

1 **James Madison University Libraries Promotion**
2 **and Tenure Guidelines**

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88 **1. Introduction**

89 This document covers professional contracts, development, and performance assessment for
 90 tenure-track and Renewable-Term Appointment (RTA) faculty. It serves as a guide to the
 91 individual librarians, the Personnel Advisory Committee (PAC), supervisors, the Academic Unit
 92 Heads (AUH), and the Dean of Libraries & Educational Technologies (LET). It should be used in
 93 concert with the [James Madison University Faculty Handbook](#). This document shall be
 94 reviewed annually by the PAC to maintain alignment with the Faculty Handbook. In cases of
 95 discrepancy between the Faculty Handbook and this document, the Faculty Handbook shall
 96 take precedence.

97 The Faculty Handbook ([Section III.B](#)) defines librarians as instructional faculty, eligible for
 98 tenure. They have the same obligation to commit themselves to a program of professional
 99 development as do the other faculty. This document defines *instruction* as any professional
 100 effort that connects library resources to the JMU community of scholars, as is appropriate for
 101 the individual faculty member. The components comprising each faculty member's job
 102 performance are delineated in his or her position description. As with teaching faculty,
 103 research and service are also important components of the librarians' professional
 104 development.

105 **1.1 Applicability**

106 Non-librarian A&P Faculty within the Libraries are not specifically referred to in this document,
 107 but may be eligible for promotion and tenure. Refer to Faculty Handbook Sections [III.E.6](#) and
 108 [III.B](#) for information specific to non-librarian A&P Faculty.

109 **1.2 Version**

110 The current version of the James Madison University Libraries Promotion and Tenure
 111 Guidelines (PTG) supersedes all previous versions, and its terms replace the terms contained in
 112 previous versions. The university expressly reserves the right to change policies, benefits, and
 113 procedures, and faculty members shall be bound by changes as they become effective. Changes
 114 to the PTG are made as needed by the sitting Librarian PAC and are approved by majority vote
 115 of eligible faculty members.

116 1.3 Contracts

117 For information on contracts, see [Faculty Handbook Section III.D.](#)

118 1.4 Word Usage

- 119 • **Academic Unit** is defined as an administrative department or its functional equivalent,
120 as identified by the provost.
121
- 122 • **Academic Unit Head** is “the head of an academic department or the functional
123 equivalent of that position,” according to Academic Affairs Policy #2 Academic Unit
124 Heads. For the purposes of this document, the AUHs shall be defined as the Associate
125 Deans of the Libraries.
126
- 127 • **Day** indicates a calendar day, unless otherwise specified. If, however, a specified
128 deadline falls on a day when the university is not scheduled to be open, or is not actually
129 open for business (as in an emergency closing, a holiday, or a weekend), the deadline
130 shall be the next day the university is actually open for business.
131
- 132 • **Must** and **shall** indicate mandatory actions.
133
- 134 • **Should** and **may** indicate discretion on the part of the actor.
135
- 136 • **Will** is intended to be descriptive only and does not obligate or direct any action.
137

138 All references to any entity or publication refer to those entities and publications at James
139 Madison University unless otherwise specified.

140 1.5 Abbreviations and Style

141 This handbook is intended to conform to the stylistic conventions in use at James Madison
142 University. After a name or title has been used the first time, it will usually be abbreviated.

143 Some examples are listed below:

- 144 • Academic Unit Head – AUH
- 145 • Personnel Advisory Committee – PAC
- 146 • Administrative and Professional Faculty – A&P
- 147 • Board of Visitors – BOV
- 148 • Provost and Senior Vice President for Academic Affairs – provost
- 149 • Faculty Annual Review – FAR
- 150 • Faculty Anticipated Activity Plan – FAAP
- 151 • Renewable Term Appointment – RTA
- 152 • Speaker of the Faculty Senate – Speaker

153 **2. Evaluations**

154 All full-time faculty are subject to a Faculty Annual Review, which evaluates their performance.

155 The purpose of evaluation of faculty members at James Madison University is to promote
156 professionalism, to encourage performance at the highest levels and to indicate areas in which
157 improvement is needed. Evaluations are also used in making personnel decisions, including
158 allocation of merit pay increases, continuation of employment and initiation of post-tenure
159 review.

160 AUH will conduct the FAR of faculty. Evaluations support a variety of decisions including those
161 affecting tenure and promotion and are integral components of PAC reviews. The FAAP and
162 FAR processes completed by faculty and AUHs are inextricably linked to the evaluation under
163 PAC and/or AUH or the Dean's purview.

164 Librarians are responsible for keeping comprehensive records of their professional activities to
165 supply supporting documentation for any of the following reviews:

166 **2.1 Types of Evaluations**

167 **2.1.1 AUH Evaluations:**

- 168 • Initial evaluation. The initial evaluation will be conducted at the end of the faculty
169 member's first six months of employment. The initial evaluation becomes a matter of
170 LET record and is filed in the LET Human Resources Department.
- 171 • Faculty Annual Review (FAR). Appeals of FARs are referred to the PAC.
- 172 • Midterm review. This becomes a matter of LET record and is filed in the LET Human
173 Resources Department.

174 **2.1.2 PAC Evaluations:**

- 175 • First year review. This is advisory to the faculty member. The first year review letter
176 becomes part of LET record and is filed in the LET Human Resources Department.
- 177 • Midterm review. The midterm review is advisory to the faculty member. The midterm
178 review letter from the PAC becomes a matter of the LET record and is filed in the LET
179 Human Resources Department.
- 180 • Evaluations for promotion in rank and/or tenure decisions are conducted in addition to
181 the FAR in the appropriate year. They become a matter of LET record and are filed in
182 the LET Human Resources Department.
- 183 • Non-renewal of contracts.
- 184 • Post-tenure review.
- 185 • Faculty Annual Review Appeals

186 Copies of all evaluations that are to be maintained as a matter of LET record shall be stored in
187 faculty member's personnel file. (See [Faculty Handbook, Section III.G.](#)) A faculty member may
188 examine his or her personnel files wherever they are kept.

