative assistance to ensure that every faculty member continues to experience  
19 professional development and accomplishment during the various phases of his or her career.  
20 Useful feedback should include tangible recognition to those faculty who have demonstrated high  
21 or improved performance. It is also the intent of this policy to acknowledge that there will be  
22 different expectations in different disciplines and changing expectations at different stages of  
23 faculty careers.

24  
25 **PROPOSED CODE** (text that is added is underlined)

26  
27 **405.12 REVIEW OF FACULTY**

28  
29 There is one additional review of faculty performance other than those used for tenure-eligible  
30 faculty and for promotion. This annual review shall be used for evaluation of faculty for salary  
31 adjustments, for term appointment renewal, and for post-tenure review of tenured faculty.

32  
33 Tenure (see Section 405.1) is a means to certain ends, specifically: freedom of teaching, research  
34 and other academic endeavors, and a sufficient degree of economic security to make the profession  
35 attractive to men and women of ability. Academic freedom and economic security for faculty are  
36 indispensable to the success of a university in fulfilling its obligation to students and to society.  
37 With tenure comes professional responsibility, the obligation conscientiously and competently to  
38 devote one's energies and skills to the teaching, research, extension, and service missions of the  
39 university. A central dimension of academic freedom is the exercise of professional judgment in  
40 such matters. The intent of post-tenure review is to support the principles of academic freedom and  
41 tenure through the provision of effective evaluation, useful feedback, appropriate intervention, and  
42 timely and affirmative assistance to ensure that every faculty member continues to experience  
43 professional development and accomplishment during the various phases of his or her career.  
44 Useful feedback should include recognition to those faculty who have demonstrated high or  
45 improved performance. It is also the intent of this policy to acknowledge that there will be different  
46 expectations in different disciplines and changing expectations at different stages of faculty careers.

47 **CURRENT CODE**

48  
49 **12.1 Annual Review of Faculty**

50  
51 Each department shall establish procedures by which all faculty shall be reviewed annually. Such  
52 reviews shall, at a minimum, incorporate an analysis of the fulfillment of the role statement. The  
53 basic standard for appraisal shall be whether the faculty member under review discharges  
54 conscientiously and with professional competence the duties appropriately associated with his or  
55 her position. The department head or supervisor shall meet with the faculty member annually to  
56 review this analysis of the fulfillment of the role statement and, subsequently, provide a written  
57 report of this review to the faculty member. A copy of this report shall be sent to the academic dean  
58 or vice president for extension, and, where appropriate, chancellor or regional campus dean. **The**  
59 **annual evaluation and recommendation by the department head or supervisor for tenure-eligible**  
60 **faculty (405.7.1 (3) may constitute this review for salary adjustment.** For faculty with term  
61 appointments, the annual review shall also include a recommendation regarding renewal of the term  
62 appointment.

63 **PROPOSED CODE**

64  
65  
66 **12.1 Annual Review of Faculty**

67  
68 Each department shall establish procedures by which all faculty shall be reviewed annually. This  
69 evaluation shall review the work of each faculty member in a manner and frequency consistent  
70 with accreditation standards. In the case of tenured faculty, this evaluation shall encompass a  
71 multi-year window of performance that covers a five-year span. Such reviews shall, at a minimum,  
72 incorporate an analysis of the fulfillment of the role statement. The basic standard for appraisal  
73 shall be whether the faculty member under review discharges conscientiously and with  
74 professional competence the duties appropriately associated with his or her position. The  
75 department head or supervisor shall meet with the faculty member annually to review this  
76 analysis of the fulfillment of the role statement and, subsequently, provide a written report of this  
77 review to the faculty member. A copy of this report shall be sent to the academic dean or vice  
78 president for extension, and, where appropriate, chancellor or regional campus dean. The annual  
79 evaluation and recommendation letter by the department head or supervisor developed for tenure-  
80 eligible faculty as part of the promotion and tenure process (405.7.1 (3)) may not serve as a  
81 substitute for this annual review letter. For faculty with term appointments, the annual review letter  
82 shall also include a recommendation regarding renewal of the term appointment.

83  
84  
**Comment [DJS1]:** This change already approved by faculty senate on March 2, 2015.

