

**University Policy 405: General Procedures for Review, Promotion, and Retention of Tenure-Eligible, Tenured, and Term Appointment Faculty**

**Category:** Faculty Policies *(Faculty Code)*

**Subcategory:** None

**Covered Individuals:** University Faculty

**Responsible Executive:** Provost

**Policy Custodian:** Chair of Professional Responsibilities and Procedures Committee

**Last Revised:** 2022/09/01

**Previous USU Policy Number:** 405

# 405.1 PURPOSE AND SCOPE

This section describes the general procedures for review, promotion, and retention that apply to all tenure-eligible, tenured, and term faculty.

* 1. **POLICY**

**2.1 Role Statement and Role Assignment**

A role statement will be prepared by the department head or supervisor and agreed upon between the department head or supervisor and the faculty member at the time the faculty member accepts an appointment, as indicated by their signatures. During the search process, the department head or supervisor will discuss with each candidate the candidate’s prospective role in the academic unit as defined by the role statement. The role statement should also be approved and signed by the dean and the provost and, where applicable, the vice president for extension, prior to the faculty member’s signature. The role statement will include percentages for each domain of professional service (Policy 404.1.2, Professional Services). These percentages will define the relative evaluative weight to be given to performance in each of the professional domains. Role statements serve two primary functions:

* First, the faculty member can gauge their 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 advisory committees evaluate the faculty member’s progress towards tenure and/or promotion.

The role statement will be reviewed, signed, and dated annually by the faculty member and the department head or supervisor and dean, or, where appropriate, the vice president for extension, and may be revised as needed. Subsequent revisions 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 the department head or supervisor and approved by the dean or the vice president for extension. If agreement cannot be reached, the disagreement should be resolved through an appeal by the faculty member through the faculty grievance procedure (Section 410.x.x: xxxxx) before transmitting revised role statements to the tenure or promotion advisory committee. A copy of the role statement and any subsequent revisions will be provided to the faculty member, the department head or supervisor, the dean or the vice president for extension, the provost, and the members of the tenure and/or promotion advisory committee.

Academic units may find it useful to employ an annual work plan or “role assignment”. The faculty member’s role assignment describes the detailed implementation of the domains of professional service as defined in the faculty member’s role statement. During the annual review, the role assignment may be adjusted within the parameters of the role statement. Major changes in the role assignment may prompt review and revision of the role statement.

# 2.2 Professional Domains

2.2.1 Teaching

Evidence of teaching performance must include student and peer evaluation, 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, graduate school placements, professional licensing, and employment; evidence of mentoring inside and outside the classroom, including work with graduate or undergraduate researchers, graduate instructors or undergraduate teaching fellows, or applicants for major scholarships or grants; implementation of high impact practices such as community-engaged teaching, first-year seminars, or strategies that promote student retention, and Honors or other independent study work; use of pedagogical teaching practices centered around diversity, equity, and inclusion; recognition by peers of substantive contributions on graduate committees; service on professional committees, panels, and task forces; professional lectures or consultations; proficiency in identifying the needs of the identified audience as demonstrated through imaginative or creative use of up-to-date instructional methods such as workshops, conferences, classes, lectures, newsletters, media presentations, computer-assisted instruction, authorship of extension bulletins, self-instruction materials; program development awards; and invited lectures or panel participation.

# 2.2.2 Librarianship

# Librarianship enables inquiry, discovery, and engagement with resources and tools that contribute to knowledge and creativity. Documentation supporting performance in librarianship should illustrate demonstrated proficiency and expertise in assigned area(s) of librarianship and engagement with practices centered around diversity, equity, and inclusion. Such evidence may include, but is not restricted to, managing and implementing systems and processes to facilitate the acquisition, discovery and use of library and archival resources; preserving and conserving unique physical and digital collections; supporting faculty and student research, creative endeavors, and teaching; supporting equitable participation in the production and dissemination of research; developing students’ ability to find, evaluate, and use knowledge for academic and personal purposes; assessing and improving library services and programs; and implementing community-engaged practices.

# 2.2.3 Research or Creative Endeavors

Research or creative endeavors encompass a wide variety of scholarly activities that lead to the advancement of knowledge and/or to original contributions in the candidate’s field of endeavor. Documentation supporting such activities must include evidence of peer recognition of their value. Such evidence may include, but is not restricted to, publication of books, monographs, or articles in peer reviewed media; use of research practices or exploration of topics centered on diversity, equity, and inclusion; intellectual contributions represented by patents, inventions, and other intellectual property; community-engaged scholarship and/or effective community engagement as part of the effort; participation in symposia and authorship of chapters in review volumes; participation in creative activity (such as performances, exhibitions, gallery representation, professional engagements); creative work that receives regional and national recognition; and success in competition for extramural funding.

2.2.4 Extension

Extension provides the public, primarily within the state, with research-based information and other university resources. Documentation supporting extension performance must include evidence of peer recognition of value. Such evidence may include, but is not restricted to, active programs with various extension constituents; active library/information/professional support with various extension constituents; recognition by extension clients for an effective effort; effective community engagement; innovative techniques; effective use of the media; publications appropriate to the assignment; use of extension practices to promote diversity, equity, and inclusion; responses to requests from private and government entities for advisory help and consulting; publications in peer-reviewed and/or professional media; service on professional committees, panels and task forces; and peer evaluation of the extension effort.