189 **2.2 Evaluation Fundamentals**

190 **2.2.1 Academic Freedom and Responsibility**

191 The evaluation of a faculty member shall not infringe upon the exercise of academic freedom,
192 as defined in [Faculty Handbook, Section III.A.2](#). A faculty member's right to exercise academic
193 freedom carries with it concomitant responsibilities. These responsibilities are owed to
194 students, colleagues, the scholarly community and the institution. Failure to live up to these
195 responsibilities carries with it the possibility of sanctions, up to and including dismissal.

196 **2.2.2 Criteria**

197 All evaluations shall consider a faculty member's performance as set out in [Faculty Handbook,](#)
198 [Section III.E.2](#). Additionally, any aspects of a faculty member's conduct that impacts
199 performance, positive or negative, should be addressed in these evaluations.

200 **2.2.3 Applicability**

201 The procedures and criteria for a particular type of evaluation shall be applied equally to all
202 faculty members in the Libraries.

203 **2.2.4 Access to Records by PAC**

204 In support of its role in evaluations, the PAC has the right to review all relevant material in the
205 faculty member's personnel file in the LET Human Resources Department. Before the
206 personnel file is made available to the PAC, the AUH will divide the file into those documents
207 that are relevant for consideration and those that are not. The AUH will provide the faculty
208 member with the opportunity to object to the division of documents. The faculty member may
209 ask the dean to resolve any such objection or may place a statement in the materials to be
210 accessible to the PAC. (See [Faculty Handbook, Section III.G.2.](#))

211 **2.2.5 Access to Records by Faculty Member**

212 In the evaluation process, if documents are to be considered that were not submitted by the
213 faculty member or contained in the faculty member's personnel files, the faculty member shall
214 promptly be given access to the documents and given an opportunity to respond to them. A
215 faculty member may elect to waive his or her right to access specific documents.

216 **2.2.6 Approval**

217 Faculty evaluation procedures and criteria (promotion and tenure, FAAP and FAR) must be
218 approved by the faculty, AUH, dean, appropriate vice provost and provost as appropriate.

219 **2.2.7 Distribution**

220 Library procedures and criteria shall be distributed to the faculty and provided to a new faculty
221 member upon joining the faculty by the AUH.

222 **2.3 Evaluation Bodies and Criteria**

223 **2.3.1 PAC**

224 The Libraries has a Personnel Advisory Committee (PAC) (See [Faculty Handbook Section](#)
225 [III.E.2.a.](#)). The committee advises the AUH and makes recommendations on personnel matters
226 within the Libraries. The PAC is responsible to the faculty and to the AUH for conducting its
227 functions, and the dean shall provide oversight of the work of the PAC to determine if it has
228 followed appropriate procedures.

229 Guidelines for PAC elections are on the PAC hub site.

230 **2.3.2 Criteria**

231 The areas of performance that shall be considered in all performance evaluations are as
232 follows:

- 233 • job performance
- 234 • scholarly achievement and professional qualifications
- 235 • professional service

236 Additionally, any aspects of a faculty member's conduct that impacts performance, positive or
237 negative, should be addressed in the evaluation of these performance areas.

238 The methods by which these areas are to be evaluated are as follows:

239 **2.3.2.1 Job Performance**

240 Consideration of job performance must include, but need not be limited to, the following: self-
241 evaluation, evaluations by peers and/or AUHs. Job performance is understood as each faculty
242 member's practice of librarianship, which may include: collection development, reference
243 services, course-related instruction, management, cataloging, web development, etc. as is
244 appropriate for the individual faculty member. The components comprising each faculty
245 member's job performance are delineated in his or her position description.

246 **2.3.2.2 Scholarly Achievement and Professional Qualifications**

247 Evaluation criteria in this area may differ according to job responsibilities. Criteria should
248 include, but need not be limited to, publication of scholarly works, presentations at
249 professional conferences, achievement through performance in the arts, engaging in

250 recognized research, obtaining research grants, continuing professional development through
251 formal course work, publication of educational materials and consulting activities.

252 **2.3.2.3 Professional Service**

253 Evaluation of activity in this area shall include committee service and leadership at James
254 Madison University or in professional or educational organizations, or service otherwise
255 enhancing the profession, the Libraries, or university.

256 **2.4 Initial Evaluation**

257 The AUH shall provide a new faculty member with information concerning the academic unit
258 evaluation procedures and criteria in the faculty member's first month of employment. The
259 initial evaluation will be conducted at the end of the faculty member's first six months of full-
260 time employment of employment. The following policies and procedures apply to the initial
261 evaluation:

262 **2.4.1 Conference**

263 At the start of a new faculty member's second full semester, the AUH shall schedule an
264 evaluation conference with the faculty member. The conference provides an opportunity to
265 discuss the faculty member's first semester performance and professional needs as perceived
266 by both the faculty member and AUH.

267 **2.4.2 Documentation**

268 Either prior to or following the conference, the AUH may request that the faculty member
269 supply information for review and evaluation purposes.

270 **2.4.3 Written Evaluation**

271 The AUH shall provide to the faculty member a written initial evaluation within 14 days of the
272 evaluation conference. The evaluation shall state whether the faculty member's overall
273 performance has been satisfactory or unsatisfactory.

274 **2.4.4 Deadline**

275 The initial evaluation process shall be completed by the end of the faculty member's first six
276 months of employment.

277 **2.4.5 Dean's Review**

278 A copy of the evaluation, signed by the faculty member and the AUH, shall be sent to the dean
279 by the AUH. If the faculty member refuses to sign the evaluation, this refusal shall be noted on
280 the evaluation when the AUH sends it forward to the dean.

281 **2.4.6 Nonrenewal**

282 Unsatisfactory performance as determined in the initial evaluation will normally result in
283 nonrenewal of an appointment of an untenured first-year faculty member. PAC review of the
284 faculty member's performance is required as specified in [Faculty Handbook, Section III.F.3](#) if
285 the AUH finds that the faculty member's performance is unsatisfactory. The PAC review must
286 be completed and sent to the dean within seven days of receiving a recommendation for
287 nonrenewal of a first-year faculty member from the AUH. (See [Faculty Handbook, Section](#)
288 [III.F.3.c.](#))

289 **2.5 Faculty Annual Review**

290 The FAR shall consider the performance of the faculty member both within and outside of the
291 academic unit in the areas of job performance, scholarly achievement and professional
292 qualifications, and professional service. Additionally, any aspects of a faculty member's conduct
293 that impacts performance, positive or negative, should be addressed in these evaluations. The
294 AUH will solicit input from appropriate individuals outside of the academic unit, including the
295 librarian's liaison area. The AUH may solicit information from the PAC. If the AUH is not the
296 faculty member's supervisor, he or she will solicit input from the immediate supervisor.

