

Senate Resolution Number **S-09-07**

Faculty Senate Resolution

To: SCSU President Cheryl Norton

From: Brian Johnson, President of the SCSU Faculty Senate

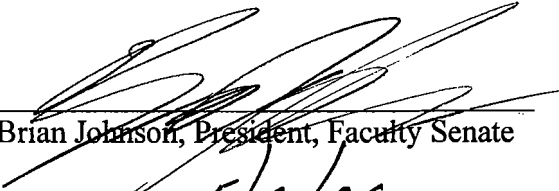
The attached Resolution of the Faculty Senate regards: **PROMOTION AND TENURE
PROCEDURES FOR FACULTY (as revised May 2009)**

The Resolution is presented to you for your ☒ APPROVAL
☐ INFORMATION

After considering this resolution, please indicate your action on this form and return it to the President of the Faculty Senate.

In accordance with the CSU-AAUP Contract (Article 5.10), the President of the University will return the Resolution to the President of the Senate within 15 school days of the receipt of the Resolution.

cc: Dr. Selase Williams


Brian Johnson, President, Faculty Senate
Date 5/9/09

ENDORSEMENT of Faculty Senate Resolution, S-09-07

To: Brian Johnson, President SCSU Faculty Senate
From: Cheryl Norton, President of the University

1. Motion APPROVED X
2. Motion DISAPPROVED _____ (attach statement)
3. Motion NOTED _____
4. Comments _____

5/10/09
Date


Signature

May 13, 2009

Southern Connecticut State University

PROMOTION AND TENURE PROCEDURES FOR FACULTY

INTRODUCTION

Three precepts shall guide the implementation of this document:

1. All processes and procedures are designed to reflect the spirit of shared governance.
2. Deliberations shall be based on the identification and promotion of academic and professional excellence in order to best serve the university community.
3. Faculty rights of due process shall be safeguarded at each step described below.

PART I - AUTHORIZATION FOR PROCEDURES

The Faculty Senate, in agreement with the President of the University, establishes these procedures, including the attached Addendum (for coaching faculty) consistent with the Collective Bargaining Agreement¹, to govern the promotion and tenure processes at Southern Connecticut State University. Due dates in this document represent contractually mandated deadlines as stipulated in the Collective Bargaining Agreement. The dates that apply for the current academic year are those listed in the calendar (Parts V and VI) of this document.

PART II - STANDARDS FOR PROMOTION AND TENURE

A. Eligibility

1. Promotion

To be considered for promotion, a faculty member must meet certain minimum eligibility requirements associated with that rank as listed below. See Article 5.3.5 in Collective Bargaining Agreement for determination of eligibility. In each case, the degree at issue must be from a college or university regionally accredited at the time of the degree. The member must not be on a final appointment.

- a. Assistant Professor, Assistant Librarian, or Assistant Counselor
One of the following shall apply.
 - 1) An earned doctorate degree or a terminal degree appropriate to the field,
or
 - 2) At least three (3) years of full-time employment as faculty, counselor, or librarian in a college or university, plus both
 - (a) a master's degree, and
 - (b) an additional full year of study above the master's level,
or
 - 3) Ten (10) years of full-time employment at the rank of Instructor, Staff Librarian, or Staff Counselor,

¹ "Collective Bargaining Agreement", when used in this document, refers to the Collective Bargaining Agreement between the Connecticut State University American Association of University Professors and the Board of Trustees for the Connecticut State University, August 2007 - August 2011

- or
- 4) Credentials and/or experience substantially comparable to the above.

b. Associate Professor, Associate Librarian, or Associate Counselor

- 1) An earned doctorate or a terminal degree appropriate to the field, plus at least five (5) years of full-time employment as faculty, counselor, or librarian in a college or university at a rank above Instructor,
- or
- 2) Ten (10) years of full-time employment at the rank of Assistant Professor, Assistant Librarian, or Assistant Counselor,
- or
- 3) Credentials and/or experience substantially comparable to the above.

c. Professor, Librarian, or Counselor

- 1) Earned doctorate or a terminal degree appropriate to the field, plus at least eight (8) years of full-time employment as faculty, counselor or librarian in a college or university, including at least five (5) years at the rank of Associate Professor,
- or
- 2) Ten (10) years of service at the rank of Associate Professor, Associate Librarian, or Associate Counselor,
- or
- 3) Credentials and/or experience substantially comparable to the above.

2. Tenure

Although all full-time tenure-track faculty, librarians, and counselors are eligible for tenure in any year of their probationary period, tenure is granted only to those whose high quality of performance and long-term contributions to the University can be established. To be considered for tenure, a candidate must hold an appointment that may be credited towards tenure. Evidence of high quality of load credit activity, including teaching, administrative responsibilities or other examples of reassigned time, creative activity appropriate to one's field, productive service to the department and university, professional activity, and years in rank are all considered before tenure is recommended. See Article 4.11.2.1 in the Collective Bargaining Agreement)

B. Criterion

1. Introduction

The fundamental quality to be considered by all who evaluate a candidate shall be academic excellence, as determined by a process of shared governance. Only the categories outlined shall be used to this end and, for all teaching faculty, weighted in the order as described in Part II.B.2 of this document. For non-teaching faculty, see the Collective Bargaining Agreement for categories and weights of evaluation.

Academic excellence shall be the criteria for evaluating and recommending full-time members. Academic excellence shall be determined by the quality of activity within each of the categories listed below, including keeping current in one's field. All individuals and bodies evaluating a member shall weight these categories in the order listed. Any special conditions in the member's letter of appointment or subsequent extensions or modifications of such appointment as provided in Article 4.7 of the Collective Bargaining Agreement shall be considered in the evaluation process. Any special conditions in the member's letter of appointment or subsequent extensions or modifications of such appointment as provided in

Article 4.7 of the Collective Bargaining Agreement shall be considered throughout the evaluation process on a case-by case basis.

