

Selected Faculty Personnel Policies reprinted from Chapter 4 of the Grand Valley State University *Administrative Manual* approved by the Board of Trustees and republished in Chapter 4 of the *Faculty Handbook*

2.5 Regular Faculty Rank.

1. Except for librarians, regular faculty appointments within the university are made in one of the following ranks: Professor, Associate Professor, Assistant Professor, or Instructor. The nature of the accepted terminal degree for any given program is to be decided by the Dean in consultation with the Unit offering that program.

Instructor. A person who does not possess a terminal degree and has limited teaching experience.

Assistant Professor. This is the usual entry-level appointment for a person with a terminal degree and little teaching experience or others without a terminal degree but with appropriate teaching or professional experience.

To be considered for promotion to Assistant Professor, an Instructor should have appropriate credentials and prove to be an effective teacher.

Associate Professor. Appointment at the Associate level is ordinarily contingent upon a terminal degree, demonstrated competence and experience in teaching at the university level, and recognized scholarly achievements.

To be promoted to Associate, an Assistant Professor must display consistent teaching effectiveness, and should have earned the doctorate or appropriate terminal degree, except in extraordinary circumstances where the evidence demonstrates that the absence of the degree does not inhibit the faculty member's professional standing and performance. In addition, the person should have achieved professional recognition through scholarship or creative activity; show evidence of professional development; and have made contributions to the university and community. The extent of participation in these areas will be affected by a variety of factors, including the stage of the faculty member's career and the program objectives of the unit, College, and University. Ordinarily, at least five full time equivalent years at the rank of Assistant Professor must be completed before an Assistant Professor may be considered for promotion to Associate Professor (see Section 2.8.4 for early tenure/promotion criteria).

Professor. Only distinguished scholars and professionals will qualify for initial appointment as Professor.

To be promoted to Professor, an Associate Professor must display consistent excellence in teaching and should have earned the doctorate or appropriate terminal degree except in extraordinary circumstances where the evidence demonstrates that the absence of the doctorate does not inhibit the faculty member's professional

standing and performance. In addition, the person should have achieved acknowledged professional recognition through scholarship or creative activity; have demonstrated professional development; and have provided vital contributions to the unit, college, university and community. The extent of faculty member's contribution in these areas will be affected by a variety of factors, including the stage of the faculty member's career and the program objectives of the university, college and unit. Ordinarily, at least six (6) full-time equivalent years at the rank of Associate Professor must be completed before an Associate Professor may submit materials for review to be considered for promotion to Professor (see Section 2.8.4 for early tenure/promotion criteria). Seniority alone shall not be sufficient for promotion.

Librarian. Professional Librarians possessing the appropriate terminal degree.

2. For librarians, regular faculty appointments within the university are made in one of the following ranks: Senior, Associate, Assistant, or Instructor.

Instructor Librarian. A person who possesses the terminal degree but has no professional experience in academic or research libraries.

The terminal degree for librarians shall be the Master's Degree in Library Science from an institution accredited by the American Library Association.

Assistant Librarian. This is the usual entry-level appointment for a person with the terminal degree and minimal professional experience in academic or research libraries.

To be considered for promotion to Assistant Librarian, an Instructor Librarian should prove to be an effective academic librarian. Ordinarily, at least three full-time equivalent years at the rank of Instructor Librarian are required before an Instructor Librarian is considered for promotion to Assistant Librarian.

Associate Librarian. Appointments to Associate Librarian are ordinarily contingent upon demonstrated competence and experience as a librarian at the university level and on professional achievement. To be promoted to Associate Librarian, an Assistant Librarian must display consistent professional effectiveness. In addition, the person should show evidence of professional development and have made contributions to the university and the profession. The extent of the faculty member's contribution in these areas will be affected by a variety of factors, including the stage of the faculty member's career and the program objectives of the university. Ordinarily, at least five full-time equivalent years at the rank of Assistant Librarian are required before an Assistant Librarian is considered for promotion to Associate Librarian (see Section 2.8.4 for early tenure/promotion criteria).

Senior Librarian. Only distinguished professional librarians will qualify for initial appointment as Senior Librarian.

To be promoted to Senior Librarian, an Associate Librarian must display consistent excellence in academic librarianship. In addition, the person should have consistently demonstrated excellence in creative activity or scholarship in the profession, show

professional development, and have made vital contributions to the Library, University, and community. The extent of the faculty member's contribution in these areas will be affected by a variety of factors, including the stage of the faculty member's career and the program objectives of the university. Ordinarily, at least six (6) full-time equivalent years at the rank of Associate Librarian must be completed before an Associate Librarian is considered for promotion to Senior Librarian (see Section 2.8.4 for early tenure/promotion criteria). Seniority alone shall not be sufficient for promotion.

Refer to [Section 2.9](#) for evaluation criteria for all full-and part-time faculty as defined in [Section 2.1](#) and above.