85 **CURRENT CODE**

86  
87 **12.2 Quinquennial Review of Tenured Faculty**

88  
89 Tenured faculty shall be reviewed every five years by a post-tenure quinquennial review committee  
90 consisting of at least three tenured faculty members who hold rank equal to or greater than the  
91 faculty member being reviewed. The committee shall be appointed by the department head or  
92 supervisor in consultation with the faculty member and academic dean or vice president for  
93 extension, and, where applicable, the chancellor or regional campus dean, and must include at least  
94 one member from outside the academic unit. If there are fewer than two faculty members in the  
95 academic unit with equal to or higher rank than the candidate, then the department head or  
96 supervisor shall, in consultation with the academic dean or vice president for extension, and, where  
97 appropriate, the chancellor or regional campus dean, complete the membership of the committee  
98 with faculty of related academic units. Department heads and supervisors of the faculty member  
99 being reviewed shall not serve on this committee, and no committee member may be a department  
100 head or supervisor of any other member of the committee. An administrator may only be appointed  
101 to the quinquennial review committee with the approval of the faculty member under consideration.  
102

103 For post-tenure quinquennial review meetings and for meetings held between either the department  
104 head or supervisor and the candidate to review the committee's evaluation and recommendation, the  
105 candidate or department head or supervisor may request the presence of an ombudsperson in  
106 accordance with policy 405.6.5. The basic standard for appraisal shall be whether the faculty  
107 member under review discharges conscientiously and with professional competence the duties  
108 appropriately associated with his or her position as specified in the role statement. It is the intent of  
109 this policy to acknowledge that there will be different expectations in different disciplines and  
110 changing expectations at different stages of faculty careers. This evaluation of tenured faculty shall  
111 include the review of the annual evaluation (405.12.1), and shall include the current curriculum vita  
112 and other professional materials deemed necessary by the faculty member, and any professional  
113 development plan in place. The review will be discipline and role specific, as appropriate to  
114 evaluate: (1) teaching, through student, collegial, and administrative assessment; (2) the quality of  
115 scholarly and creative performance and/or research productivity; and (3) service to the profession,  
116 the university, and the community. The criteria for the award of tenure or promotion to the most  
117 senior ranks shall not be employed for the review of the tenured faculty. In the event that a faculty  
118 member is promoted to the most senior rank, the review made by his or her promotion committee  
119 shall constitute the quinquennial review. In such cases, another review need not be scheduled for  
120 five years.  
121

122 Upon completion of its review, the review committee for tenured faculty shall submit a written  
123 report to the department head or supervisor, who shall forward a copy to the academic dean or vice  
124 president for extension, and, where appropriate, chancellor or regional campus dean. A copy of the  
125 committee's report shall be sent to the faculty member. In the event that the outcomes of a  
126 professional development plan are contested (405.12.3(3)), the review committee for tenured  
127 faculty may be called upon by the faculty member to conduct its quinquennial review ahead of  
128 schedule. In such cases, another review need not be scheduled for five years. The review committee  
129 may also, at times, between its quinquennial reviews, review the professional development plan as  
130 described in sections (405.12.3(1-2)).  
131

132 **PROPOSED CODE**

133

134 **12.2 Post-Tenure Review of Tenured Faculty**

135

136 Beginning the year after a faculty member's tenure or post-tenure decision, the annual review  
137 process (405.12.1) shall also provide formal assessment on the post-tenure performance of tenured  
138 faculty. The review will be discipline and role specific, as appropriate to evaluate post-tenure  
139 performance. The basic standard for post-tenure review shall be whether the faculty member under  
140 review discharges conscientiously and with professional competence the duties appropriately  
141 associated with his or her position as specified in the role statement. It is the intent of this policy to  
142 acknowledge that there will be different expectations in different disciplines and changing  
143 expectations at different stages of faculty careers. The criteria for the award of tenure or promotion  
144 to the most senior ranks shall not be employed for the review of the tenured faculty.

145

146 To fulfill this requirement, and beginning no earlier than 5 years after a faculty member is promoted  
147 or awarded tenure, the department head or supervisor will be required in writing to indicate as part  
148 of the annual review letter whether or not the faculty member is meeting the formal standard for  
149 post-tenure review outlined above. If a department is concerned that a faculty member is not  
150 meeting the post-tenure review standards, the department head or supervisor must indicate this  
151 concern with regards to post-tenure performance by providing a formal written warning to the  
152 faculty member. If no less than one year after issuing a formal written warning the department again  
153 determines that the faculty member is not meeting the post-tenure review standard, the department  
154 head or supervisor must formally request in writing that a Peer Review Committee (PRC) be formed  
155 to provide an independent evaluation of whether the faculty member has met the post-tenure review  
156 standard.

157

158 A tenured faculty member may optionally request the formation of a PRC to provide feedback on  
159 post-tenure performance, but such a request may not be made more than once every five years nor  
160 earlier than five years after being promoted in rank or granted tenure. The PRC decision in this case  
161 is only to provide post-tenure performance feedback.