297 In each of the three performance areas, a faculty member shall be evaluated as excellent,
298 satisfactory or unsatisfactory. In addition to an evaluation in each of the three areas of
299 performance, the faculty member's overall performance must be evaluated as satisfactory or
300 unsatisfactory. A factor in determining overall annual performance must be the relative weight
301 associated with each of the areas of performance.

302 **2.5.1 Faculty Anticipated Activity Plan**

303 By **August 31**, each faculty member shall submit a Faculty Anticipated Activity Plan (FAAP), a
304 description of anticipated activities for the coming year to the AUH. The relative weights of the
305 three performance areas of job performance, scholarly achievement and professional
306 qualifications, and professional service for an individual faculty member shall be determined
307 by the faculty member and the AUH prior to the start of the academic year. The agreement
308 should be shared with the PAC at the midterm review and at the time of tenure review. If no
309 individual weights are negotiated, standard weights shall be:

- 310 • 60% Job Performance
- 311 • 20% Scholarly Achievement and Professional Qualifications
- 312 • 20% Professional Service

313 The agreement on weights may be renegotiated during the year under appropriate
314 circumstances.

315 **2.5.2 Faculty Annual Review**

316 By **July 31**, each faculty member shall submit a summary of activities and accomplishments
317 during the previous 12 months in the areas of job performance, scholarly achievement and
318 professional qualifications, and professional service to the AUH for review and evaluation
319 purposes, using the approved format.

320 **2.5.3 Preliminary Evaluation**

321 A preliminary written evaluation is to be given to each faculty member by the AUH prior to the
322 regular FAR conference. The preliminary evaluation shall be given to the faculty member at
323 least one day prior to the scheduled conference.

324 **2.5.4 Conference**

325 The evaluation conference must provide an opportunity to discuss the faculty member's
326 performance, professional contributions and needs as perceived by both the faculty member
327 and AUH. The conference may be cancelled by mutual agreement of the faculty member and the
328 AUH, if both agree on the terms of the preliminary evaluation.

329 **2.5.5 Official Evaluation**

330 The official written evaluation shall not be finalized until after the evaluation conference,
331 unless the faculty member and AUH determine that no conference is required.

332 **2.5.6 Deadline**

333 The AUH shall provide the official written evaluation to the faculty member by **October 1**. Any
334 failure to meet this deadline will extend the appeal process (See [Faculty Handbook Section](#)
335 [III.E.4.g.](#)) by the number of days the written evaluation is late.

336 **2.5.7 Appeal**

337 Before the AUH submits the official written evaluation to the dean, there must be an
338 opportunity for the faculty member to review and appeal the evaluation to the PAC. The faculty
339 member has a maximum of seven days following receipt of the official written evaluation to
340 make the appeal in writing. Failure to file a timely written appeal will result in the evaluation
341 being sent forward to the dean, and no further appeal rights are available.

342 **2.5.8 Review Criteria**

343 In considering an appeal, the crucial questions for the reviewing body are whether all relevant
344 information was objectively reviewed by the AUH, and whether the AUH evaluated similar
345 achievements among similarly situated faculty members using the same standard of judgment.
346 The recommendations of the reviewing body will be given to the AUH, with a copy to the
347 faculty member and the dean. The reviewing body may recommend that the AUH's evaluation
348 be upheld or modified. If the AUH agrees with the recommendations of the reviewing body, he
349 or she will take the appropriate action to confirm or modify his or her original evaluation, and
350 will notify the reviewing body, the faculty member and the dean of his or her decision. The
351 appeal process in the academic unit must be completed by **October 21**. The evaluation process
352 is not final until any appeal has been completed.

353 **2.5.9 Final Evaluation**

354 The faculty member and the AUH shall sign the final evaluation and the AUH will send a copy of
355 it to the dean by **October 28**. If the faculty member does not sign the final evaluation, the AUH
356 will forward it to the dean with a notation that the faculty member declined or failed to sign.

357 If the AUH's evaluation is not modified as recommended by the reviewing body, the dean will
358 review the AUH's evaluation and the reviewing body's recommendations to determine whether
359 the AUH's evaluation will be upheld or modified. The dean is not bound by the reviewing
360 body's recommendations, and may take any action on the evaluation he or she deems
361 appropriate. The decision of the dean on the evaluation is final, and is not subject to appeal.

362 **2.5.10 Salary Adjustments**

363 Annual salary adjustments for faculty members are dependent on, but not guaranteed by the
364 results of the FAR. Determination of faculty salaries in the academic unit for the upcoming year
365 shall not be made until the FAR of each faculty member in the academic unit has been
366 completed by the AUH. See [Faculty Handbook, Section III.I.2](#) for further information on the
367 process for determining annual salary adjustments for faculty members, including appeal and
368 timetable information.

369 **2.5.11 Unsatisfactory Evaluation of Tenured Faculty**

370 In those cases in which a tenured faculty member's overall annual performance is evaluated as
371 unsatisfactory, the faculty member may appeal the evaluation to the dean within five days, by
372 providing a written document outlining the reasons for the overall evaluation to be modified.
373 The dean may either uphold the overall evaluation, or modify it. The decision of the dean is
374 final, and may not be appealed. If the faculty member does not appeal the overall unsatisfactory
375 evaluation, or if the dean upholds the overall unsatisfactory evaluation, the AUH shall inform
376 the PAC and, in consultation with the faculty member, shall immediately design a professional
377 development plan. The university will provide funding for a focused program of activities
378 designed to improve performance agreed upon by the AUH and the faculty member. However,
379 if the faculty member does not agree to the program chosen by the AUH, he or she will receive

380 no financial support from the university to improve his or her performance, but the faculty
381 member will still have the responsibility to bring his or her performance up to satisfactory
382 levels in the next annual performance appraisal.