- 2.6 **Initial Appointment.** Normally, new regular faculty appointed to a tenure track position shall be on probation. The initial probationary appointment may be awarded for one or three years, subject to renewal. All terms and conditions of appointment not specifically covered in these policies will be covered in the initial letter of appointment.
- 2.7 **Probationary Appointments.** A regular faculty member's total probationary period shall not exceed seven (7) full-time equivalent years of continuing appointment (not including unpaid leaves) at Grand Valley State University. Allowance may be given for up to three (3) full-time equivalent years of service of an academic nature in other institutions of higher learning at the rank of Assistant Professor, or higher, or Librarian; or, full-time service as a visiting faculty member at the rank of Assistant Professor or higher at Grand Valley State University. The exact number of years equated toward the probationary period will be stipulated in writing as a part of the appointment process, but will normally not exceed two (2) years, or two (2) full-time equivalent years for regular faculty with less than full-time appointments. If two (2) years allowance is given, then the first formal review will take place in year four (4) rather than in year three (3); if three (3) years allowance is given, then the tenure review in year six (6) will be the only formal review, unless, at the time of appointment, the candidate requests and the dean approves a pre-tenure review in year five(5). If allowance for previous service is stipulated, it shall not subsequently be changed, rescinded or revoked. Notwithstanding any other provision of [Chapter 4](#) of the Administrative Manual, a regular faculty member's probationary period shall not be extended once it is established.

If allowance for prior service is not granted, a faculty member will be appointed for an initial four (4) year period and the first formal review for this appointment will occur in the winter semester of the third year. If the first formal review is successful, the faculty member will be eligible for a three (3) year renewal appointment.

The second formal review occurs during the winter semester of the sixth year of the probationary period. The second formal review will be the tenure decision.

In the event allowance for prior service was not granted, if the first formal review is not successful, the fourth year of the probationary appointment will be honored as a terminal year. In the event allowance for prior service was not granted, if the second formal review, occurring in the sixth year, is not successful, the seventh year of probationary period will be honored as a terminal year.

If allowance for prior service is granted by the Dean as provided above, the Dean's appointment letter shall address the length of the initial appointment and the review cycle for a formal review and tenure review.

Notwithstanding the foregoing in Section 2.7, by March 30 of the academic year during which the probationary faculty member's formal review is not being conducted pursuant to Section 2.10 (typically, the first, second, fourth, or fifth year), the dean may direct or the unit may vote that a contract review take place during the first half of the fall semester of the following academic year. The written notice to the faculty member of the review must include an explanation for the review and a statement that in the event of an unsatisfactory review, the review year will be the terminal year. Other than being conducted during the fall semester, such a review will follow the procedures for a normally timed contract renewal as called for in Section 2.10, with the unit and the college personnel committee voting to either recommend or not recommend early termination to the dean.

If the probationary faculty member's contract is terminated, the review year will be the terminal year.

1. Renewal Of Probationary Appointments. Appointment renewals for regular faculty on probationary appointments normally will be for a period of three (3) years. A renewal for less than three years may be recommended if:

- A. The three (3) or two (2) year period extends beyond the regular faculty member's total probationary period;
- B. The College's Personnel Committee recommends a one (1) or two (2) year renewal and the recommendation is accepted by the Dean;
- C. The Dean recommends a one (1) or two (2) year contract and gives the College's Personnel Committee the reasons for such action;
- D. The regular faculty member does not have the accepted terminal degree in the discipline.

2. Extending Probationary Appointments by Pausing the Tenure Clock

A faculty member may request an extension of the probationary period by pausing the tenure clock so that she or he may withdraw from teaching, work part-time or continue to work full-time while attending to other commitments. The pausing of the tenure clock will not be held against the faculty member in regards to any upcoming personnel reviews. A request for an extension may be submitted regardless of pay status; i.e. full pay or full or partial unpaid leave of absence. A request must be made in writing to the Dean after consultation with the faculty member's unit head. The Dean may approve a request for a maximum of two (2) years in total during the probationary period. Approval of the request will result in postponement of the time period of a contract renewal and/or tenure review and the new review date will be stipulated in the Dean's approval letter. Unless mutually agreed to by the faculty member and the Dean, the new review shall take place during the winter semester following the schedule of Section 2.10.4. Following is the list of circumstances under

which a faculty member may be approved for an extension of the probationary period:

- A. Faculty member's significant health issue, illness or injury;
- B. The birth or adoption of a child (available to both mother, father and household member);
- C. Substantial care giving responsibility for a person residing in the household or someone listed in Section 2.30.3;
- D. Military service obligation;
- E. Current immigration status does not permit tenure;
- F. Unforeseen and significant disruption that is outside the control of the faculty member and is directly related to an area of evaluation criteria for contract renewal or tenure as stated in Section 2.9;
- G. Changes in appointment to either part-time work or administrative assignment; or
- H. An unpaid leave of absence pursuant to Section 2.30.6.

2.8 Academic Tenure.

1. **Statement of Principle.** The granting of tenure marks the end of a faculty member's period of probation and the beginning of a continuous appointment. The primary purpose of tenure is the safeguarding of academic freedom, although it is also recognized that tenure offers a degree of economic security which allows the University to attract and maintain a faculty of high ability and, hence, to strengthen the excellence of its programs and its overall academic quality.
2. Regular faculty with academic tenure may be removed from their appointments only through the terms and procedures described below for Dismissal for Adequate Cause (see Section 2.13.1) or Reduction in Force (Section 21.5).
3. **Standards and Criteria for Tenure.** Tenure involves the long-range commitment of the University to an individual faculty member and of faculty colleagues to each other. All decisions regarding the granting of tenure will necessarily entail judgments about both the present level of a faculty member's accomplishment and performance and the prospect of its continuation into the future.