# Service

Service activities include but are not limited to, membership in and leadership of committees and organizations at the unit, department, college and/or university levels; active participation in regional and national professional organizations as evidenced by committee membership and/or by holding elected or appointedoffice; consulting activities in local, regional, national, and international organizations and agencies; public speaking and/or information dissemination involving professional expertise; engagement in local communities, including participation in community organizations and committees; and furthering diversity, equity, and inclusion through service.

All faculty must participate in service activities according to their role statement. Although such activities are vital to the mission of the university, they are not expected to constitute a major emphasis in the role statement for tenure-eligible, tenured, or term appointment faculty.

# Candidate's File

The candidate is responsible for keeping their professional file current and complete. This file is the primary source of information for the tenure or promotion advisory committee. The file should include thorough documentation of all domains of professional responsibilities in accordance with the role statement.

Any other written statements, regardless of source, which are intended to provide information or data of consequence to the formal review of the candidate, should be added to the candidate’s file as supplementary material prior to the advisory committee’s meetings. The candidate is entitled to review this supplementary material upon request, with the exception of confidential external peer review letters. If a candidate wishes to comment on any item in this supplementary material, the candidate’s written comment must be added prior to the meeting of the advisory committee.

# 2.4 University Records: Access

A faculty member has the right to examine, upon request, university records maintained or retrievable under their name or identifying number. University records maintained or retrievable under a faculty member's name or identifying number will be open to inspection only by the president and administrative officers or persons to whom the president delegates in writing the power to inspect such records. Other persons will not be permitted to examine such records except as required by law.

# 2.5 Ombudspersons

All faculty members at their penultimate rank or higher (as defined in section Policy 401.2.1, Faculty Defined, Faculty Categories) will be trained as ombudspersons within one academic year of achieving that rank. The provost's office will create the ombudsperson training. All academic units will assign ombudspersons to serve in the promotion, tenure, and post-tenure annual review processes. Each college has the freedom to determine the assignment process of ombudspersons and whether they remain attached to specific committees or not. The candidate has the right to reject an ombudsperson, though this may result in the candidate being required to find an appropriate replacement ombudsperson.

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 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. The ombudspersons will 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 or meeting between the candidate and the department head or supervisor should immediately intervene to identify the violation. Committee reports will 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 will 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. An ombudsperson’s report is not required for a meeting between the candidate and the department head or supervisor unless a violation of due process has occurred during the meeting, in which case a report will be submitted by the ombudsperson to the appropriate dean or other administrator.

2.6 ANNUAL REVIEW OF FACULTY

An additional review of faculty performance other than those for tenure-eligible faculty and for promotion will be held annually. This annual review will be used for evaluation of faculty for salary adjustments, for term appointment renewal, and for post-tenure review of tenured faculty.

In the spirit of shared governance, the faculty (as defined in Policies 401.3, The Tenured and Tenure-Eligible Faculty, and 401.4, The Faculty with Term Appointments) and department head of each department will work together in consultation with the dean or, where appropriate, the vice president for extension, to establish procedures by which all faculty will be reviewed annually. During fall semester, in preparation for spring annual reviews, review procedures and data window of up to five years will be agreed upon by majority vote of the department faculty. If the procedures do not pass the majority vote, the department faculty must establish new procedures as described above before the next annual reviews begin. Such reviews will, at a minimum, incorporate an analysis of the fulfillment of the role statement. The basic standard for appraisal will be whether the faculty member under review discharges conscientiously and with professional competence the duties as specified in the faculty member’s role statement.

The department head or supervisor will meet with the faculty member annually to review this analysis of the fulfillment of the role statement and provide a written report of this review to the faculty member. A copy of this report will be sent to the academic dean or vice president for extension, and, where appropriate, vice president for statewide campuses. The annual evaluation and recommendation letter by the department head or supervisor developed for tenure-eligible faculty as part of the promotion and tenure process (Policy 405.7.1.3, Evaluation and Recommendation by the Department Head or Supervisor) may not serve as a substitute for this annual review report for salary adjustment. For faculty with term appointments, the annual review will also include a recommendation regarding renewal of the term appointment.

**405.3 RESPONSIBILITIES**

3.1 Responsible Office/Party

Identify who is responsible for what with regard to this policy.  Roles and responsibilities are best defined by department and/or job title.

**405.4 REFERENCES**

* Bullet list references to Federal, State, municipal regulations, USHE/Board of Higher Education policies. [Arial 10]
* Continue list of references. [Arial 10]

**405.5 RELATED USU POLICIES**

* 405
* 406
* 407
* 408

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**Information below is not included as part of the contents of the official policy.** Itis provided only as a convenience for readers/users and may be changed at any time by persons authorized by the president.

**RESOURCES ]**

*(List resources to aid in compliance or indicate “None.”)* [Arial Narrow 10]

Contacts

* Faculty Senate website: [https://www.usu.edu/fsenate/index](https://www.usu.edu/fsenate/index%22%20/t%20%22_blank)
* Executive Secretary: [Michele Hillard](https://www.usu.edu/directory/?person=56DB0AFACAE8C3CADE%22%20\t%20%22_blank)

**POLICY HISTORY**

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