162

163 The PRC shall consist of at least three tenured faculty members who hold rank equal to or greater  
164 than the faculty member being reviewed, and shall be formed by mutual agreement of the  
165 department head or supervisor, and the faculty member being reviewed. The PRC must include at  
166 least one member from outside the academic unit of the faculty member being reviewed. If there are  
167 fewer than two faculty members in the academic unit with equal to or higher rank than the  
168 candidate, the committee members may be selected from faculty of related academic units.  
169 Department heads and supervisors of the faculty member being reviewed shall not serve on the  
170 PRC, and no committee member may be a department head or supervisor of any other member of  
171 the PRC. An administrator may only be appointed to the PRC with the approval of the faculty  
172 member under consideration.

173

174

175 To carry out its review, the PRC shall be provided with a copy of the documentation used by the  
176 department to evaluate the five-year performance of the faculty member in question. This  
177 documentation shall at a minimum contain: the department head or supervisor's negative annual  
178 evaluation letter of the faculty member (405.12.1) and the warning letter that led to the forming of



179 the PRC; the previous five annual written evaluations; the faculty member's current role statement  
180 and curriculum vitae; other professional materials deemed necessary by the faculty member; and  
181 any professional development plan in place. The PRC may also receive a written statement from  
182 the department head or supervisor citing the reasons for determining that the faculty member is not  
183 meeting the post-tenure review standard, as well as a written statement from the faculty member  
184 under post-tenure review, outlining his or her response to the department head or supervisor's  
185 negative post-tenure evaluation. For any meeting held between the faculty member, the department  
186 head or supervisor, and/or the PRC, an ombudsperson may be requested by the faculty member, the  
187 department head or supervisor, and/or the PRC in accordance with policy 405.6.5.  
188

189 Upon completion of its review, the PRC shall submit its written findings outlining the PRC's  
190 decision and rationale for determining whether the faculty member in question is, or is not,  
191 discharging conscientiously and with professional competence the duties appropriately associated  
192 with his or her position, as specified in the role statement. This written report shall be provided to  
193 the faculty member in question, and to the department head or supervisor who shall forward a copy  
194 to the academic dean or vice president for extension, and, where appropriate, chancellor or regional  
195 campus dean. If the PRC determines that the faculty member is meeting the standard for post-tenure  
196 performance, no further action shall be required. If the PRC agrees with the recommendation of the  
197 department that the faculty member in question is not meeting the standard for post-tenure  
198 performance, a professional development plan shall be initiated as outlined in policy 405.12.3.  
199

200 If a PRC is formed at the request of a faculty member, and not because of a formal negative  
201 departmental evaluation, it shall be formed according to procedures outlined above.  
202  
203

204 **CURRENT CODE**

205

206 **12.3. Professional Development Plan**

207

208 (1) The department head or supervisor may, as a consequence of the annual review process, initiate  
209 the negotiation of a professional development plan to help the tenured faculty member more fully  
210 meet role expectations. The plan shall respect academic freedom and professional self-direction,  
211 and shall permit subsequent alteration. The professional development plan shall be mutually agreed  
212 to and signed by the faculty member and the department head or supervisor and approved by the  
213 academic dean or vice president for extension, and, where appropriate, the chancellor or regional  
214 campus dean. If agreement cannot be reached, individual department, college, and/or University  
215 appeal or hearing procedures should be used to resolve disagreements before transmitting revised  
216 role statements to promotion advisory committee and tenure committees. Such appeal and hearing  
217 procedures can, upon request, include a review of the professional development plan by the Review  
218 Committee described in policy 405.12.2.

219

220 (2) The professional development plan should include elements which: (1) identify the specific  
221 strengths and weaknesses (if any) and relate these to the allocation of effort assigned in the role  
222 statement; (2) define specific goals or outcomes needed to remedy the identified deficiencies; (3)  
223 outline the activities that are necessary to achieve the needed outcomes; (4) set appropriate time lines  
224 for implementing and monitoring the activities and achieving the outcomes; (5) indicate appropriate  
225 criteria for progress reviews and the evaluation of outcomes; and (6) identify any institutional  
226 commitments in the plan.