To be awarded tenure, the candidate must have a documented record of consistent teaching effectiveness (for librarians, consistent professional effectiveness), professional recognition through scholarship or creative activity; professional development, and contributions to the unit, College, University and community. In addition, the candidate should have earned the doctorate or appropriate terminal degree, except in extraordinary circumstances where the evidence demonstrates that the absence of the degree does not inhibit the faculty member's professional standing

and performance.

A candidate at the rank of associate professor must meet the standards and criteria for that rank to be awarded tenure (see Section 2.5.1). A candidate at the rank of full professor must meet the standards and criteria for that rank to be awarded tenure (see Section 2.5.1).

4. **Early Tenure and/or Promotion.** A faculty member may request, in writing to the Dean, that he/she be considered by his/her unit for early tenure and/or promotion (see Section 2.10.3). To be awarded early tenure and/or promotion, a faculty member must demonstrate that he/she has exceeded the expectations in all three areas of evaluation (see Section 2.9.1), as defined by unit and college criteria.

2.9 **Areas of Evaluation for Renewal of Probationary Appointments, Promotion, Tenure, and Periodic Performance Reviews.**

1. **College Regular Faculty.** The individual College's Personnel Committee will use the evaluation criteria indicated in this section in arriving at its recommendations. All regular faculty, whether full- or part-time, shall be evaluated on the same criteria and shall be expected to demonstrate that they meet the level of performance consistent with the expectations of their rank. In these personnel actions, except Dismissal for Adequate Cause, the burden of proving that their performance warrants the personnel action under consideration rests with the regular faculty member to be reviewed. It is the University's responsibility to process the requested personnel action. Each of the criteria listed below must be demonstrated to some degree, but teaching is regarded as the most important.

It is essential that regular faculty review be thorough, fair and in accord with clearly stated standards and criteria (Section 2.9) and procedures (Section 2.10).

- A. **Effective Teaching.** Effective teaching facilitates student learning and includes, but is not limited to, knowledge of the field taught, classroom and mentoring performance, and communication and human relations skills. Faculty members teach effectively by challenging and engaging students, by supporting their academic and professional growth, and by establishing and maintaining high academic standards. They address in their courses relevant knowledge together with intellectual and practical skills pertinent to the discipline or profession. They use appropriate pedagogies and relevant assessments of student learning. They contribute to revising or developing courses and curricula as needed by their units. Effective teaching must be documented by: a) self-evaluation, b) peer evaluation, and c) student evaluations.
- B. **Scholarly/Creative Activity.** This includes, but is not limited to, professional research, creative activities, scholarly writing, editorial boards, scholarly presentations at conferences, participation in professional activities, degrees and continued education, and holding official positions in professional organizations when the position has scholarly outcomes.

C. Service to Unit, College, University, the Profession, and the Community. A faculty workload includes service to the unit, College, and University, as well as to the community/profession. Unit, college and university service includes, but is not limited to, participation in university governance, unit, college and university committees, curriculum development, serve as an advisor to student organizations, and carry out special assignments. Community service and service to the profession involves the engagement of a faculty member's professional expertise. Community service includes, but is not limited to, engaging in community outreach, acting as a board member in a community based organization, participating in public service programs, and work as a pro bono consultant on community projects when representing the University. Service to the profession includes leadership or committee roles in professional organizations. Each unit will determine the types of community/professional service most appropriate to its specific mission and program objectives. It is the responsibility of each faculty member to describe the nature of the service and the time commitment involved.

Each college must establish its own standards and criteria for evaluation at each rank and tenure. College standards and criteria may be more specific than University standards and criteria, but may not contradict or conflict with them. After approval by the Dean, these standards and criteria must be submitted to the Provost for approval.

Each unit must establish its own standards and criteria for evaluation at each rank and tenure. These standards and criteria must be submitted to each unit's Dean for approval. Each candidate for a personnel action must include a copy of these unit guidelines in his/her portfolio. Unit standards and criteria may be more specific than College standards and criteria, but may not contradict or conflict with them or the University standards and criteria. Each candidate for a personnel action must include a copy of these unit guidelines in their portfolio.

It is recognized that the relative importance of any of the professional achievement and service criteria may vary depending upon a variety of factors including the stage of the regular faculty member's career, the purpose of the evaluation, and the program objectives of the unit, College, and University.

2. Library Regular¹ Faculty. The Library's Personnel Committee will use the evaluation criteria indicated in this section in arriving at its recommendations. All regular library faculty, whether full- or part-time, shall be evaluated on the same criteria and be expected to demonstrate that they meet the level of performance consistent with the expectations of their rank. In these personnel actions, except Dismissal for Adequate Cause, the burden of proving that their performance warrants the personnel action under consideration rests with the regular faculty member to be reviewed. It is the University's responsibility to process the requested personnel action. Each of the criteria listed below must be demonstrated to some degree. Professional effectiveness is regarded as most important.

A. Professional Effectiveness. This includes, but is not limited to, knowledge of library and information science; performance in reference service, collection

development, and bibliographic organization and control; communication skills; human relations skills; evaluation skills; and teaching, although not necessarily in a classroom situation. Evaluation of such activities will be on the basis of the judgment of colleagues and/or those who are instructed or served.