383 While scheduling flexibility is appropriate, the development plan will be initiated at the earliest
384 opportunity to effect positive change in the next annual performance appraisal. For details on
385 post-tenure review, see [Faculty Handbook, Section III.E.8.](#)

386 **2.5.12 Retention of Documentation**

387 In those cases in which a faculty member's overall annual performance is evaluated as
388 unsatisfactory, LET Human Resources Department will retain, for at least two years, copies of
389 the materials considered in conducting the FAR.

390 **2.5.13 First Year Review**

391 After the faculty member has completed at least six months of employment, the PAC will solicit
392 peer evaluations, consult the AUH's initial evaluation, and prepare a brief review of the faculty
393 member's current progress toward tenure requirements. A copy of this letter is given to the
394 AUH. This document becomes part of the academic unit's record and is filed in the LET Human
395 Resources Department.

396 **2.5.14 Midterm Review**

397 At the midpoint of the faculty member's probationary period (typically in the third year of
398 employment), the PAC and AUH will independently provide guidance and advice to the faculty
399 member on progress toward promotion and/or tenure. Copies of these reviews are given to the
400 Dean and the supervisor. This document becomes a part of the academic unit's record and is
401 filed in the LET Human Resources Department. See the Midterm Review guidelines maintained
402 by the PAC.

403 **2.5.15 Confidentiality**

404 All persons involved in the evaluation process shall respect and maintain the strict
405 confidentiality of all relevant documents and deliberations.

406 **2.6 Faculty Annual Review of Academic Unit Heads**

407 AUH's will be evaluated annually by the Dean. For more information, see [Academic Affairs](#)
408 [Policy #2: Academic Unit Heads.](#)

409 **3. Promotion in Academic Rank**

410 The promotion of a faculty member shall be determined by merit regardless of the distribution
411 of faculty by academic rank within the academic unit. Normally, a faculty member should have
412 completed five years in academic rank before being reviewed for promotion. Early promotion
413 is covered in section 4.4, Compelling Case for Early Tenure and Promotion. Though length of
414 service may be given consideration, it is not a sufficient basis for recommendation for
415 promotion.

416 **3.1 Standards**

417 Job performance, scholarly achievement and professional qualifications, and professional
418 service are the bases for evaluating the performance of candidates for promotion in academic
419 rank. In each of these areas, the faculty member shall be evaluated as excellent, satisfactory or
420 unsatisfactory. Problems with a faculty member's conduct may disqualify a candidate for
421 promotion in academic rank. In the evaluation of faculty members being considered for
422 promotion in academic rank, the following standards apply:

423 **3.1.1 Assistant Professor**

424 At least satisfactory ratings in all areas are required for promotion to assistant professor.

425 **3.1.2 Associate Professor**

426 An excellent rating in job performance and at least satisfactory ratings in the others are
427 required for promotion to associate professor.

428 **3.1.3 Professor**

429 Excellent ratings in two areas (one must be job performance) and at least a satisfactory rating
430 in the third area are required for promotion to professor.

431 **3.2 Criteria**

432 These are not meant to be an exhaustive list of criteria. Other achievements in these three
433 categories will be considered by the PAC.

434 **3.2.1 Job Performance**

- 435 • meeting goals as outlined in the FAR process
- 436 • performance on the FAR
- 437 • evidence of positive outcomes or innovation in job performance
- 438 • evidence of positive outcomes or innovation at LET enterprise level

- 439 • positive commitment to the mission of LET
- 440 • leadership

441 **3.2.2 Scholarly Achievement and Professional Qualifications**

442 Continuing Education

- 443 • Attending workshops and working conferences.
- 444 • Attending workshops, seminars, or working conferences which result in evidence of
- 445 improved performance or positive changes within LET.
- 446 • Participating in staff seminars in various facets of librarianship, from which
- 447 professional benefit will result.
- 448 • Formal coursework which enhances one's professional performance, not necessarily
- 449 leading toward a degree. (Within this category are included courses which offer
- 450 continuing education units, as well as those carrying traditional academic credits.)
- 451 • Holding an advanced degree other than the MLS, or enrollment in a formal course of
- 452 study leading to such degree.

453 Scholarly Achievement

- 454 • Significant in-house research which influences services and activities of LET, e.g.
- 455 research and proposal leading to a new service, scholarly bibliography, etc.
- 456 • Conducting staff seminars in various facets of librarianship, from which professional
- 457 benefit will result.
- 458 • Presentation of papers; professional contributions to formally organized panels, forums,
- 459 etc.; or other similar scholarly activities at the campus, regional, state, or national level.
- 460 • Publication of research in a national, regional, or state journal.
- 461 • Successful grant application.

462 **3.2.3 Professional Service**

- 463 • Evidence of contribution or leadership in committee service is particularly desirable.
- 464 • Evidence of significant committee impact or results will be given particular
- 465 consideration.
- 466 • Active participation in committees at the following levels: LET, campus, state, regional,
- 467 national.
- 468 • Attendance at and active participation in professional meetings on campus, state,
- 469 regional, or national level.
- 470 • Donating or otherwise providing one's professional services to local organizations or
- 471 institutions.