2. Categories of Evaluation for Faculty--These categories are listed in descending order of value

a. Load Credit or the Equivalent

This category encompasses one or more of the following for which the member receives load credit or the equivalent: teaching, advising for which load credit is given, chairing a department, directing, conducting research or doing creative activity under research reassigned time, student supervision, or any other function specified in the letter of appointment or subsequent extension of modifications of such appointment (see Article 4.7 of the Collective Bargaining Agreement) or identified in a letter of agreement (see Article 10.4 of the Collective Bargaining Agreement).

b. Creative Activity

This category encompasses creative activity appropriate to one's field, for example delivering papers at professional conferences, production/ performance of artistic works, research, grant activity, study, and publication. Although this list is not meant to be exhaustive, it is meant to reflect the potential variety of activities that may be included under Creative Activity. Any of these areas may represent significant creative activity.

c. Productive Service to the Candidate's Department and University

This category encompasses constructive participation in such activities as student organization advisement, departmental meetings and activities, school or university committees, data-gathering, self-study and evaluation, and advising students regarding program planning.

d. Professional Attendance and Participation

This category encompasses attendance and participation in conferences and workshops, membership and service in appropriate professional organizations, and professional activity in the community reflective of professional expertise.

e. Years in Rank (applies only to promotion)

This category reflects years in rank. In determining seniority, sabbatical leaves are included, but leaves without pay, except those for scholarly discipline, are not included. See Article 13.6 in the Collective Bargaining Agreement.

3. Categories of Evaluation for Counselors--These categories are listed in descending order of value

a. Load Credit Activity--Professional effectiveness in providing counseling in the area appropriate to one's specialty(ies).

This category encompasses one or more of the following for which the member receives load credit or the equivalent: counseling, chairing a department, directing, doing research, student supervision, or any other function specified in the letter of appointment or subsequent extension of modifications of such appointment (see Article 4.7 of the

Collective Bargaining Agreement) or identified in a letter of agreement (see Article 10.4 of the Collective Bargaining Agreement).

b. Professional Attendance and Participation

This category encompasses attendance and participation in conferences and workshops, membership and service in appropriate professional organizations, and professional activity in the community reflective of professional expertise.

c. Productive Service to the Candidate's Department and University

This category encompasses constructive participation in such activities as student organization advisement, departmental meetings and activities, school or university committees, data-gathering, self-study and evaluation, and advising students regarding program planning.

d. Creative Activity

This category encompasses creative activity appropriate to one's field, such as delivering papers at professional conferences, production/performance of artistic works, conducting research, grant activity, study and publication. Although this list is not meant to be exhaustive, it is meant to reflect the potential variety of activities that may be included under Creative Activity. Any of these areas may represent significant creative activity.

e. Years in Rank (applies only to promotion)

This category reflects years in rank. In determining seniority, leaves without pay or experience gained at other institutions shall not be counted. Time accrued while on sabbatical leave shall be counted.

4. Categories of Evaluation for Librarians--These categories are listed in descending order of value

a. Load Credit Activity--Professional effectiveness in providing librarian services in the area appropriate to one's specialty(ies) (see Article 4.7 of the Collective Bargaining Agreement) or identified in a letter of agreement (see Article 10.4 of the Collective Bargaining Agreement).

This category encompasses one or more of the following for which the member receives load credit or the equivalent: library services, chairing a department, directing, doing research, student supervision, or any other function specified in the letter of appointment or subsequent extension of modifications of such appointment (see Article 4.7 of the Collective Bargaining Agreement) or identified in a letter of agreement (see Article 10.4 of the Collective Bargaining Agreement).

b. Professional Attendance and Participation

This category encompasses attendance and participation in conferences and workshops, membership and service in appropriate professional organizations, and professional activity in the community reflective of professional expertise.

c. Productive Service to the Candidate's Department and University

This category encompasses constructive participation in such activities as student organization advisement, departmental meetings and activities, school or university committees, data-gathering, self-study and evaluation, and advising students regarding program planning.

d. Creative Activity

This category encompasses creative activity appropriate to one's field, such as delivering papers at professional conferences, production/performance of artistic works, conducting research, grant activity, study, and publication. Although this list is not meant to be exhaustive, it is meant to reflect the potential variety of activities that may be included under Creative Activity. Any of these areas may represent significant creative activity.

e. Years in Rank (applies only to promotion)

This category reflects years in rank. In determining seniority, leaves without pay or experience gained at other institutions shall not be counted. Time accrued while on sabbatical leave shall be counted.

PART III -- STRUCTURE AND PROCEDURES

A. Initiation of Evaluation Process

1. Promotion

- a. Each year the Office of Human Resources and Labor Relations shall notify all full-time faculty, counselors, librarians, department Chairpersons, and appropriate Deans in writing by September 5th that the promotion process has begun.
- b. On the basis of the department personnel data sheet supplied by the Office of Human Resources and Labor Relations by September 12 and reviewed by the Department Evaluation Committee (DEC) in consultation with each faculty member, by September 15 the DEC shall inform any full-time members of their department who meet the standards specified for promotion (See Part II.A.1). If discrepancies arise regarding eligibility status, the member shall consult with the Office of Human Resources and Labor Relations, which shall then make appropriate changes in the member's personnel file and forward the corrected information to the DEC by September 20. Members on final appointment are not eligible for promotion. Those members who have previously been declared eligible for promotion to a given rank maintain their eligibility but must also reapply. Members who believe they are eligible for promotion as described in Part II.A.1 above, and who wish to apply, shall make written application with supporting evidence to the DEC Chairperson by September 25. The members shall so inform the Department Chairperson in writing of their desire to be considered for promotion by September 25. In addition, a determination of eligibility for a member shall be initiated by the DEC no later than September 20. A member may withdraw after the commencement of the promotion process and at any time during the promotion process by written notice to the department Chairperson, DEC Chairperson, the Dean, and the Chair of Promotion and Tenure Committee and shall thereby waive all claims for promotion for that year.

- c. The DEC Chairperson shall inform each member to be evaluated, in writing, by October 1 of the fact and purpose of the evaluation and of the opportunity to submit materials and appear before the DEC. A list of these members shall be forwarded by the DEC to the Office of Human Resources and Labor Relations by October 1.