- B. Scholarly/Creative Achievement.** This includes, but is not limited to, participation in professional activities and organizations, activities related to inquiry and research, consulting, continued education, and scholarly writing and presentations.
- C. Service to Unit, University, and the Profession/Community.** Service is an integral component of a faculty member's responsibilities although the nature and distribution of service will vary with both the opportunities available and the needs of the institution and its surrounding community. Unit and university service includes, but is not limited to, participation in university governance, unit and university committees, curriculum development, serve as an advisor to student organizations, and carry out special assignments. Community service and service to the profession involves the engagement of a faculty member's professional expertise in response to community needs. Community service includes, but is not limited to, engaging in community outreach, acting as a board member in a community based organization, participating in public service programs, and work as a pro bono consultant on community projects when representing the university. Service to the profession includes leadership or committee roles in professional organizations. The Library will determine the types of community/professional service most appropriate to its specific mission and program objectives. It is the responsibility of each faculty member to describe the nature of the service and the time commitment involved.

The Library must establish its own standards and criteria for evaluation. Library standards and criteria may be more specific than university standards and criteria, but may not contradict or conflict with them. After approval by the Dean, these standards and criteria must be submitted to the Provost for approval. Each candidate for a personnel action must include a copy of these unit guidelines in his/her portfolio.

2.10 **Procedures for Regular Faculty Appointment Renewal, Promotion, Tenure, Sabbaticals, Periodic Performance Review, and Dismissal for Adequate Cause.**

- 1. College/Library Personnel Committee.** Each College and Library will establish a Personnel Committee to recommend action concerning regular faculty appointment renewals, promotion, tenure, sabbaticals, and periodic performance reviews within the separate College or Library. The Committees recommend to their respective Deans and shall not adopt policies or procedures contrary to the procedures contained in [Section 2](#) of the Administrative Manual. Pursuant to [Section 2.13.1](#), the Dean can initiate review of a case by the Personnel Committee regarding Dismissal for Adequate Cause.
- 2. College/Library Personnel Committees Composition.** All regular faculty members (Section 2.1) will be eligible to vote for members to serve on their respective

College/Library Personnel Committee. Each fall semester, each College or the Library shall decide if the Dean will attend as an ex-officio, non-voting member of the Personnel Committee and the results of the decision shall be reported to the Chair of the University Academic Senate.

The Personnel Committee of the Colleges and Library will be composed of a minimum of five tenured faculty members with not more than two (2) voting faculty members being from the same school/department/program in the College/Library as the candidate.

A. Composition.

Within Colleges/Library. The Personnel Committees of the Colleges and the Library shall be composed as follows:

College of Liberal Arts and Sciences: The Personnel Committee shall be composed of twelve (12) elected members of the College. There may be no more than one (1) elected Committee member from any one (1) unit in the College. One third of the membership will be elected at the end of each academic year for a term of three (3) years. At the beginning of the academic year, there will be an election for alternates to the College Personnel Committee. An alternate will serve until the next regular election if a vacancy arises on the College Personnel Committee.

Seidman College of Business: The Personnel Committee shall be composed of five (5) faculty members elected by the faculty, one from each department, excluding chairpersons. Personnel Committee members are elected for staggered two-year terms.

College of Community and Public Service: The Personnel Committee shall have at least five (5) members. There shall be no more than two (2) members from each unit within the College and there should be at least one member from each unit. If no tenured member is elected from a unit, an at-large, tenured member will be elected. The Committee shall not exceed seven (7) persons. The standard term on Personnel Committee is three (3) years, which will be staggered among the members.

College of Education: The Personnel Committee shall be composed of five (5) faculty to be elected by Faculty Council, which consists of all the faculty. One (1) member shall be elected from each of the two units in the College of Education. One (1) member shall be elected at large from the College of Education faculty. The remaining two (2) members from appropriate disciplines outside the College of Education shall be elected by the faculty from a slate of candidates provided by the Provost in consultation with the Dean of the College. Members will serve in staggered, three-year terms.

Padnos College of Engineering and Computing: The Personnel Committee shall be composed of six (6) tenured faculty members elected by the regular faculty, two (2) from the School of Engineering, two (2) from the School of

Computing and Information Systems and one alternate from each School. The voting members for any personnel action are the two (2) members from the School of the faculty member being considered and the two (2) members plus the alternate member from the alternate school.

College of Health Professions: The Personnel Committee shall be composed of one (1) tenured faculty member from each department. The faculty members from the College will be elected by the College of Health Profession's faculty from a slate provided by the Dean of the College from appropriate departments. Faculty Council of the College, in consultation with the Dean, may select an additional faculty member to serve as a diversity advocate, who serves *ex-officio* and without the right to vote. The voting members for any personnel action are the members who are not from the department of the faculty member being considered. If a department does not have a faculty member meeting the qualifications for the College Personnel Committee, eligible faculty will be determined by the provost in consultation with the Dean of the College and then elected by a College vote. No member shall serve more than two (2) consecutive three-year terms (6 years).

Brooks College of Interdisciplinary Studies: The Personnel Committee shall be composed of three (3) internal and two (2) external tenured faculty elected by the eligible voters. External members are elected from a slate approved by the Provost and developed in consultation with the Dean of Brooks College and the Brooks College Faculty Council. Faculty Council of the College, in consultation with the Dean, may elect an additional faculty member to serve as a diversity advocate, who serves *ex officio* and without the right to vote.

Kirkhof College of Nursing: The Personnel Committee shall be composed of a minimum of five (5) faculty members with a majority of members elected by the faculty from a slate provided by the Provost from appropriate disciplines outside the College to be determined by the Provost in consultation with the Dean of the College and less than a majority of the Personnel Committee elected from the faculty in the College. Members shall be elected for a term of three years and can serve on the Committee for a maximum of two consecutive terms (6 years).