227

228 (3) The faculty member shall meet with the department head or supervisor, at times indicated as  
229 appropriate in the professional development plan, to monitor progress toward accomplishment of  
230 the goals or outcomes included in the plan. The department head or supervisor shall, at the  
231 conclusion of the professional development plan, evaluate the fulfillment of the goals or outcomes  
232 described in the plan, in terms of the criteria established by the plan. The department head or  
233 supervisor shall meet with the faculty member to review this analysis and subsequently, the  
234 department head or supervisor shall provide a written report of this review to the faculty member  
235 and shall also forward a copy to the academic dean or vice president for extension, and, where  
236 appropriate, the chancellor or regional campus dean. For meetings held between either the  
237 department head or supervisor and faculty member to discuss the report, the faculty member or  
238 department head or supervisor may request the presence of an ombudsperson in accordance with  
239 policy 405.6.5. At the request of the faculty member, department head, or supervisor, this report  
240 may be reviewed by the committee for tenured faculty, who shall conduct an in-depth evaluation as  
241 described in 405.12.2, including an analysis of the fulfillment of the goals or outcomes, or any other  
242 features included in the professional development plan. In this event, this in-depth review shall  
243 constitute the quinquennial review and another review need not be scheduled for five years. Upon  
244 completion of its review, the committee shall submit a written report to the department head or  
245 supervisor. A copy of the committee's report shall be sent to the faculty member, to the chancellor  
246 or campus dean and to the academic dean or vice president for extension.

247

248

249

250

251 **PROPOSED CODE**

252  
253 **12.3 Professional Development Plan**

254  
255 (1) A determination by a Peer Review Committee (PRC) that a faculty member is not discharging  
256 conscientiously and with professional competence the duties appropriately associated with his or  
257 her position as specified in their role statement shall lead to the negotiation of a professional  
258 development plan to help the tenured faculty member more fully meet role expectations. The plan  
259 shall respect academic freedom and professional self-direction, and shall permit subsequent  
260 alteration. The professional development plan shall be mutually agreed to and signed by the faculty  
261 member and the department head or supervisor, and approved by the academic dean or vice  
262 president for extension, and, where appropriate, the chancellor or regional campus dean. At the  
263 request of the faculty member, department head or supervisor, the professional development plan  
264 may be reviewed by the PRC, who shall conduct an in-depth evaluation, as described in policy  
265 405.12.2, including an analysis of the of the goals or outcomes, or any other features of the  
266 professional development plan. Upon completion of its review, the PRC shall submit its written  
267 findings outlining the PRC's decision and rationale for determining whether the professional  
268 development plan is appropriate. This written report shall be provided to the faculty member in  
269 question, and to the department head or supervisor who shall forward a copy to the academic dean  
270 or vice president for extension, and, where appropriate, chancellor or regional campus dean.

271  
272 (2) The professional development plan should include elements which: (i) identify the faculty  
273 member's specific strengths and weaknesses (if any), and relate these to the allocation of effort  
274 assigned in the role statement; (ii) define specific goals or outcomes needed to remedy the  
275 identified deficiencies; (iii) outline the activities that are necessary to achieve the needed outcomes;  
276 (iv) set appropriate time lines for implementing and monitoring the activities and achieving the  
277 outcomes; (v) indicate appropriate criteria for progress reviews and the evaluation of outcomes; and  
278 (vi) identify any institutional commitments in the plan.

279  
280 (3) The faculty member shall meet with the department head or supervisor, at times indicated as  
281 appropriate in the professional development plan, to monitor progress toward accomplishment of  
282 the goals or outcomes included in the plan. The department head or supervisor shall, at the  
283 conclusion of the professional development plan, evaluate the fulfillment of the goals or outcomes  
284 described in the plan, in terms of the criteria established by the plan. The department head or  
285 supervisor shall meet with the faculty member to review this analysis and subsequently, the  
286 department head or supervisor shall provide a written report of this review to the faculty member. A  
287 copy of this written report shall also be forwarded to the PRC members, the academic dean or vice  
288 president for extension and, where appropriate, the chancellor or regional campus dean. For  
289 meetings held between either the department head or supervisor and faculty member to discuss the  
290 report, the faculty member or department head or supervisor may request the presence of an  
291 ombudsperson in accordance with policy 405.6.5. At the request of the faculty member, department  
292 head, or supervisor, this report may be reviewed by the PRC, who shall conduct an in-depth  
293 evaluation as described in 405.12.2, including an analysis of the fulfillment of the goals or  
294 outcomes, or any other features included in the professional development plan. Upon completion of  
295 its review, the PRC shall submit a written report of its findings to the faculty member, to the  
296 chancellor or campus dean, and to the academic dean or vice president for extension.

**Comment [DJS2]:** These sentences were moved up from the third section (in current code) to this paragraph (in the revision) - and modified to reference the PRC.