2. Tenure

- a. During his/her sixth year, a non-tenured member shall be notified no later than September 15 that a tenure decision is mandatory. The Office of Human Resources and Labor Relations shall notify the candidate, the Department Chairperson, and the DEC of those in need of a tenure evaluation. If a non-tenured member so requests, he/she can be evaluated before his/her sixth year by making written notification to the DEC by Sept. 15.
- b. The probationary period (full time service prior to the acquisition of tenure) shall not exceed seven years of service in the university, provided that all seven years fall within the same ten-year period. If service is to continue in the seventh year, tenure or a terminal one-year appointment must be awarded. Up to three years' full-time service in other accredited colleges and universities may be applied toward the probationary period by written agreement of the concerned parties at the time of the member's initial appointment, or not later than the end of the first semester's service. During the first through fifth non-tenured years, a member's appointment shall be deemed renewed unless written notice of non-renewal is given to the member as indicated in Articles 4.9.1, 4.9.2 and 4.9.3 of the Collective Bargaining Agreement.

B. Faculty Member's Role in the Evaluation Process

1. When a faculty member is informed by the DEC of the fact and purpose of the evaluation, the member should expeditiously meet with the Office of Human Resources and Labor Relations for the purpose of examining his/her personnel file. If the candidate has a concern about materials in his/her file, the candidate shall meet with a representative of the Provost. The member and the representative of the Provost shall agree on materials pertinent to the evaluation in order that copies may be prepared for the DEC. In the event agreement is not possible, the matter shall be decided by the Provost or his/her designee. The member may then prepare rebuttal materials for presentation to the DEC with other materials. The Office of Human Resources and Labor Relations shall have copies prepared of materials selected from the personnel file. These copies shall then be forwarded to the DEC. The letter of transmittal shall list the materials forwarded.
2. All candidates shall include in their file a copy of their original letter of appointment and any subsequent modifications. See **III.H.1.a** for Contents of the File. If candidates do not have the original letter of appointment, they must obtain a copy from the Office of Human Resources and Labor Relations. See Article 4.7 of the Collective Bargaining Agreement.
3. Each candidate to be evaluated shall submit a file. See **III.H.1.a** for details of what must be included.
4. Each candidate may also include supporting letters from colleagues inside or outside of his/her department. The candidate shall not include any letters of recommendation specifically addressing the promotion or tenure process, other than the official letters mandated by promotion and tenure procedures, from any person who has a formal role in the process, i.e.

Chair, Dean of the member's school, Provost, President, members of the Department Evaluation Committee, and members of the University Promotion and Tenure Committee.

5. The DEC shall afford the candidate an opportunity to appear personally before it prior to the DEC recommendations.
6. The candidate shall have an opportunity to examine his/her file at each stage of the evaluation process, i.e. after the DEC, Chair, and Dean have each completed their letters of evaluation. At each of these times, the candidate may place in the file a rebuttal and/or any additional materials supporting his/her application.
7. Each candidate shall have an opportunity to appear personally before representatives of the Promotion and Tenure Committee prior to its recommendation.
8. A candidate who withdraws his/her application after the commencement of the promotion or tenure process shall be deemed to have waived all claims for that year.

C. Department Role in the Evaluation Process

1. Each department shall provide faculty input in evaluating department members. Department evaluations shall be done by the Department Evaluation Committee (DEC) and shall be independent of any other evaluation (e.g., those of the Department Chairperson and Dean).
2. Each department shall establish an elective DEC, or form a hardship DEC via the Hardship DEC Pool, depending on its ability to meet the following criteria.
 - a. Elective DEC.
 - 1) Each department having at least three eligible members must form an elective DEC.
 - 2) Department members ineligible to serve on an elective DEC deliberating on promotion or tenure include:
 - a) Persons not granted tenure.
 - b) The Department Chairperson.
 - c) Persons being considered for promotion or tenure in that year.
 - d) Persons serving as elected regular or alternate members of the University-wide Promotion and Tenure Committee.
 - e) Immediate family (i.e., spouse, child, parent, domestic partner) of any candidate from the same department being considered for promotion, tenure, or professional assessment.
 - f) Any other member of a department who, after submitting a written request due to extenuating circumstances, has been granted a waiver from serving by the Department Chairperson with approval from the Provost. Waivers must be requested within five days of the candidate's deadline for notifying the DEC and Chairperson in writing that they will be applying for promotion or tenure.

- g) If the granting of waivers creates a hardship for the department, the department may request that the Provost declare a hardship after the official deadline, giving them access to the Hardship DEC Pool.

b. Hardship DEC Pool

- 1) By May 1st, any department with more than three eligible DEC members shall submit to the Office of Human Resources and Labor Relations a minimum of one name of a tenured department member who has been elected by majority vote of the department to serve a one-year term in the Hardship DEC Pool as "DEC member-at-large."
 - a. Departments with more than four eligible members may be asked by the Department of Human Resources and Labor Relations to submit additional names to serve as DEC member-at-large, depending on need.
 - b. Departments with three or fewer eligible members may submit a name at their discretion.
 - c. Tenured chairpersons are eligible to serve in the Hardship DEC Pool except in those cases where they are undergoing similar evaluation (promotion or professional assessment).
 - d. Each faculty member in the pool shall be eligible to serve on no more than one DEC in a given year.
- 2) If, by May 15th, the Chairperson of any department with at least four eligible DEC members has not submitted a name, the Office of Human Resources and Labor relations shall appoint an eligible member to the pool.

c. Hardship DEC

- 1) Any department with fewer than three eligible DEC members qualifies as a "hardship case." In such cases, the Department Chairperson shall notify the University President and Provost in writing no later than June 15th of the need for as many DEC members-at-large as would bring the department DEC to three eligible members.
- 2) The University President in conjunction with the Provost shall declare a DEC hardship after receiving such written notification from a Department Chairperson. By the first day of the academic year (established yearly by the Collective Bargaining Agreement calendar), the Provost shall verify in writing that a hardship has been declared and the Office of Human Resources and Labor Relations shall provide a list to the Department Chairperson of all members of the Hardship DEC Pool available at that time.
- 3) Within one week of the first day of the academic year, each eligible department shall make choices from the Hardship DEC Pool by majority vote of its full-time faculty. In making its selections, the department should be guided by the desire for 1) disciplinary expertise and 2) professional objectivity. However, it is understood that disagreement with department judgment on these two criteria is not a grievable matter. The Department Chairperson shall submit to the Office of Human Resources and Labor Relations a ranked list of its choices, numbering at least twice as many as the vacancies on its DEC. Pool members chosen by the department shall be assigned to that Hardship DEC in the order requested, subject to

availability, which shall be determined by filling department requests in the order received.