472 **3.3 Procedures**

473 The following policies and procedures apply to applications for promotion in academic rank:

- 474 1. The faculty member may apply for promotion, or the PAC or AUH may nominate a
475 faculty member for promotion. Written nomination must be made by **September 1**. The
476 faculty member shall be informed if the PAC or AUH has nominated the faculty member,
477 and shall have the option to accept or decline the nomination without prejudice. The
478 faculty member who wishes to be considered for promotion shall submit a summary of
479 activities and accomplishments in the areas of job performance, scholarly achievement
480 and professional qualifications, and professional service to the AUH and PAC by
481 **October 1**. Failure by the faculty member to submit a summary of activities and
482 accomplishments by the **October 1** deadline shall constitute a refusal of a nomination
483 or withdrawal of an application, and no consideration of promotion is required.
- 484 2. If an AUH applies for promotion in faculty rank, or is nominated for promotion in
485 faculty rank, the AUH shall submit a summary of activities and accomplishments in all
486 areas to the dean and the PAC. The PAC will evaluate the AUH's performance and make
487 its recommendation to the dean.
- 488 3. If a dean applies for promotion in faculty rank, or is nominated for promotion in faculty
489 rank, the dean shall submit a summary of activities and accomplishments in all areas to
490 the appropriate vice provost or the provost, and the PAC of the appropriate academic
491 unit. The PAC will evaluate the dean's performance and make its recommendation to
492 the appropriate vice provost or the provost.
- 493 4. A candidate for promotion may decline the nomination or withdraw from consideration
494 at any time prior to receiving official notification of the promotion decision and may
495 apply for promotion at a later date.
- 496 5. Although consultation among the PAC, AUH and dean is encouraged, the AUH and the
497 PAC shall make independent evaluations of the facts and make independent
498 recommendations.
- 499 6. Recommendations on promotion in academic rank shall be justified using the Libraries'
500 criteria and based on the standards for promotion as set forth in [Faculty Handbook](#),
501 [Section III.E.6.a](#). The Libraries' specific criteria for promotion in academic rank shall be
502 adopted by the PAC and approved by the Libraries' full-time faculty members, the AUH,
503 dean, appropriate vice provost and provost. New full-time faculty members who will be
504 eligible for promotion in academic rank must be given the Libraries' criteria during
505 their first semester at the university. Existing promotion criteria may be modified by
506 the PAC with the approval of a majority of the full-time faculty members in the
507 academic unit, the AUH, dean, appropriate vice provost and provost.
- 508 7. The written recommendations of the PAC and AUH shall include a justification of their
509 conclusions. The recommendations shall be submitted to the dean by **November 15**,
510 and a copy of both recommendations shall concurrently be provided to the faculty
511 member. After the dean has received both the PAC and AUH recommendations, a copy
512 of the PAC recommendation shall be provided to the AUH, and a copy of the AUH
513 recommendation shall be provided to the PAC.

- 514 8. The dean may consult with the PAC and shall make a recommendation after reviewing
515 the recommendations of the AUH and the PAC (See [Faculty Handbook, Section](#)
516 [III.E.6.b.\(6\) and III.E.7.f.\(6\)](#)). The written recommendation of the dean shall include a
517 justification of his or her conclusions. The recommendations of the AUH, PAC and dean
518 shall be submitted to the appropriate vice provost and the provost by **December 15**.
519 The appropriate vice provost will make recommendations to the provost by **December**
520 **18**. After the recommendations have been received by the provost, a copy of the dean's
521 recommendation shall be provided to the AUH, the PAC and the faculty member.
- 522 9. The recommendations on promotion in academic rank from the AUH, PAC, dean and
523 appropriate vice provost shall be reviewed by the provost, who shall either deny the
524 promotion or make a recommendation to grant the promotion. A decision by the
525 provost to deny a promotion in academic rank terminates the consideration process;
526 denial does not require action by the BOV.
- 527 10. In the absence of a timely written appeal, the decision by the provost to deny promotion
528 becomes final and effective on the date of the notification. Official written notification
529 shall be sent to the faculty member by **February 1**, with copies to the appropriate vice
530 provost, dean, AUH and PAC concurrently. If the provost recommends granting
531 promotion in academic rank, the recommendation shall be sent to the president by
532 **February 1**, with copies to the appropriate vice provost, dean, AUH, PAC and faculty
533 member concurrently. The notification of denial or recommendation to grant promotion
534 in academic rank shall include a justification of the provost's decision.
- 535 11. If the provost recommends granting a promotion in academic rank, the president shall
536 review the recommendation and either deny the promotion or make a recommendation
537 to grant the promotion. A decision by the president to deny the promotion terminates
538 the consideration process; denial does not require action by the BOV. Official written
539 notification of denial shall be sent by the president to the faculty member by **February**
540 **15**, with concurrent copies to the provost, appropriate vice provost, dean, AUH and PAC.
541 If the president recommends granting the promotion, the recommendation shall be sent
542 to the BOV. The BOV shall act on the recommendation, and notification of its decision
543 shall be sent to the faculty member by the provost within 15 days after the BOV's
544 meeting.
- 545 12. Official notification granting promotion shall only be conveyed to a faculty member
546 after the formal action of the BOV. Promotions become effective at the beginning of the
547 following academic year.
- 548 13. The provost's decision to deny a faculty member's promotion is appealable only upon
549 the university's second denial of promotion in rank. Following a denied appeal, two
550 subsequent denials of promotion in rank must occur before further right to appeal
551 arises. The decision of the president or the BOV to deny promotion is not appealable.
- 552 14. In any appeal permitted by [Faculty Handbook, Section III.E.6.b.\(9\)](#), the faculty member
553 shall submit a written notice of appeal to the Faculty Appeals Committee by **March 1**,
554 setting forth the grounds for the appeal and a summary of the arguments and evidence
555 he or she intends to present at a hearing. Upon receipt of an appeal, the chair of the

556 Faculty Appeals Committee shall promptly send an acknowledgment of the receipt to
557 the faculty member and shall notify the president, provost, appropriate vice provost,
558 dean and AUH. If an appeal is filed, the provost shall appoint a person to serve as the
559 respondent, representing the administration in the appeal process.

560 15. The Faculty Appeals Committee shall determine if a hearing is warranted. (See [Faculty](#)
561 [Handbook, Section III.L.2](#)) Grounds for appealing a denial of promotion are limited to
562 failure of the university to follow its procedures or unreasonable or improper bases for
563 denial of promotion.

564 a. If the Faculty Appeals Committee determines that a hearing should be granted,
565 the procedures in [Faculty Handbook, Section III.L.2](#) shall apply. In the hearing,
566 the faculty member shall have the burden of establishing that the procedures
567 were not followed or that the university used unreasonable or improper bases
568 for the denial of promotion.

569 b. If the Faculty Appeals Committee determines that a hearing shall not be granted,
570 the faculty member, respondent, speaker, provost and president shall be notified
571 that the appeal has been denied. If the appeal is denied by the Faculty Appeals
572 Committee, the decision of the provost on the denial of promotion becomes final.
573 If the appeal is denied by the Faculty Appeals Committee, the decision of the
574 provost becomes final, effective on the date of the notice of denial by the Faculty
575 Appeals Committee.

576 16. All persons involved in the promotion process shall respect and maintain the
577 confidentiality of all relevant documents and deliberations.