## **Section 405.6.5**

### **6.5 Ombudspersons**

All academic units will appoint ombudspersons to serve in the promotion, tenure, and post-tenure review processes. Ombudspersons will be tenured faculty members (as defined in section 401.2.1) and elected or appointed in their respective academic units. The provost's office will develop and implement a plan for the ombudsperson program that defines the election or appointment process, the terms of office, the training, and the implementation of the ombudsperson program.

An ombudsperson must be present in person or by electronic conferencing at all meetings of a promotion advisory committee or a tenure advisory committee. Ombudspersons must receive adequate advance notice of a committee meeting from the chairperson.

For post-tenure **quinquennial** review meetings and for meetings held between either the department head or supervisor and the tenure, promotion, or review candidate to review the committee's evaluation and recommendation, the candidate or department head or supervisor may request the presence of an ombudsperson.

The ombudsperson is responsible for ensuring that the rights of the candidate and the university are protected and that due process is followed according to section 400 of the USU Policy Manual. Ombudspersons shall not judge or assess the candidate, and therefore is not a member of the promotion, tenure, or review committee, or a supervisor of the candidate.

Ombudspersons who observe a violation of due process during a committee meeting should immediately intervene to identify the violation. Committee reports shall be submitted to the department head or supervisor only if they include the ombudsperson's signed statement that due process has been followed. If the ombudsperson cannot sign such a statement, then the ombudsperson shall report irregularities to the department head or supervisor and the appropriate dean or other administrator. After conferring with the ombudsperson, the department head or supervisor, dean or other administrator will determine what, if any, actions should be taken.

## **Proposal for code change on P&T committee membership (From Faculty Senate Executive Committee)**

### **CORE IDEA:**

Replace the phrase ‘in consultation with’ with ‘by mutual agreement with’ in sections of code where the appointment of

1. Motivation: To provide faculty with the right to help decide the composition of the committees that engage in reviews for tenure and promotion decisions, and post-tenure review purposes.
2. Proposal
  - a. Revise several sections of code (see specific text below):
    - i. 405.6.2 (1) Tenure Advisory Committee (TAC)
    - ii. 405.6.2 (2) Promotion Advisory Committee (PAC)
    - iii. 405.8.2 (1) Meetings of the PAC
    - iv. 405.11.2 Term Faculty Promotion Advisory Committee
    - v. 405.12.2 Quinquennial Review of Tenured Faculty
  - b. Replace “in consultation with” with “by mutual agreement with” the faculty member and other appropriate decision-makers.
  - c. To review places in the code where “by mutual agreement with” is currently used –see below.

## **AREAS WITHIN SECTION 405 OF CURRENT FACULTY CODE WHERE “IN CONSULTATION WITH” IS MENTIONED**

### **405. 6 TENURE, PROMOTION AND REVIEW: GENERAL PROCEDURES**

#### **405.6.2 Advisory Committees**

(1) Tenure advisory committee (TAC).

For each new tenure-eligible faculty member who is appointed, the faculty member's department head or supervisor shall, **in consultation with** the faculty member and with the approval of the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean, appoint a tenure advisory committee. A tenure advisory committee must be appointed during the faculty member's first semester of service. The committee shall consist of at least five members, one of whom must be from outside the academic unit. The department head or supervisor will designate the chair of the committee. The dean of the college will appoint a tenure advisory committee for department heads appointed without tenure in academic departments. The provost will appoint a tenure advisory committee for deans, vice presidents, or chancellors (where applicable) appointed without tenure.

The tenure advisory committee members shall be tenured and hold rank higher than that held by the faculty member under consideration unless that faculty member is an untenured full professor, librarian, extension professor, or professional career and technical education professor. If there are fewer than five faculty members in the academic unit with higher rank than the candidate, then the department head or supervisor shall, **in consultation with** the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean, complete the membership of the committee with faculty of related academic units. The department head or supervisor of the candidate shall not serve on the tenure advisory committees, and no committee member may be a department head or supervisor of any other member of the committee. A department head or supervisor may only be appointed to the TAC with the approval of the faculty member under consideration. The department head or supervisor for each committee shall fill vacancies on the committee. **In consultation with** the faculty member, academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean, the department head or supervisor may replace members of the tenure advisory committee. The candidate may request replacement of committee members subject to the approval of the department head or supervisor, and the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean.