- 4) Recognizing the distinctive nature of the work that counselors and librarians provide, hardship DEC's for these departments (regarding Counseling—only if the Director decides to use a DEC and a DEC hardship is needed) shall include at least one counselor or librarian, respectively. If this is not possible, the Office of Human Resources and Labor Relations in consultation with members of the department(s) shall attempt to utilize tenured counselors or librarians, respectively, from the other universities in the CSU system to meet this requirement. If this is not possible, additional members of the DEC shall be selected as specified in Article III.C.2.c.3.
- 5) Each faculty member in the pool shall be eligible to serve on no more than one DEC in a given year.
- 6) The Office of Human Resources and Labor Relations shall notify the Department Chairperson in writing no later than Sept. 7th of the membership of the Hardship DEC.
- 7) Faculty members chosen from the hardship pool to serve on a hardship DEC may not recuse themselves from serving, with the exceptions defined earlier in III.C.2.a.2.b-f.**
- 8) In the event that the above procedures fail to produce a hardship DEC, the matter shall be referred to the Senate Executive Committee, who shall provide a resolution that ensures due process for the candidate.

3. Procedures

- a. The DEC shall conduct evaluations as scheduled by the Collective Bargaining Agreement and the Promotion and Tenure Procedures for Faculty document. The DEC shall also conduct evaluations as requested by the Department Chairperson. The evaluations shall be in writing and shall contain supporting reasons for each category of evaluation.
- b. By the dates specified in Part V (the Calendar) of this Document, the DEC Chairperson shall inform in writing each full-time member to be evaluated of (1) the fact and purpose of the evaluation, (2) the opportunity to submit materials to the DEC, and (3) the opportunity to appear personally before the DEC prior to the DEC's recommendation.
- c. By October 1 of each academic year, the Office of Human Resources and Labor Relations shall make available to the DEC the personnel files of those members to be evaluated, subject to the provisions of Article 4.14.2 of the Collective Bargaining Agreement.
- d. If a member does not meet the requirements for promotion (see Part II.A) and has applied to the DEC to be declared eligible (see Part III.A.1.b), the DEC shall consider the supporting materials submitted and determine whether or not the member has substantially comparable qualifications. If the DEC determines the member is eligible for consideration, it shall inform the member, Department Chair, Provost, and President in writing with supporting reasons and with the member's documentation by October 1. Any decision resulting in a positive recommendation shall go to the President for final judgment. The President, in consultation with the DEC or its designee, shall make the final university judgment within 5 days. If the DEC determines that the member is not

eligible, it shall so inform the member in writing by October 1 and return the submitted materials; the promotion application shall then not proceed.

- e. Any special conditions in the candidate's letter of appointment, or subsequent extensions or modifications of such appointment as provided under Article 4.7 of the Collective Bargaining Agreement, shall be considered in the evaluation process for promotion and/or tenure.
- f. In making its peer evaluations for promotion and tenure, the DEC shall consider all materials supplied by the candidate and may solicit additional information pertinent to the categories of evaluation. Any information not provided by the candidate shall be in writing, signed, and made available to the candidate at least four days prior to the submission of the DEC's letter of evaluation. Peer review through observation of load credit activity shall be a part of evaluations. For full-time candidates engaged in classroom teaching the DEC shall obtain and use the data from a written student survey instrument. (See Article 4.11.8 of the Collective Bargaining Agreement) For full-time members engaged in other duties, the DEC shall seek and use appropriate information regarding all elements of the candidate's duties.
- g. All recommendations on promotion and tenure shall be in writing, with supporting reasons, addressing each of the categories of evaluation. See II.B.2. Recommendations shall include a summary using one of the following phrases: "Do Not Recommend;" "Recommend with Some Reservation;" "Recommend;" "Strongly Recommend;" or "Very Strongly Recommend." This evaluation shall reflect the DEC's professional judgment and opinion, as well as factual information. By November 15 (November 1 for tenure candidates starting in January), the DEC shall transmit its recommendation to the appropriate Dean, together with all materials submitted to and considered by the DEC. Applications for both promotion and tenure require separate letters, one letter for promotion and one letter for tenure. A copy of all recommendations, including supporting reasons, shall immediately be sent to the candidate. The letter of transmittal shall list the materials forwarded. Prior to transmitting the file to the appropriate Dean, the DEC shall afford the candidate an opportunity to examine his/her file for accuracy and completeness in the presence of a DEC member. The DEC shall give a copy of its evaluation to the candidate, who shall have at least four (4) days to append comments, append a rebuttal, and/or add any additional material to his/her file supporting his/her application for promotion or tenure.
- h. If the candidate is being evaluated for promotion on the basis of substantial comparability (see Part III.C.3.b), the DEC recommendation shall identify this fact, shall state the credentials and/or experience used to determine that substantial comparability standards were met, and shall give the rationale for the decision.
- i. Each recommendation shall be signed by all members of the DEC. A DEC member may attach a signed minority report to indicate the following:
 - 1) The report may agree with the Committee's evaluation but consider the recommendation too weak;
 - 2) The report may agree with the Committee's evaluation but consider the recommendation too strong;
 - 3) The report may agree with the evaluation of the Committee for reasons other than those offered by the Committee recommendation;
 - 4) The report may disagree with the Committee's evaluation.

If a DEC member elects to write a minority report, it shall be signed and appended to the Committee report. A copy of the DEC's recommendations, including supporting reasons and any minority reports, shall be sent to the candidate upon issuance and a copy shall be placed in the member's personnel file.

- j. Department members serving on the DEC shall not write any independent recommendations for a candidate in their own department, other than a minority report as stipulated in III.C.3.i.4. above.
- k. A copy of the DEC evaluation and recommendation shall be forwarded directly to the Office of Human Resources and Labor Relations and shall be placed in the candidate's personnel file.
- l. DEC members shall always treat as confidential the evaluative information submitted and considered, as well as the DEC's deliberation and votes. Such confidentiality shall not apply to disclosures concerning procedures in a formal hearing by a Grievance Committee. Any communication between the candidate and a DEC member about the file or the DEC recommendation shall occur only in the context of a DEC meeting.
- m. The DEC may establish and follow any additional procedures it deems reasonable, provided such procedures do not contravene procedures specified in this or other university documents.
- n. Any materials generated by the DEC shall be kept and secured in the DEC files for one year after the final decision. Such materials shall be available only for a formal hearing by a Grievance Committee. If a grievance is in progress, the file shall be kept until the grievance is adjudicated.
- o. The DEC shall be responsible for the security of the candidates' files while they are in its possession. See III. H. 2.