578 4. Tenure

579 Tenure does not apply to administrative or professional positions within the university. It is a
580 concept with application only to the academic faculty of the university. A&P faculty
581 members may apply for tenure in academic disciplines represented at the university, but not in
582 an administrative or professional capacity. Tenure may only be awarded through the approval
583 of the appropriate academic unit and the academic affairs administration of the university.

584 4.1 Purpose

585 Tenure is intended to protect academic freedom, provide a reasonable measure of employment
586 security and enable the university to retain a permanent faculty of distinction. The BOV is the
587 only authority that can award tenure or make a commitment that promises tenure. When
588 applying for tenure, it is customary to apply for promotion at the same time, though this is not
589 a requirement. If an application for tenure also includes an application for promotion, the
590 procedures and standards to be used are the tenure procedures and standards. An applicant for
591 both promotion and tenure may withdraw either application, and proceed with the remaining
592 application, using the procedures for the remaining application from the point of withdrawal. A
593 withdrawal of a tenure application in the penultimate year of a probationary period will be

594 deemed a resignation effective at the end of the probationary period. ([See Faculty Handbook](#)
595 [Section III.E.7.a and 7.f](#))

596 **4.2 Orientation**

597 During the first six months of the new faculty member's employment, the PAC shall hold a
598 meeting with the faculty member to advise them on the promotion and tenure process within
599 the Libraries. It is at this meeting that the faculty member's individual promotion and tenure
600 calendar will be established. This calendar will be shared with the dean and the faculty
601 member's AUH.

602 **4.3 Probationary Period**

603 When a faculty member is hired on tenure track, the agreed probationary period preceding
604 consideration for tenure shall be stated in the initial employment contract. The maximum
605 probationary period is seven years. Applications made prior to the penultimate year of the
606 probationary period may be considered but will receive favorable review only upon
607 presentation of compelling evidence of accomplishment by the faculty member.

608 **4.4 Compelling Case for Early Tenure and Promotion**

609 To present a compelling case for early tenure and promotion to associate professor, a faculty
610 member must have completed at least four years as an assistant professor at JMU and be
611 evaluated by the AUH and PAC as "Excellent" in job performance and scholarship. The faculty
612 member must also be esteemed in the discipline, as attested by at least three letters of
613 recommendation from prominent people in the discipline.

614 To present a compelling case for early promotion to full professor, a faculty member must have
615 completed at least four years as an associate professor at JMU and be evaluated as "Excellent"
616 in job performance, scholarship, and service. The faculty member must also be esteemed in the
617 discipline, as attested by at least three letters of recommendation from prominent people in the
618 discipline.

619 Candidates for early tenure and/or promotion are evaluated by the AUH and PAC using the
620 same standards as would apply to any other candidate.

621 Faculty members who wish to apply for early promotion must consult with the dean about
622 their candidacy by **March 1** of the academic year preceding their application. The dean will
623 advise the faculty member on the efficacy of that application by **April 1**. The dean will choose
624 the above-mentioned "prominent people in the discipline" from lists submitted by the faculty
625 members and her/his colleagues; the dean will then solicit those recommendations. Outside
626 reviews will be held confidential and not be shared with the faculty member. The faculty
627 member waives the right to see the recommendations by submitting an early application.

628 **4.5 Suspensions**

629 The faculty member and the AUH may agree to suspend the running of the probationary period
630 for a specific period of time under appropriate circumstances and with the approval of the dean
631 and provost, as per the provisions of III.E.7.c. of the JMU Faculty Handbook.

632 **4.6 Extensions**

633 Faculty members on less than a seven-year probation may, by agreement with the AUH and
634 with the approval of the dean, have the probationary period extended to a maximum of seven
635 years.

636 **4.7 Standards**

637 The award of tenure is based on the qualifications, performance and conduct of individual
638 faculty members and the long-term needs, objectives and missions of the academic unit, college
639 and university. To be awarded tenure, the faculty member must meet performance and conduct
640 standards required for promotion to associate professor and should enhance the academic
641 environment of the academic unit and the university.

642 Length of service is not a sufficient basis for recommendation for tenure. Tenure may be denied
643 on any legitimate grounds including the lack of need for a faculty member in the particular
644 academic unit or academic specialization, program reduction or elimination, financial exigency,
645 or conduct. Problems with a faculty member's conduct may disqualify a candidate for tenure.
646 Job performance, scholarly achievement and professional qualifications, and professional
647 service shall be used in evaluating the performance of a candidate for tenure. A faculty
648 member's pattern of prior FARs should be carefully considered in the analysis of an application
649 for tenure, but administration and the PAC should use judgment and discretion in making
650 recommendations on tenure.

651 **4.8 Procedures**

652 The following policies and procedures apply to applications for tenure:

- 653 1. A faculty member in the penultimate year of the probationary period must apply for
654 tenure and submit a summary of activities and accomplishments in the areas of job
655 performance, scholarly achievement and professional qualifications, and professional
656 service to the AUH and PAC by **October 1**.
- 657 2. If an AUH applies for tenure, the AUH shall submit a summary of activities and
658 accomplishments in all areas to the dean and the PAC. The PAC will evaluate the AUH's
659 performance and make its recommendation to the dean.
- 660 3. In all cases, a candidate for tenure may withdraw from consideration prior to receiving
661 official notification of the tenure decision. Withdrawal from tenure consideration in the