The role and responsibility of the TAC is to provide an annual evaluation of a faculty member's progress toward tenure and promotion. The TAC is responsible for providing feedback to the faculty member with regard to progress toward tenure and promotion, and shall recommend (a) to renew the appointment or (b) not to renew the appointment (407.2.1(5)). In the final year of the pre-tenure probationary period, the committee shall recommend (a) awarding promotion and tenure or (b) denying promotion and tenure (407.2.1(5)). At any time during the pre-tenure probationary period, the committee can be asked to render judgment on an administrative proposal to grant promotion and tenure in accordance with Section 405.7.3(1) of the USU Policy Manual. Under those circumstances, the TAC shall recommend (a) to award promotion and tenure or (b) to continue the pre-tenure probationary period.

## (2) Promotion Advisory Committee (PAC)

When a faculty member without tenure is to be considered for promotion, the tenure advisory committee shall also serve as a promotion advisory committee. The term of this committee shall expire when the faculty member is awarded tenure.

Following tenure, if a faculty member so desires, he or she may request in writing to the department head or supervisor that a promotion advisory committee be formed and meet with the faculty member. This shall be done by the department head **in consultation with** the faculty member and academic dean, or vice president for extension, and, where appropriate, the chancellor or regional campus dean, within 30 days of receipt of the written request. The promotion advisory committee must be formed by February 15th of the third year following tenure and it is recommended that the informational meeting outlined in 405.8.2(1) below be held at this time.

The promotion advisory committee shall be composed of at least five faculty members who have tenure and higher rank than does the faculty member. The department head or supervisor shall appoint a chair other than him or herself. Normally, two academic unit members of higher rank who have served on the candidate's tenure advisory committee shall be appointed to the promotion advisory committee, and at least one member shall be chosen from outside the academic unit. If there are fewer than four faculty members in the academic unit with higher rank than the candidate, then the department head or supervisor shall, **in consultation with** the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean, complete the membership of the committee with faculty of related academic units. Department heads and supervisors of the candidate shall not serve on promotion advisory committees, and no committee member may be a department head or supervisor of any other member of the committee. A department head or supervisor may only be appointed to the promotion advisory committee in unusual circumstances and with the approval of the faculty member under consideration. The appointing authority for each committee shall fill vacancies on the committee as they occur. **In consultation with** the faculty member and academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean, the department head or supervisor may replace members of the promotion advisory committee. The candidate may request removal of committee members subject to the approval of the department head or supervisor and the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean...

## **405.8 PROCEDURES SPECIFIC TO THE PROMOTION PROCESS**

### **405.8.2 Faculty with Tenure**

The promotion advisory committee shall meet upon request of the faculty member, or in no case later than February 15 of the third year following tenure, to consider a recommendation for promotion.

The department head or supervisor, academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean, provost, or president may propose promotion. Such a proposal shall be referred to the promotion advisory committee for consideration and all procedures of 405.8.3 shall be followed.

#### **(1) Meetings of the promotion advisory committee**

When the promotion advisory committee, formed by the department head or supervisor **in consultation with** the faculty member and with the approval of the chancellor or regional campus dean (where applicable) and the academic dean, meets for the first time, the purpose of this meeting, similar to the first tenure meeting, will be to ensure that an appropriate role statement is in place and to provide information to the faculty member about promotion to the rank of professor...

## **405.11 TERM APPOINTMENT: GENERAL PROCEDURES FOR PROMOTION**

### **405.11.2 Promotion Advisory Committee**

When a faculty member with term appointment is being considered for promotion, the department head or supervisor shall, **in consultation with** the academic dean or vice president for extension, and, where applicable, the chancellor or regional campus dean appoint a promotion advisory committee of at least five faculty members who have higher rank than does the candidate for promotion, a majority of whom are tenured. The department head or supervisor shall appoint a chair other than him or herself. The promotion advisory committee shall be appointed during the fall semester of the year upon the request of the faculty member who seeks promotion. At least one member shall be chosen from outside the academic unit. If there are fewer than five qualified faculty members in the academic unit, the department head or supervisor shall, **in consultation with** the academic dean, or vice president for extension, and, where applicable, the chancellor or regional campus dean, fill the vacancies with qualified faculty of related academic units. The department head or supervisor for each committee shall fill vacancies on the committee. The department head or supervisor may, with the approval of the academic dean or vice president for extension, and, where applicable, the chancellor or regional campus dean, replace members of the promotion advisory committee. The candidate may request removal of committee members subject to the approval of the department head or supervisor and the academic dean or vice president for extension, and, where applicable, the chancellor or regional campus dean...