D. Department Chairperson's Role in the Evaluation Process

Some departments such as Counseling and Library Services do not establish a DEC, instead a Director's evaluation replaces the DEC and Chair evaluation. Directors shall follow the procedures for the Chairperson.

- 1. The Department Chairperson shall conduct evaluations as scheduled by the Collective Bargaining Agreement and the Promotion and Tenure Procedures for Faculty document. In no case, however, shall a Chairperson being considered for promotion participate in the promotion evaluation process; nor shall one being considered for tenure participate in the tenure evaluation process. The Department Chairperson shall initiate all evaluations as specified in Parts III.A.3.a and III.A.4.a above. Chairpersons scheduled for evaluations shall not provide written evaluations for themselves.
- 2. The Department Chairperson's evaluation on promotion and tenure shall be independent of the DEC evaluation. Any evaluation based on material not in the file shall be documented and shall not include hearsay. All recommendations on promotion and tenure shall be in writing, with supporting reasons, addressing each of the categories of evaluation (see II.B.2). Recommendations shall include a summary using one of the following phrases: "Do Not Recommend;" "Recommend with Some Reservation;" "Recommend;" "Strongly Recommend;" or "Very Strongly Recommend." Applications for both promotion and tenure require separate letters, one letter for promotion and one letter for tenure. These evaluations shall reflect the Chairperson's professional judgment and opinion, as well as factual information. Prior to transmitting the promotion and/or tenure evaluation to the appropriate

Dean, the Chairperson shall give a copy of his/her evaluation to the candidate, who shall have at least four (4) days to append comments regarding the Chairperson's evaluation to his/her file. By November 15 (November 1 for tenure candidates starting in January), the Chairperson shall transmit his/her recommendations on promotion and tenure to the appropriate Dean, together with any materials not made available to the DEC. The letter of transmittal shall list the materials forwarded. The Department Chairperson's evaluation shall not be transmitted to the DEC.

3. Any special conditions in the candidate's letter of appointment, or subsequent extensions or modifications of such appointment as provided under Article 4.7 of the Collective Bargaining Agreement, shall be considered in the evaluation process for promotion and/or tenure.
4. A copy of the Department Chairperson's evaluation and recommendation shall be forwarded directly to the Office of Human Resources and Labor Relations and shall be placed in the candidate's personnel file.
5. The Chair shall be responsible for the security of the candidates' files while they are in his/her possession. See III. H. 2.

E. Appropriate² Dean's Role in the Evaluation Process

1. The appropriate Dean shall receive promotion and tenure recommendations from Department Evaluation Committees and Department Chairpersons, together with all submitted materials, by November 15 (November 1 for tenure candidates starting in January). The appropriate Dean shall maintain an individual promotion or tenure file for each candidate that shall include all materials received. After reviewing and considering each candidate's file, the appropriate Dean shall make a recommendation, based primarily on that material. This evaluation shall reflect the Dean's professional judgment and opinion, as well as factual information. Any evaluation based on material not in the file shall be documented and shall not include hearsay. All recommendations on promotion and tenure shall be in writing, with supporting reasons, and shall include a summary using one of the following phrases: "Do Not Recommend;" "Recommend with Some Reservation;" "Recommend;" "Strongly Recommend;" or "Very Strongly Recommend". Applications for both promotion and tenure require separate letters, one letter for promotion and one letter for tenure. The recommendation, along with the candidate's file, shall be transmitted to the Promotion and Tenure Committee no later than December 15 (November 10 for tenure candidates starting in January). Prior to this transmittal, the Dean shall give a copy of his/her evaluation to the candidate, who shall have at least four (4) days to append comments regarding the Dean's evaluation to his/her file. A copy of the appropriate Dean's recommendation shall be placed in the candidate's personnel file.
2. All official evaluations (those of the DEC, the Chairperson, and the appropriate Dean) shall be placed into the candidate's file by the appropriate Dean prior to the Dean's transference of the files to the Promotion and Tenure Committee, so that one complete file shall be transferred.

F. Promotion and Tenure Committee's Role in the Evaluation Process

1. Purpose of the Committee

The purpose of the Promotion and Tenure Committee is to evaluate candidates for promotion and tenure and to make recommendations, according to principles of shared governance and in an advisory capacity to the Provost, regarding the granting of promotion and tenure to candidates in accordance with this document.

² Interpretation-(1) Teaching Faculty-Dean of candidate's Academic School; (2) Counselors-Director of Counseling Services;(3) Library Faculty-Library Director

2. Structure of the Committee

- a. There shall be a single Promotion and Tenure Committee for all faculty (including supervisors of student teachers), library faculty, and counselors, hereafter referred to collectively as "faculty".
- b. The Committee shall consist of fifteen members elected by the faculty.
- c. Committee members who anticipate they will have to be absent from a significant portion of the Committee deliberations shall step down for the entire process. Individuals repeatedly absent or neglecting their duties without an excuse deemed adequate by the Committee, shall step down. If the person chooses not to step down, the Committee shall call for a vote by secret written ballot for the individual's removal for the remainder of his/her term. A vote of two-thirds of the Committee results in the expulsion of the individual.
- d. Alternates
 - 1) There shall be six alternate members elected by the faculty.
 - 2) Alternates shall take the place of voting members:
 - when a voting member is applying for promotion that year;
 - when a voting member resigns or is removed by vote. See III. F. 2. c;
 - under other circumstances, such as prolonged illness, as evaluated and determined by the Committee.
 - 3) Alternates shall be eligible to become voting members in the order in which their terms expire, and on the basis of the total number of votes received.
 - 4) When replacing a voting member, alternates serve for the period specified by the Committee but no later than the end of a year's term. Permanent vacancies are filled not by alternates but by elections for committee members.
- e. At no time shall the number of voting members (including alternates serving as members) exceed fifteen.
- f. Each year, the Committee elects from its members an individual to serve as Chair. The Chair must hold the rank of Professor.