- 662 penultimate year of the probationary period will be considered resignation effective at
663 the end of the probationary period, and no further applications for tenure may be
664 submitted within the Libraries. Withdrawal from an early tenure consideration (in any
665 year earlier than the penultimate year) will not prohibit the faculty member from
666 applying for tenure at a later date, as long as the application is submitted by the
667 penultimate year of the probationary period.
- 668 4. Although consultation among the PAC, AUH and dean is encouraged, the AUH and the
669 PAC shall make independent evaluations of the facts and make independent
670 recommendations, and should clearly indicate a positive or negative recommendation
671 on tenure.
- 672 5. Recommendations on tenure shall be justified using the Libraries' criteria and based on
673 the standards for promotion to associate professor as set forth in [Faculty Handbook](#),
674 [Section III.E.6.a](#). The Libraries' tenure criteria shall be adopted by the PAC and approved
675 by full time faculty members, the AUH, dean, appropriate vice provost and provost. New
676 full-time faculty members on tenure track must be provided the Libraries' tenure
677 criteria during their first semester at the university.
- 678 6. Existing tenure criteria may be modified by the PAC with agreement of a majority of the
679 full-time faculty members, with approval of the AUH, dean, appropriate vice provost
680 and provost.
- 681 7. The written recommendations of the PAC and AUH shall include a justification of their
682 conclusions. The recommendations shall be submitted to the dean by **November 15**.
683 After the dean has received both the PAC and AUH recommendations, a copy of the PAC
684 recommendation shall be provided to the AUH, a copy of the AUH recommendation shall
685 be provided to the PAC, and copies of both recommendations shall be provided to the
686 faculty member.
- 687 8. The dean may consult with the PAC and shall make a recommendation after reviewing
688 the recommendations of the AUH and the PAC (See [Faculty Handbook, Section](#)
689 [III.E.6.b.\(6\) and III.E.7.f.\(6\)](#)). The written recommendation of the dean shall include a
690 justification of his or her conclusions. The recommendations of the AUH, PAC and dean
691 shall be submitted to the appropriate vice provost and the provost by **December 15**.
692 The appropriate vice provost will make recommendations to the provost by **December**
693 **18**. After the recommendations have been received by the provost, a copy of the dean's
694 recommendation shall be provided to the AUH, PAC and faculty member.
- 695 9. Recommendations on tenure from the AUH, PAC, dean and appropriate vice provost
696 shall be reviewed by the provost, who shall either deny tenure or make a
697 recommendation to award tenure. A decision by the provost to deny tenure terminates
698 the consideration process; denial does not require action by the president or the BOV.
699 In the absence of a timely written appeal, the decision by the provost to deny tenure
700 becomes final and effective on the date of the notification.
- 701 10. Official written notification of denial shall be sent to the faculty member by **February 1**,
702 with concurrent copies to the appropriate vice provost, dean, AUH and PAC. If the
703 provost recommends awarding tenure, the recommendation shall be sent to the
704 president by **February 1**, with concurrent copies to the appropriate vice provost, dean,

- 705 AUH, PAC and faculty member. The provost's notification of denial or recommendation
706 to award tenure shall include a justification.
- 707 11. If the provost recommends awarding tenure, the president shall review the
708 recommendation and either deny tenure or make a recommendation to award tenure. A
709 decision by the president to deny tenure terminates the consideration process; denial
710 does not require action by the BOV. The decision of the president or the BOV to deny
711 tenure is not appealable. Official written notification of denial shall be sent by the
712 president to the faculty member by **February 15**, with concurrent copies to the
713 provost, appropriate vice provost, dean, AUH and PAC. If the president recommends
714 awarding tenure, the recommendation shall be sent to the BOV. The BOV shall act on the
715 recommendation, and notification of its decision shall be sent to the faculty member
716 within fifteen days after the BOV's meeting.
- 717 12. Official notification awarding tenure may be conveyed to a faculty member only after
718 the formal action of the BOV. The award of tenure becomes effective at the beginning of
719 the following academic year.
- 720 13. To appeal a tenure denial by the provost, the faculty member shall submit a written
721 notice of appeal to the Faculty Appeals Committee by **March 1** setting forth the grounds
722 for the appeal and a summary of the arguments and documentation he or she intends to
723 present at a hearing. Upon receipt of an appeal, the chair of the Faculty Appeals
724 Committee shall promptly send an acknowledgement of the receipt of the appeal to the
725 faculty member and shall notify the president, the provost, appropriate vice provost,
726 dean and AUH. If an appeal is filed, the provost shall appoint a person to serve as the
727 respondent representing the administration in the appeal process.
- 728 14. The Faculty Appeals Committee shall determine if a hearing is warranted. (See [Faculty](#)
729 [Handbook, Section III.L.2.b.](#)) Grounds for appealing a denial of tenure are limited to
730 failure of the university to follow its procedures or unreasonable or improper bases for
731 denial of tenure.
- 732 a. If the Faculty Appeals Committee determines that a hearing should be granted,
733 the procedures in [Faculty Handbook, Section III.L.2.c.](#) shall apply. In the hearing,
734 the faculty member shall have the responsibility to establish that the procedures
735 were not followed, or that the university used unreasonable or improper bases
736 for the denial of tenure.
- 737 b. If the Faculty Appeals Committee determines that a hearing shall not be granted,
738 the faculty member, respondent, speaker, provost and president shall be notified
739 that the appeal has been denied. If the appeal is denied by the Faculty Appeals
740 Committee, the decision of the provost on the denial of tenure becomes final and
741 effective on the date of the denial of appeal.
- 742 15. Faculty members on tenure track who are denied tenure at any point during the
743 probationary period shall remain employed for the duration of the probationary period,
744 but they may not apply for tenure again in the AU. Notice of denial of tenure shall serve
745 as notice of non-reappointment at the end of the probationary period and shall be given
746 not later than May 1 of the penultimate year of the probationary period. At the end of
747 the probationary period the faculty member will be separated from employment from
748 the university.

749 16. All persons involved in the tenure process shall respect and maintain the strict
750 confidentiality of all relevant documents and deliberations.

751 **5. Post-Tenure Review**

752 The granting of tenure anticipates that a faculty member will retain his or her academic
753 position, absent unusual circumstances. Post-tenure review should be used to encourage
754 faculty development and productivity if a tenured faculty member fails to maintain a
755 satisfactory level of performance.

756 **5.1 Development Plan**

757 If a tenured faculty member's overall annual performance is found to be unsatisfactory in the
758 FAR process (See [Faculty Handbook, Section III.E.4.](#)), a development plan shall be designed and
759 executed as specified in [Faculty Handbook, Section III.E.4.k.](#)

760 **5.2 Remediation Recommendation**

761 If a tenured faculty member's overall annual performance has been found to be unsatisfactory
762 in two of the three most recent FARs, the AUH shall recommend that the faculty member
763 undergo remediation. Notification shall be sent by the AUH to the faculty member by
764 **November 1**, with a copy sent to the PAC and the dean.