## **405.12 REVIEW OF FACULTY**

### **405.12.2 Quinquennial Review of Tenured Faculty**

Tenured faculty shall be reviewed every five years by a post-tenure quinquennial review committee consisting of at least three tenured faculty members who hold rank equal to or greater than the faculty member being reviewed. The committee shall be appointed by the department head or supervisor **in consultation with** the faculty member and academic dean or vice president for extension, and, where applicable, the chancellor or regional campus dean, and must include at least one member from outside the academic unit. If there are fewer than two faculty members in the academic unit with equal to or higher rank than the candidate, then the department head or supervisor shall, **in consultation with** the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean, complete the membership of the committee with faculty of related academic units. Department heads and supervisors of the faculty member being reviewed shall not serve on this committee, and no committee member may be a department head or supervisor of any other member of the committee. An administrator may only be appointed to the quinquennial review committee with the approval of the faculty member under consideration.

## **AREAS WITHIN 405 SECTION OF CURRENT FACULTY CODE WHERE “MUTUAL AGREEMENT” IS CURRENTLY USED**

### **405. 6 TENURE, PROMOTION AND REVIEW: GENERAL PROCEDURES**

#### **6.1 Role Statement and Role Assignment**

A role statement will be prepared by the department head or supervisor, agreed upon between the department head or supervisor and the faculty member at the time he or she accepts an appointment, and approved by the academic dean and the provost and where applicable, the chancellor, vice president for extension or regional campus dean. The role statement shall include percentages for each area of professional domains (404.1.2). These percentages will define the relative evaluation weight to be given to performance in each of the different areas of professional domains. Role statements serve two primary functions.

First, the faculty member can gauge his or her expenditure of time and energy relative to the various roles the faculty member is asked to perform in the university. Second, role statements provide the medium by which the assigned duties of the faculty member are described, including the campus or center location, and by which administrators and evaluation committees can judge and counsel a faculty member with regard to his or her allocation of effort. During the search process, the department head or supervisor will discuss with each candidate his or her prospective role in the academic unit as defined by the role statement.

The role statement shall be reviewed, signed and dated annually by the faculty member and department head or supervisor and academic dean, or, where appropriate, the vice president for extension, chancellor, or regional campus dean and revised as needed. Any subsequent revision may be initiated by either the faculty member or the department head or supervisor. Any revision of the role statement, including the campus or center location, **should be mutually agreed to by the faculty member and department head or supervisor and approved by the academic dean or vice president for extension, and, where applicable, the chancellor or regional campus dean.** If agreement cannot be reached, individual department, college, and/or University appeal or hearing procedures should be used to resolve disagreements before transmitting revised role statements to promotion advisory committee and tenure committees.

## **405.7 PROCEDURES SPECIFIC TO THE TENURE PROCESS**

### **7.2 Additional Events During the Year in which a Tenure Decision is to be Made**

#### (1) External peer reviews.

Prior to September 15, the department head or supervisor will make a solicitation of letters from at least four peers of rank equivalent to or higher than that sought by the candidate. If fewer than four letters arrive, additional letters will be solicited only to attain the minimum of four letters. The reviewers must be external to the university and must be held with respect in academe. The candidate will be asked to submit the names of potential reviewers and to state the nature of his or her acquaintance with each of them. The number of names should be at least equal to the number of letters to be solicited. At least one-half of the reviewers must be selected from the candidate's list. The candidate may also submit names of potential reviewers that he or she does not want contacted, although this list is not binding on the department head or supervisor.

**The department head or supervisor and the tenure advisory committee shall mutually agree to the peer reviewers from whom letters will be solicited.** A summary of the pertinent information in his or her file initially prepared by the candidate and a cover letter initially drafted by the department head or supervisor with **final drafts mutually agreed upon by the candidate, the tenure advisory committee, and the department head or supervisor** shall be sent to each reviewer by the department head or supervisor. Each external reviewer should be asked to state, the nature of his or her acquaintance with the candidate and to evaluate the performance, record, accomplishments, recognition and standing of the candidate in the major area of emphasis of his or her role statement. If the candidate, department head, and tenure advisory committee all agree, external reviewers may be asked to evaluate the secondary area of emphasis in the role statement as well. Copies of these letters will become supplementary material to the candidate's file (see Code 405.6.3).

## **405.8 PROCEDURES SPECIFIC TO THE PROMOTION PROCESS**

### **8.3 Procedures for Promotion**

#### (1) External peer reviews.

Prior to September 15, the department head or supervisor will solicit letters from at least four peers of rank equivalent to or higher than that sought by the candidate. If fewer than four letters arrive, additional letters will be solicited only to attain the minimum of four letters. The reviewers must be external to the university and must be held with respect in academe. The candidate will be asked to submit the names of potential reviewers and to state the nature of his or her acquaintance with each of them. The number of names should be at least equal to the number of letters to be solicited. At least one-half of the reviewers must be selected from the candidate's list. The candidate may also submit names of potential reviewers that he or she does not want contacted, although this list is not binding on the department head or supervisor.