3. Eligibility for Membership on the Committee

- a. Any faculty member is eligible to serve on the Committee provided he or she is tenured, has the rank of Associate or above (or the equivalent for library faculty and counselors), and has completed a minimum of six years on the faculty at a college or university, at least three of which must be at Southern Connecticut State University. However, faculty serving in administrative positions outside of their department and receiving load credit or compensation are not eligible.
- b. At no time shall more than two members from any one department or division be elected as regular or alternate members of the Committee. For the purposes of this document, "department" means traditional departments and divisions within which there are no distinct departments.

- c. No person who has a formal evaluative role at any level of the promotion and tenure process in a particular year shall serve as a member or alternate on the Committee (e.g., Department Chairpersons, division directors, DEC members, and Deans).
 - d. Faculty members shall not write letters of recommendation or support for candidates after that member is elected to or begins serving on the Committee.
 - e. No person shall serve as an elected member of the Committee in any academic year in which he or she applies for promotion.
 - f. Committee members shall always treat as confidential the evaluative information submitted and considered, and the Committee's deliberation and votes. Such confidentiality does not apply to disclosures concerning procedures in a formal hearing by a Grievance Committee. Any communication between the candidate and a Committee member, other than the Committee Chair or his/her designee, about the candidate's file shall occur only in the context of a Committee interview.
4. Elections of Members of the Committee
- a. The Elections Committee of the Faculty Senate shall conduct the faculty elections for the Committee.
 - b. Each Spring, elections shall be held for five regular members and two alternate members for three-year terms. At the same time, elections shall also be held for two or one-year terms to fill any existing vacancies in unexpired terms.
 - c. All terms shall begin September 1 and expire August 31.
 - d. All members of Committee shall hold the rank of Associate Professor (or above) at the beginning of their term.
5. Recall of Committee Members and Alternates
- a. Any member or alternate of this Committee may be recalled by a majority vote of the faculty on a referendum.
 - b. Such a referendum shall be conducted by the Elections Committee of the Faculty Senate upon receipt of a petition to that effect bearing the signatures of at least 10 percent of the faculty.
6. Procedures of the Committee
- a. The Committee shall meet in September to outline the dates and procedures for the upcoming year and to elect a Chair from its members at the rank of Professor. The Chair of the Senate Elections Committee shall be present to conduct this election, which shall be determined by a majority vote. A quorum shall be required for the Committee Chair election to be valid. If a quorum is not present at the first meeting, a second meeting shall be scheduled within two weeks.
 - b. Committee members, when not meeting as a Committee, shall treat as confidential both the information in any candidate's file and the Committee's deliberations and votes. Confidentiality shall also apply to Committee members who resign or whose terms expire. Such confidentiality shall not apply to discussions of the Committee's standard operating procedures or statistical reports. Nor shall such confidentiality be applied to, or invoked with regard to, information deemed essential by the President's Grievance

Committee, the University Grievance Arbitration Committee, and/or an outside arbitrator as outlined in the Collective Bargaining Agreement (Part III.H).

- c. The candidate shall be given an opportunity to interview with the Committee prior to its decision. A minimum of five members shall be scheduled to be present at the interview. If fewer than three members are present, the interview shall be rescheduled.
- d. Candidate interviews shall take place during the first week of the Spring semester, which is the week prior to the first day of classes. Interviews for January candidates shall be handled on an ad hoc basis.
- e. The Committee shall examine and discuss each candidate's file separately. It may solicit additional information about the candidate only from the candidate. Any special conditions in the candidate's letter of appointment, or subsequent extensions or modifications of such appointment as provided under Article 4.7 of the Collective Bargaining Agreement, shall be considered in the evaluation process for promotion or tenure. (See Part III.G.7 - Addition of Materials after Sealing of the File.) The Committee shall not accept information other than that which is in the file or which the Committee solicits as described above.
- f. No Committee member shall discuss any particular files or any particular deliberations with candidates outside of regular Committee meetings. However, the Chair of the Committee (or his/her designee) may be authorized by the Committee to respond to a candidate's questions about his/her own file.
- g. After all information on a candidate has been received, and after full discussion and deliberation, the Committee shall proceed with the decision-making process. Committee members from a candidate's department are allowed to vote on that candidate, but must recuse themselves from that candidate's interview and deliberations by the Committee. A secret ballot shall be used for each final decision affecting a candidate. No proxy votes shall be allowed in any of the procedures with respect to a candidate being recommended or not recommended. This shall not preclude an absent member from giving the chairperson a specific written vote on the first ballot.
- h. Each Committee member shall be afforded a reasonable opportunity (as determined by the Committee) to cast a ballot.
- i. At any stage, the Committee may reconsider and/or revote on an individual candidate. (See suggested guidelines in Part IV).
- j. An evaluation of "not recommend" for promotion or tenure from the Committee shall include a summary evaluative statement and explanation.
- k. Candidates for tenure shall be either recommended or not recommended. The Committee's notification of its decisions shall be made as follows:
 - 1. The candidate shall receive a letter with the decision to recommend or not to recommend. The letter shall include the candidate's average score, the standard deviation and the group average in each of the four categories of evaluation. A decision of "not recommend" shall include a summary evaluative statement and explanation.
 - 2. The Provost shall receive a list of those recommended and not recommended, both listed in alphabetical order, without any further evaluative elaboration

- l. Candidates for promotion shall be grouped according to the rank sought and ranked accordingly. The Committee recommendations to the candidate and the Provost shall include the following:
 1. Rank order.
 2. The candidate's average score, the standard deviation and the group average in each of the four categories of evaluation.
 3. Total number of points based on the formula: 10 x category I; + 5 x category II; + 4 x category III; + 2 x category IV; 1 x category V.
 4. Decision to recommend or not recommend but not the yes/no vote totals.
 5. A decision of "not recommend" shall include a summary evaluative statement and explanation that shall be provided only to the candidate, and not to the Provost.
- m. At any point after the Committee recommendation, but before the end of the semester, the candidate may request a meeting with the Chair of the Committee or his/her designee to discuss the recommendation.
- n. The Committee may establish and follow any additional procedures it deems reasonable, provided such procedures do not contravene procedures specified in this document or the Collective Bargaining Agreement. A written record of all additional procedures used by the Committee shall be kept, and a written report of these procedures shall be given annually (in the spring of the year) to the Faculty Senate and to the Provost and the President of the University.
- o. The Committee shall be responsible for the security of the candidates' files while they are in its possession. See III. H. 3.