Library: The Personnel Committee shall be composed of a minimum of five (5) faculty members a majority of members elected by the Library faculty from a slate provided by the Provost from appropriate disciplines to be determined by the Provost in consultation with the Dean of that College and less than a majority of the Personnel Committee elected from the faculty in the College.

Conflict of Interest. A Committee member may be excused from a particular decision making process should there be a conflict of interest. The Chair of the College Personnel Committee, in consultation with the Dean, shall determine if a conflict of interest exists. If it is asserted that the Chair of the College Personnel Committee has a conflict of interest, the Chair of the Executive Committee of the Senate, in consultation with the Chair of the College Personnel Committee and the Dean, shall determine if a conflict of interest exists. However, the fact that a Committee member is from the same unit as the regular faculty member being

reviewed is not per se a conflict of interest.

Committee Chair and Other Issues. Other issues pertaining to the committee membership and the selection of a chair will be determined by the respective Colleges.

- B. Personnel Committee Meetings.** Electronic or Mechanical recording is not permitted at any time during Personnel Committee meetings. However, minutes shall be taken and include: any vote taken, the numerical results of all votes, date, time, place of the meeting, and names of who were in attendance. The following must be present and vote on the personnel action in order to constitute a recommendation of the Personnel Committee: four when there are five members, four when there are six members, and five when there are seven members, or if more than seven members, then two-thirds (2/3rds) of the size of the Personnel Committee rounded up to the nearest whole number. (See [Section 2.10.2A](#) for composition of a Personnel Committee.) The Dean shall not be present during a vote of the Personnel Committee. While proxy and absentee votes are not allowed, absent committee members may send their evaluations to all committee members. If the Personnel Committee is unable to carry out its responsibilities due to the absence of one committee member who misses three consecutive meetings, the Dean will be notified for the purpose of facilitating the designation of an appropriate replacement.
- 3. Initiation of Reviews.** The Dean normally initiates actions to be considered by the College Personnel Committee based on review of their regular faculty members' status. For promotion and tenure, faculty members will ordinarily follow the timelines outlined in [Sections 2.5](#) and [2.7](#). However, faculty members may request, in writing to the Dean, to be considered by their unit for promotion at any time or for early tenure (see Section 2.8.4 for early tenure/promotion criteria). This notification must take place at least two weeks before the Dean is scheduled to notify the unit of personnel actions for that semester (See [Section 2.10.4](#) for the personnel schedule). A person being considered for early tenure and/or promotion may withdraw the request(s) for consideration at any time.
- A. Reappointment.** The Dean informs the unit head of the regular faculty in the unit requiring reappointment decisions and the options available.
- B. Promotion.** The unit head, Dean or any other member of the unit may initiate proceedings for consideration of promotion.
- C. Tenure.** The Dean is responsible for insuring that tenure is considered in the next to last possible year of the probationary period, but tenure consideration may be initiated by the unit head or any other member of a unit at other times.
- D. Dismissal for Adequate Cause.** Before making the decision to dismiss for adequate cause, the Dean is responsible for initiating proceedings to consider the case. ([Section 2.13.1](#))

4. Schedule for Personnel Actions.

A. Initiation of Reviews. The following are dates by which the review process must begin.

1. For All Reviews except Promotion to Professor

Materials shall be submitted by the candidate to the unit by the first day of class in the Winter Semester for renewals, tenure, or promotion.

For the renewal of an initial 1 year contract, the Dean shall determine the date of submission and notify the candidate.

In the event of a mid-year appointment, the regular faculty member to be reviewed shall be placed on the next evaluation schedule as though his or her appointment had begun at the next fall semester.

Any exceptions to these dates must be approved in advance by the Dean.

2. Promotion to Full Professor

All reviews for promotion to Professor shall take place in the fall semester. Materials shall be submitted by the candidate to the unit by the first day of class in the fall semester. The candidate shall notify the Dean of his/her intent to apply for promotion to Professor in writing by March 30. When a candidate for tenure is also requesting a promotion to full professor, the materials for both actions shall be submitted by the first day of class in the Fall semester and both reviews shall occur during the Fall semester.

B. Notification of Personnel Actions. The following are the dates by which the Deans must notify regular faculty in writing of appointment decisions.

1. Renewal/Non-Renewal. A decision is required as follows: by May 1 in the case of an appointee in the third year of an initial four (4) year appointment; by March 1 in the case of an appointee in an initial one-year probationary appointment; by May 1 of the calendar year preceding the expiration of his/her appointment for appointees with more than two (2) years of probationary service.

2. Promotion. A decision is required by May 1. In the case of favorable decisions, the promotion is effective with the start of the subsequent academic year.

3. Tenure. A decision is required by May 1. A favorable decision is effective with the start of the subsequent academic year.

4. Dismissal for Adequate Cause. In the event that the conference specified in [Section 2.13.1](#) does not result in mutual agreement, the College Personnel Committee shall be convened within ten (10) days. A written recommendation

of the Committee shall be forwarded to the appointee and the Dean only after a complete review of the case and within 60 days.

5. Unit Notification and Candidate Materials.

The Dean will notify regular faculty of the unit of all pending personnel actions at the same time the candidate is notified.

The candidate shall prepare materials containing relevant information for the action under consideration for review by the unit regular faculty. This information includes, but is not limited to, the following.