**The department head or supervisor and the promotion advisory committee shall mutually agree to the peer reviewers from whom letters will be solicited.** A summary of the pertinent information in his or her file initially prepared by the candidate and a cover letter initially drafted by the department head or supervisor with **final drafts mutually agreed upon by the candidate, the promotion advisory committee, and the department head or supervisor** shall be sent to each reviewer by the department head or supervisor. Each external reviewer should be asked to state the nature of his or her acquaintance with the candidate, and to evaluate the performance, record, accomplishments, recognition and standing of the candidate in the major area of emphasis of his or her role statement. If the candidate, department head, and promotion advisory committee all agree, external reviewers may be asked to evaluate the secondary area of emphasis in the role statement as well. Copies of these letters will become supplementary material to the candidate's file.

#### (2) Evaluation and recommendation by the promotion advisory committee.

## **405.11 TERM APPOINTMENT: GENERAL PROCEDURES FOR PROMOTION**

### **11.1 Role Statement and Role Assignments**

A role statement will be prepared by the department head or supervisor, agreed upon between the department head or supervisor and the faculty member at the time he or she accepts an appointment, and approved by the academic dean and the provost and, where applicable, the chancellor, vice president for extension or regional campus dean. In determining the role statement, consideration shall be given to all forms of professional service (policy 404.1.2). Role statements provide the medium by which the assigned duties of the faculty member are described and by which administrators and promotion evaluation committees can judge a faculty member with regard to his or her performance. During the search process, the department head or supervisor will discuss with each candidate his or her prospective role in the academic unit as defined by the role statement.

The role statement shall be reviewed annually and shall be revised as needed. The process of revision may be initiated by either the faculty member or the department head or supervisor. **Any revision of the role statement should be mutually agreed to by the faculty member and department head or supervisor and approved by the academic dean or vice president for extension, and, where applicable, the chancellor or regional campus dean.** If agreement cannot be reached, individual department, college, and/or University appeal or hearing procedures should be used to resolve disagreements before transmitting revised role statements to promotion advisory committees. A copy of the role statement, and any later revisions, will be provided to the faculty member, the department head or supervisor, the academic dean or vice president for extension and the provost, and where applicable, the chancellor or regional campus dean, and the members of the tenure and/or promotion advisory committee.

### **11.4 Events During the Year in which a Promotion Decision is to be Made**

#### **(1) External peer reviews**

Prior to September 15, the department head or supervisor will make a single solicitation of letters from at least four peers of rank equivalent to or higher than that sought by the candidate. If less than four letters arrive, additional letters will be solicited to attain the minimum of four letters. The reviewers must be external to the university and must be respected in their fields. The candidate will be asked to submit the names of potential reviewers and to state the nature of his or her acquaintance with each of them. The number of names should be at least equal to the number of letters to be solicited. At least one-half of the reviewers must be selected from candidate's list. **The department head or supervisor and the promotion advisory committee shall mutually agree to the peer reviewers from whom letters will be solicited.** A summary of the pertinent information in his or her file initially drafted by the department head or supervisor, with **final drafts agreed upon by the candidate, the promotion advisory committee, and the department head or supervisor**, shall be sent to each reviewer by the department head or supervisor. Each reviewer should be asked to state at the very least the nature of his or her acquaintance with the candidate, and to evaluate the candidate's work, recognition, and standing among his or her peers. Copies of these letters will become supplementary material to the candidate's file. The external review process is not required for those seeking promotion in the lecturer ranks.

## 405.12 REVIEW OF FACULTY

### 12.3 Professional Development Plan

(1) The department head or supervisor may, as a consequence of the annual review process, initiate the negotiation of a professional development plan to help the tenured faculty member more fully meet role expectations. The plan shall respect academic freedom and professional self-direction, and shall permit subsequent alteration. **The professional development plan shall be mutually agreed to and signed by the faculty member and the department head or supervisor and approved by the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean.** If agreement cannot be reached, individual department, college, and/or University appeal or hearing procedures should be used to resolve disagreements before transmitting revised role statements to promotion advisory committee and tenure committees. Such appeal and hearing procedures can, upon request, include a review of the professional development plan by the Review Committee described in policy 405.12.2.