G. Provost's Role in the Evaluation Process

1. The final action of the Committee on all candidates shall be forwarded to the Provost, who, in consultation with the President, shall be responsible for making the final recommendation to the Board of Trustees. The Provost shall send a copy of his/her recommendation to the candidate.
2. A Provost disagrees with the recommendation of the Promotion and Tenure Committee and denies tenure after completion of the candidate's sixth (6th) year of service, shall provide the candidate and the Committee with a written explanation. A Provost who disagrees with the recommendation of the Committee and recommends tenure, shall provide the Committee with an explanation. The Provost's explanation shall be held in confidence by the Committee, subject to applicable statutes.
3. If the Provost disagrees with two (2) of the three (3) evaluative entities (DEC, Dean, and Promotion and Tenure Committee) and denies tenure in the penultimate year of service, the President shall review and may alter the Provost's decision prior to the date the Board announces its tenure actions.

H. University Promotion and Tenure Files

1. Contents of the File

A candidate's promotion or tenure file shall include all of the following material, as stipulated in parts III.H.1.a and, if applicable, III.B.4. Items in Section "a" below are the responsibility of the candidate, and failure to include them may negatively affect the Promotion and Tenure Committee's assessment of the candidate. Items in Section "b" below are the responsibility of the evaluators, and any omission of these items shall not be prejudicial to the candidate, as noted in III.H. 4. b, below.

a. Candidate's Responsibility

1. A copy of the original letter of appointment from the University President provided by the candidate and, if applicable, any subsequent applications or modifications.
(see III.B.2)
2. Candidate information sheet
3. Copies of syllabi (applies to teaching faculty only)
4. Evidence of all primary load credit activity, including non-teaching activity
5. Physical documentation of creative activity (photocopied articles, papers, images, etc.)
The dates of all activities and/or publications shall be included.
6. **For teaching faculty**, copies of university-tabulated Student Opinion Surveys,
if available; if not, some evidence of written student evaluations³
7. Dates of activities in the first four categories (see II.B.2) shall be included.
8. During a year in which a candidate is applying for both promotion and tenure, only one file is required.
9. **Remove and Replace with paragraph below.** The contents of the primary file shall not exceed one 3-inch loose-leaf binder. Supplemental information may be placed in a second binder or some other organized format. Files exceeding three (3) inches shall be returned to the candidate for editing.

The contents of the primary file shall not exceed one 3-inch loose-leaf binder. The binder should not be overfilled, which may result in the loss of pages. Therefore the total thickness of the binder and its materials shall not exceed 3". Supplemental information may be placed in additional binders (of any size) or some other organized format as determined by the candidate. Primary files exceeding three (3) inches shall be returned to the candidate for editing.

b. Evaluative Bodies' Responsibility, see III.C-E for specific details and exceptions.

³ Does not currently apply to faculty-taught online courses, pending the development of an online evaluation instrument

1. DEC: written evaluation and recommendation
2. Department Chairperson: written evaluation and recommendation
3. Dean/Director of candidate's school: written evaluation and recommendation
4. Promotion and Tenure Committee: written evaluation and recommendation
5. Provost: written evaluation and recommendation

2. Movement of the File

Once the candidate has submitted his/her file to the DEC, the evaluation process begins with individual evaluations by the DEC and the Department Chairperson. Those evaluations are added to the file, which is then forwarded to the appropriate Dean. After reading the file, the Dean adds his or her written evaluation to the file and forwards the complete file to the Promotion and Tenure Committee.

3. Security of the Files

At each stage of the promotion and tenure process, the individual or committee conducting the evaluation will be responsible for insuring the security of the files and for the handling of the files in accordance with procedures outlined in this document.

4. Incomplete Files

- a. If required evaluative materials cited in Part III.H.1.a. are not in the candidate's file, the Promotion and Tenure Committee shall consider the file incomplete. Such an incomplete file may negatively affect the Committee's evaluation of the candidate.
- b. Failure of the candidate's department, Chairperson, or Dean to submit materials in accordance with this Part III.H.1.b, however, shall not prejudice the candidate's application for promotion or tenure. As the only person to see all evaluative materials, and thus to note omissions, the Dean shall attempt to obtain and include such omitted materials before the file is sealed.

5. Entries into Promotion and Tenure Files

Only authorized persons may make entries into a candidate's file. Authorized persons are the candidate, his or her Dean(s), Department Chairperson, and the candidate's DEC or its equivalent.

All additional materials entered by anyone other than the candidate shall be listed as enclosures on the evaluations written by the DEC, the department Chairperson, and the appropriate Dean. Any information not provided by the candidate must be in writing, signed, and made available to the candidate a minimum of four (4) days prior to the submission of the file to the next step in the evaluation process.

6. Candidate's Examination of the File before Sealing

- a. Before the file is transmitted to the appropriate Dean, the DEC shall afford the candidate an opportunity to examine his/her file for accuracy and completeness in the presence of a member of the DEC. At this time the candidate may place in the file a rebuttal and/or any additional material in support of his/her application for promotion or tenure.
- b. After the file has been forwarded to the Promotion and Tenure Committee by the appropriate Dean, the candidate shall have an opportunity to examine the file for accuracy and completeness before its sealing. At this point in the process, only the candidate and members of the Promotion and Tenure Committee shall examine the promotion and tenure file.
- c. At any time up to this point in the process, candidates may obtain copies of items in their files.

7. Sealing of the File

- a. Sealing of files shall take place on the last two weekdays of fall examination week. For tenure candidates starting in January, sealing of files shall take place on the first working weekday following November 13. Candidates shall be notified of the time and place for sealing of files by public notice at least two weeks prior to the sealing of files. During the designated period, the candidate shall have the option to examine his or her file in the presence of the Chairperson of the Committee, or a designee, and to seal it with a seal on which the candidate has signed his or her name. During this time a candidate who plans to provide rebuttal material shall so inform the Chairperson of the Committee, or a designee, of his/her intent to do so and shall provide the rebuttal material by the date designated by the Committee.
- b. A candidate unable to be present to seal his/her file may designate in writing another person to perform this task.
- c. In the event that the candidate fails to seal the file by the close of the sealing period, the file shall be considered sealed.
- d. After the file is sealed, the seal will be broken only in the presence of the Committee. A record (the name of the person and the date) shall be made on the front of the file each time the file is examined.