- A) A current vita of the candidate.
- B) A personal statement that contains a self-assessment of the candidate's performance as a unit regular faculty member at the university in each of the evaluation criteria.
- C) Examples of the relevant work of the candidate that supports B).
- D) Materials submitted for annual faculty reviews shall include current vitae, copies of the annual Faculty Activity Plans (FAPs) and Faculty Activity Reports (FARs), and the written performance summaries.

While no limit is placed on the material submitted by a candidate, the amount of materials should be tailored to the action under consideration. The Unit Head or Designate will make available to the unit regular faculty, including the candidate, copies of the candidate's teaching evaluations and any relevant information other than that supplied by the candidate.

- 6. Individual Unit Procedures.** Each individual unit shall conduct its personnel actions according to the procedures in [Section 2.10.7](#). Units shall, by majority vote of the unit, elect a Designate to carry out the Unit Head's responsibilities in cases where the Unit Head is either under consideration for a personnel action or the Unit Head is unable to serve. A unit can, in circumstances where it is impractical to carry out the procedure described, create a Unit Personnel Committee to act on personnel matters but the Unit Personnel Committee must comply with the procedures outlined in [Section 2.10.7](#) and the recommendation of the Unit Personnel Committee must be voted on by the unit in accordance to the procedures of [Section 2.10.7.B](#). A unit proposing a Unit Personnel Committee shall make a proposal to its College Personnel Committee for its review, which then forwards its recommendation to the Dean and to the university Academic Senate. The Dean and the University Academic Senate shall each make a recommendation to the Provost/Vice President who will make the decision and communicate it to the Dean, the Chair of the University Academic Senate, the Chair of the College Library Personnel Committee and Unit Head of the unit requesting the creation of a

Unit Personnel Committee. In the event a unit is restructured, it shall not convene a Unit Personnel Committee unless the unit has submitted a new proposal for a Unit Personnel Committee and the proposal has been approved according to the above procedures.

A. Conflict of Interest. For purposes of Section 2.10.6 and 2.10.7, unit regular faculty members who have a Conflict of Interest with a candidate under consideration for a personnel action shall be completely excused from all aspects of involvement and participation in the unit procedures as it relates to the candidate for which there is a Conflict of Interest. Should a question arise as to whether there is a Conflict of Interest, the Dean of the College/Library shall make the final determination. A Conflict of Interest includes, but is not limited to, one or more of the following:

1. A familial relationship, including Household Member and their dependents, with the candidate;
2. A financial or business relationship exists with the candidate outside of the University; or
3. Unit regular faculty members who are in their terminal year of employment due to non-renewal of a contract or denial of tenure.

7. Unit Personnel Actions.

A. Review of Candidate Materials and Preparation of Unit Discussion Agenda. All unit regular faculty will be notified of the access to the materials pertaining to the candidate for the personnel action under consideration. The Unit Head or Designate will prepare an agenda before the unit meeting identifying the matters for discussion at the unit meeting concerning the candidate's achievements as well as questions, issues, and concerns under the criteria identified in [Section 2.9](#). In advance of the meeting, this agenda shall be made available for review by the candidate and the unit regular faculty who may then comment and propose revisions to the agenda before the discussion begins. The Unit Head or Designate may amend the agenda based upon input from the candidate and unit regular faculty and must provide any amended agenda to the candidate for review before the unit discussion begins. If an agenda is revised, the original form(s) of the agenda shall be maintained in the Unit Head's or Designate's files.

B. Unit Meeting and Unit Vote. The Unit Head or Designate will call a unit meeting for the purpose of addressing the personnel actions under consideration. Only unit regular faculty may attend and participate in the meeting. When the candidate is a joint appointee as defined by section 2.4.1, a representative from the secondary department or program is strongly encouraged to attend and participate in the discussion part of the unit meeting. The candidate being reviewed shall participate in the discussion part of the meeting unless the candidate waives the opportunity

to participate by signing a waiver. Audio or videotape or other type of mechanical or electronic recording is not permitted during this meeting. However minutes shall be taken and shall include the date, time, place of the unit discussion, names of those who were in attendance, and the results of the unit vote. The minutes will also have the candidate's waiver attached if the candidate has waived participation in the meeting.

This meeting will begin with a unit discussion on the personnel action under consideration. This discussion will provide an opportunity for questions, exchanges of opinions, and discussion. At the conclusion of the unit discussion-the candidate will leave the meeting room. The Unit Head or Designate will then summarize the discussion that has taken place. The unit regular faculty members may comment on the candidate's performance. This discussion should be limited to information and issues raised previously. If new information or issues are raised, the Unit Head or Designate, in his or her sole discretion, shall determine whether the new information or issues raised warrants the recalling of the candidate to the unit discussion to allow the candidate to respond.

Once the unit discussion has been completed, the unit will take a vote by secret ballot on the personnel action under consideration. In the case of promotion or tenure, the vote will be on a motion to recommend the action. In the case of contract renewal, the unit vote will be on a motion for renewal for either two (2) years or (1) year consistent with the time limits outlined in [Section 2.7](#) (Probationary Appointments). Only unit regular faculty in attendance may vote, except those tenure track, unit regular faculty who have not completed two (2) years of full-time, uninterrupted service as a unit regular faculty member (except as provided by Section 2.7.2). All unit regular faculty in attendance may vote on sabbaticals. No proxy or absentee ballots will be accepted. A vote means a yea or nay vote with abstentions counted as non-votes.