8. Addition of Materials after the Sealing of the File

- a. In situations where the Committee believes the file to be incomplete, as described in III H.3.a and III.H.3.b, it may seek from any source additional written information pertinent to the evaluation process.
- b. If such evidence is submitted, the candidate shall automatically receive a copy of the additional material. Any such material introduced at this time shall be acknowledged by signature of the candidate and the candidate shall be given the opportunity to add written rebuttal.

- c. If a candidate has appropriate information not previously available, the candidate (or his/her designee, attested to in writing) may insert it into his/her file, in the presence of the Chairperson of the Committee or the Chairperson's designee.

9. Disposition of the Files after Use by the Committee

- a. After the Committee makes its recommendations, it reseals the files. The Provost shall then have access to the files.
- b. After making recommendations to the Board of Trustees, the Provost shall reseal the files he or she examined.
- c. In the event that no grievance has been filed regarding a candidate's promotion and/or tenure or regarding the file, the file shall be made available to the candidate at the end of six months after the Provost sends his/her letter, unless the candidate requests in writing to obtain it sooner.
- d. In the event that a grievance is filed by a candidate, two copies of the file shall be made in the presence of the candidate and the Provost or Provost's designee. The file shall then be resealed, and the copies given to the candidate and to the Provost or Provost's designee.

I. Grievance Procedures

Any faculty member who feels that the prescribed procedures and obligations have in some way been violated with respect to this document may initiate grievance procedures as specified in the Collective Bargaining Agreement.

**PART IV -- PROCEDURES FOR
THE PROMOTION AND TENURE COMMITTEE**

A. Promotion

1. In the deliberations, candidates for promotion shall be grouped according to the rank being sought and each group shall be considered separately by the Committee.
2. In applying the evaluation criterion in each category to candidates in a given rank, each Committee member shall have in mind a standard of performance for that rank. Standards of performance shall vary for different ranks. Committee discussions of standards of performance for various ranks need not produce consensus. Ultimately, each Committee member should formulate his or her own standards that, although they may differ from others', shall guide him/her in voting whether to recommend.
3. After discussion and deliberation on a given candidate is completed, each Committee member shall assign the candidate an integer on a ten point rating scale for each evaluation category, except for category 5 where 1 point is given for every year of service beyond five years up to a maximum of 15 points. (See Part IV.C below). The integers should measure, as accurately as possible, the candidate's performance in each of the evaluative categories
4. The ballot cast by a Committee member for each candidate shall consist of the integers, in order, assigned to each of the evaluation categories.

B. Tenure

1. All candidates for tenure shall be considered as a single group.
2. After discussion and deliberation on a given candidate is completed, each Committee member shall assign the candidate an integer on the rating scale for each evaluative category. (See Part IV.C below). The integers should measure, as accurately as possible, the candidate's performance in each of the evaluative categories.
3. The ballot cast by a Committee member for each candidate shall consist of the integers, in order, assigned each of the evaluative categories.

C. Computing and Interpreting Ballots

1. It shall be the responsibility of the Committee Chairperson to compute or to have computed the results of the balloting and to record these results.
2. The average in each of the evaluative categories, i.e., quality of teaching or professional competence (load credit or the equivalent), creative activity, productive service to the department and University, professional attendance and participation, and years of service shall be computed. Prior to computing these averages for each candidate, the Committee shall eliminate one highest and one lowest score for each of the four evaluative categories.
3. The total of these weighted averages shall be computed as follows⁴:

Quality of Teaching or Professional Competence
(load credit or the equivalent)----- average is multiplied by 10
Creative Activity-----average is multiplied by 5
Productive Service to the Department
and University-----average is multiplied by 4
Professional Attendance and Participation-----average is multiplied by 2
Years in Rank -----rating is multiplied by 1

D. Determination of the Final Recommendations

The Committee shall use the total weighted average to produce initial rankings, but is not obliged to determine the order of candidates by numerical methods. The use of this method shall assist in, but need not determine, the final recommendations, which should be determined by the deliberations of the Committee. (Refer to "Procedures of the Committee," Part III.F.6).

⁴ For non-teaching faculty, see weights and categories of evaluation as specified in the Collective Bargaining Agreement.

ADDENDUM (NEW *)

Language in the Collective Bargaining Agreement regarding the status of coaches and trainers shall govern their hiring and evaluation in CSU. Pursuant to a supplemental agreement between the Board of Trustees and CSU-AAUP, this language shall apply only to coaches and not to trainers at SCSU. This new language necessitates some modest modification of local procedures, which shall affect relatively few individuals. The following modifications of the document shall apply to any coach who satisfies the definition in Article 6.1 of the CBA:

1. Throughout the document, any references to "the (appropriate) Dean(s)" shall be construed to refer to or include the Athletic Director; for members holding 12-month rather than 10-month appointments, any reference to a semester shall be construed to refer to a half-year.
2. Part II.A.2, B.2, C.2: The criteria for evaluation of coaching shall be as stated in Article 6.8 of the Collective Bargaining Agreement, with the categories enumerated in Article 6.8.1 - 6.8.5 weighted in the order presented; for those who have received load credit for teaching, their teaching shall be evaluated pursuant to the existing language of the document, with a relative weight in the highest category proportional to the fraction of load credit assigned to teaching.
3. Part III.F.2.a: Full-time coaches and trainers shall be included in the term "faculty".

In addition, the following modifications of the document shall apply only to any coach who (1) was hired on or after January 1, 1994, or (2) was hired prior to January 1, 1994, is untenured, and has elected pursuant to Article 6.2.3 of the CBA to change his/her status to the non-tenure track:

4. Throughout the document, any reference to tenure, probationary appointment, probationary period, or professional assessment shall not apply.
5. Part II.A.1: The minimum conditions for promotion shall be those stated in Article 6.3 of the Collective Bargaining Agreement.
6. Part II.C.1: Each person who holds a term appointment shall be eligible for evaluation for renewal of appointment.
7. Part III.A.3.b: Each full-time member in the first year of appointment shall receive written evaluation of performance during the second semester (half-year) of service after completing a full semester (half-year) of service in accordance with the schedule specified in Part VI. Thereafter, there shall be an annual written evaluation.

(* NEW LANGUAGE- See 2007, "Collective Bargaining Agreement", Article 6 for specific details regarding coaches and athletic trainers.)