At least two thirds of the members of the unit regular faculty must be present for a valid vote on a motion regarding a personnel action to be taken. For the purpose of determining the required quorum or majority, the count of the number of the members of the unit regular faculty will not include the candidate or those absent because they are on sabbatical or approved leave of absence, those tenure track, unit regular faculty who have not completed two (2) years of full-time, uninterrupted service as a unit regular faculty member, or those with a Conflict of Interest. To pass, the personnel vote must be carried by a majority of the members of the unit regular faculty eligible to vote unless they are on sabbatical or approved leave of absence, or those with a Conflict of Interest. If a vote does not obtain the required majority for any reason, this will be reflected in the minutes of the meeting, and the process will continue on to the College Personnel Committee.

C. Unit Recommendation. Following the unit discussion meeting, the unit regular faculty will be provided the opportunity to submit comments to

Unit Head or Designate, using a form that is provided which sets forth the evaluation criteria contained in [Section 2.9](#) providing reasons supporting or not supporting the unit vote under these criteria. Each member may also indicate on these post meeting comments whether the questions, issues, and concerns that they raised under the evaluation criteria with the Unit Head or Designate concerning the initial agenda were adequately reflected in the agenda used at the unit discussion meeting and whether the items on the agenda were adequately addressed at the unit discussion meeting. Forms that are unsigned will be destroyed and not used in this process.

The Unit Head or Designate will use the unit discussion and any such comments to prepare a draft unit recommendation report or, if necessary, call for further discussion. This draft report will comment on the candidate's performance in each of the evaluation areas. After the Unit Head or Designate has prepared the draft unit recommendation report, he/she will provide a copy to the candidate and make a copy available for review for the unit regular faculty. Suggestions for changes must be submitted to the Unit Head or Designate within three (3) business days of the issuance of the draft report. Thereafter, the Unit Head or Designate shall issue the final unit recommendation report with a copy to the candidate and make a copy available for review by the unit regular faculty.

The Unit Head or Designate will then forward the final unit recommendation report to the Dean. The Unit Head or Designate will also forward to the Dean the unit discussion meeting agenda, minutes of the unit discussion meeting, copies of any post-meeting comments, the candidate's materials, and any other material provided by the Unit Head or Designate to the unit regular faculty for their review. The Dean will then forward the final unit recommendation report and the supporting material to the College Personnel Committee.

8. College's Personnel Committee Action.

A. Action in Cases of Reappointment, Tenure, or Promotion. The Committee uses all relevant information as the basis for its recommendation.

1. Committee Accepts Unit Recommendation. If a unit has recommended a personnel action pursuant to a valid vote of the unit, whether in favor or against a candidate, the Committee will normally be expected to accept the recommendation of the unit. In the event the Committee accepts the recommendation of the unit that is in favor of the candidate, a recommendation shall be made in writing to the Dean with a copy to the candidate and the Unit Head or Designate. If a candidate does not have the support of the members of the unit pursuant to a valid vote of the unit, the candidate in question will be given the opportunity to request information from the Committee about any materials used in the process. Regarding written comments, the Committee will ensure that these are provided without names

attached and in such a way as to promote confidentiality. After this information is provided to the candidate, the candidate can choose to either stop the evaluation in the case of early tenure or promotion or the candidate may choose to submit a rebuttal in writing. If a candidate does not have the support of the Committee, the opportunity for a personal appearance before the Committee by the candidate shall be given. Only after such an opportunity is provided to the candidate, can such a negative recommendation become official and be sent to the Dean with a copy to the candidate and the Unit Head or Designate. In the event a unit regular faculty member being reviewed appears before the Committee, the candidate shall address the Committee on her or his own behalf and without an outside advocate or observer.

- 2. Committee Does Not Accept Unit Recommendation.** If the Committee does not accept the unit recommendation and the Committee recommends a personnel action in favor of the candidate, the recommendation will be made in writing to the Dean with a copy to the candidate and the Unit Head or Designate. The written recommendation must include the rationale for not accepting the unit recommendation. If the Committee does not accept the unit recommendation and if the candidate does not have the support of the Committee, the opportunity for a personal appearance before the Committee by the candidate shall be given. Only after such an opportunity is given to the candidate, can such a negative recommendation become official. If the candidate appears before the Committee, the candidate shall address the Committee on her or his own behalf and without an outside advocate or observer. The recommendation of the Committee will be made in writing to the Dean with a copy to the candidate and the Unit Head or Designate. The written recommendation must include the rationale for not accepting the unit recommendation.
- 3. No Valid Vote by Unit.** If there is not a valid unit vote, the Committee will evaluate all the materials provided to it by the Dean for the candidate under consideration. The Committee will then vote on a recommendation. A valid vote requires a simple majority of the Committee, calculated in the same fashion as for a unit vote. The Committee will notify the candidate and Unit Head or Designate of the result of this vote. If the candidate does not have the support of the Committee, the opportunity for a personal appearance before the Committee by the candidate shall be given. Only after such an opportunity is given to the candidate, can such a negative recommendation become official. If the candidate appears before the Committee, the candidate shall address the Committee on her or his own behalf and without an outside advocate or observer. The recommendation of the Committee will be made in writing to the Dean with a copy to the candidate and the Unit Head or Designate.

4. Subsequent Information. If new information regarding a candidate is brought to the attention of the Committee that was not available to the unit during its discussion of the candidate, the Committee shall discuss the appropriateness of referring the matter back to the unit. In discussing whether to refer the matter back to the unit, the Committee shall consider whether it believes the new information is of such significance that the unit might change its recommendation and whether a referral back to the unit would delay the schedule as required by [2.10.4](#). In the event the matter is referred back to unit, the unit shall have no more than 7 calendar days from the date of the referral from the Committee to meet and take action, if any.

B. Action in Cases of Dismissal for Adequate Cause. The Committee will carefully observe that the burden of proof in all cases of dismissal for adequate cause lies with the institution. (See [Section 2.13](#))

C. Reporting. The College/Library Personnel Committee shall provide the Dean with a written recommendation and rationale for each personnel action. The College/Library Personnel Committee shall hold one or more meetings with the Dean of the College/Library or his/her designee for the purpose of discussing its written recommendation and rationale regarding faculty personnel action(s). The Personnel Committee will issue an annual report to the College's or Library's regular faculty concerning its activities for the year. A copy of this report, along with any recommendations for changes or clarifications in this policy will be sent to the Chair of the Executive Committee of the Senate.

9. Dean's Personnel Decisions.

A. Action in Cases of Reappointment, Tenure, or Promotion. In making personnel decisions, the Dean will normally be expected to decide in favor of the appointee if the appointee has the support of the College Personnel Committee. If, in any case, the Dean does not accept the recommendation of the College's Personnel Committee, the Dean will present the reasons in writing to the appointee, the unit, and the Committee.

B. Action in Cases of Dismissal for Adequate Cause. If the Deans decision is to accept a recommendation of the College Personnel Committee to dismiss for adequate cause, the Dean shall submit his/her decision in writing with rationale to the appointee.

C. Appeals. Appeals of the Deans decision are to be made according to the applicable grievance procedure.

D. Non-Renewals. In the event that the decision about an appointees candidacy for reappointment or tenure will result in the non-renewal of employment, the Dean shall follow the process stated in [Section 2.13](#).

- E. Termination during the probationary period following an annual review.
See Section 2.7

Section 2.11 and 2.12 Omitted

- 2.13 **Termination Processes and Disciplinary Action.** Termination is the severance of the formal appointment between the appointee and the institution. Resignations and dismissals are terminations that may occur prior to the end of the appointment period.

In this section, time limits for the initiation of requests and responses to them are noted. The references to a "day" shall mean Monday through Friday and shall not include the day on which the request is initiated or the day on which the response is offered.

Exceptions to these limits may be mutually agreed to in writing by the parties involved.

1. **Dismissal for Adequate Cause.** Any appointment is terminable for adequate cause. Except as provided in Resignation, Reduction in Force or upon retirement, tenured appointments may be terminated only for adequate cause. Adequate cause will be related directly and substantially to the fitness of the appointee in his/her professional capacity. Dismissal will not be used to restrain faculty members in their exercise of academic freedom or other rights of American citizens. Dismissal proceedings shall begin with a conference between the appointee and the Dean.

The conference may result in agreement that the dismissal proceedings should be dropped. On the other hand, the conference may result in mutual agreement that the best interests of the appointee and the institution would be served by the appointee's resignation. If so, the faculty member shall submit a resignation in writing effective on a mutually agreed upon date. If this conference does not result in mutual agreement, the Dean will initiate review of the case by the College's Personnel Committee, with written notification of the charges to be sent to the appointee and the committee.

2. **Suspensions.** While the final decision regarding termination of an appointment is pending, the appointee may be suspended only if harm to himself/herself or others is threatened by continuance. The Dean who invokes the suspension shall consult with the Provost/Vice President for Academic Affairs and the chairperson of the College's Personnel Committee. A suspension is permitted only pending the results of the personal conference. The base salary and applicable fringe benefits of a suspended person shall be continued during the period of suspension up to the limit of one year. If during the suspension period the faculty member takes up employment with another employer or is convicted of an offense serious enough to warrant dismissal for adequate cause, then the institution will no longer be obligated to continue making salary payments. In the latter case, if the conviction is later reversed, the faculty member will be reimbursed for the lost salary and fringe benefits subject to the one year limitation.
3. **Disciplinary Action other than Dismissal or Suspension.** Any such disciplinary action affecting the terms of employment taken by the institution against a faculty member must be based upon adequate cause. Adequate cause will be related directly

and substantially to the fitness of the appointee in his/her professional capacity. Proceedings shall begin with a conference between the appointee and the Dean. If as a result of the conference, the Dean wishes to take disciplinary action, she/he shall state that in writing with rationale to the appointee. The appointee may file a grievance ([Section 2.16.2.A, Step 1](#)) within ten days of the receipt of the Dean's decision.

- 4. Procedure for Non-renewals.** Any action resulting in the non-renewal of a probationary appointment of any appointee shall normally be based upon recommendations generated by the College's Personnel Committee. Such action shall be preceded by a personal conference between the faculty member and the appropriate Dean. The conference may result in agreement that the appointment should be renewed. If so, the non-renewal proceedings shall be dropped. If such a conference results in agreement that the best interests of the appointee and the university will be served by resignation, the appointee shall submit a resignation to his/her Dean in writing within five (5) days. If the conference does not result in mutual agreement, the Dean will submit his decision in writing with rationale to the appointee. The appointee may file a grievance ([Section 2.16.2.A, Step 1](#)) within ten days of receipt of the Dean's decision.