765 **5.3 PAC's Review of Remediation Recommendation**

766 The PAC shall review the tenured faculty member's FARs and make an independent appraisal
767 of whether the faculty member's performance over the last three years has been satisfactory or
768 unsatisfactory overall. The PAC shall submit its written evaluation to the dean by **November**
769 **30**, with copies to the AUH and faculty member concurrently. The evaluation shall include a
770 justification of the PAC's conclusions, using the academic unit's criteria. A conclusion that
771 performance has been unsatisfactory must be supported by substantial evidence.

772 **5.4 Dean's Review of Remediation Recommendation**

773 The dean shall review the tenured faculty member's FARs and the PAC's evaluation of the
774 faculty member's overall performance. The dean shall provide a separate written evaluation.
775 The evaluation shall conclude whether the faculty member's overall performance has been
776 satisfactory or unsatisfactory over the last three years. The evaluation shall include a
777 justification of the dean's conclusions using the academic unit's criteria. A conclusion that
778 performance has been unsatisfactory must be supported by substantial evidence.

779 **5.5 Remediation**

780 A plan of remediation will be required if the dean concludes that the overall performance of the
781 tenured faculty member has been unsatisfactory. The dean shall send notification of whether or
782 not remediation will be required to the faculty member by **December 15**, with concurrent
783 copies to the AUH and PAC.

784 **5.6 Appeal of Remediation Decision**

785 A tenured faculty member may appeal a decision to require remediation to the appropriate vice
786 provost or the provost. The appeal shall be in writing and must be submitted within seven days
787 of receiving notification from the dean that a remediation plan is required. The appropriate
788 vice provost or the provost shall send to the faculty member a written response to the appeal
789 by **February 1**, with concurrent copies to the AUH, PAC and the dean, and shall include a
790 justification of his or her conclusions. A conclusion that performance has been unsatisfactory
791 must be supported by substantial evidence.

792 **5.7 Remediation Plan**

793 The AUH, in consultation with the PAC and the tenured faculty member, shall devise a
794 remediation plan that respects academic freedom and professional self-direction.

795 The plan shall include specification of activities to be performed, the desired objectives
796 covering all aspects of the faculty member's performance and the requirements for a plan
797 report to be submitted by the faculty member at the conclusion of the remediation period. It
798 should be flexible enough to allow for subsequent alteration. Development of the plan shall
799 proceed during consideration of any appeal of the need for a plan. (See [Faculty Handbook](#),
800 [Section III.E.8.f.](#)) A copy of the plan shall be sent to the faculty member by **February 1**, with a
801 concurrent copy to the dean.

802 **5.8 Appeal of Plan Contents**

803 A tenured faculty member may appeal the contents of the remediation plan to the appropriate
804 vice provost or the provost. The appeal shall be in writing and must be submitted within seven
805 days of receiving the plan. The appropriate vice provost or provost shall send to the faculty
806 member a written response to the appeal by **March 1**, with concurrent copies to the AUH and
807 the dean.

808 **5.9 Report of Faculty Member**

809 The tenured faculty member will have the remainder of the academic year in which the plan
810 was developed plus the next full academic year to accomplish the objectives of the plan. By

811 **October 1** following the next full academic year, the faculty member shall submit the
812 remediation plan report to the AUH and the PAC.

813 **5.10 Academic Unit's Review of Plan Completion**

814 The AUH and the PAC shall prepare separate written evaluations of the tenured faculty
815 member's accomplishment of the objectives of the plan. The evaluations shall include a
816 justification of their conclusions and shall be submitted to the dean by **November 15**. After the
817 evaluations have been received by the dean, copies shall be provided to the faculty member.

818 **5.11 Dean's Review of Plan Completion**

819 The dean shall review the evaluations of the AUH and PAC and prepare an independent
820 evaluation. The dean's evaluation shall include a justification of its conclusions. The evaluations
821 of the AUH, PAC and dean shall be submitted to the appropriate vice provost or the provost by
822 **December 15**. After the evaluations have been received by the appropriate vice provost or the
823 provost, a copy of the dean's evaluation shall be provided to the AUH, PAC and faculty member.

824 **5.12 Vice Provost's or Provost's Determination**

825 The appropriate vice provost or the provost shall review the evaluations of the AUH, PAC and
826 dean and shall determine whether the faculty member has satisfactorily accomplished the
827 objectives of the remediation plan. If the appropriate vice provost and the provost conclude
828 that the faculty member has satisfactorily completed the objectives of the plan, the remediation
829 phase of the post-tenure review process will be closed, although faculty development activities
830 may continue as recommended by the AUH or dean. If the appropriate vice provost determines
831 that the faculty member has not satisfactorily accomplished the objectives of the plan and that
832 sanctions are appropriate, a recommendation on this issue shall be sent by the vice provost to
833 the provost. If the provost determines that the faculty member has not satisfactorily
834 accomplished the objectives of the plan and that sanctions are appropriate, the provost shall
835 confer with the PAC before deciding on the appropriate sanction.

836 **5.13 Sanctions**

837 Sanctions may include but are not limited to reduction in salary or dismissal.

838 **5.14 Notice of Sanctions**

839 Written notice of the provost's determination and sanctions shall be sent to the faculty member
840 by **February 1**, with copies to the AUH, PAC, dean and appropriate vice provost. The
841 notification shall include a rationale for the provost's determination and any sanction. If the
842 sanction is dismissal, it shall include the effective date of dismissal. In the absence of a timely

843 written appeal by the faculty member, the decision of the provost is final, and the sanction is
844 effective on the date specified by the provost.

845 **5.15 Appeal of Sanctions**

846 All appeals shall be in writing. A tenured faculty member has 30 days from the receipt of a
847 written notice of sanctions to submit a written appeal to the Faculty Appeals Committee. The
848 written appeal shall set forth the grounds for the appeal and summary of the arguments and
849 documentation the faculty member intends to present at a hearing. Upon receipt of an appeal,
850 the chair of the Faculty Appeals Committee shall promptly send an acknowledgement of the
851 receipt of the appeal to the faculty member and shall notify the president, the provost, the
852 appropriate vice provost, the dean and AUH. If an appeal is filed, the provost shall appoint the
853 AUH or an administrative designee to serve as the respondent, representing the administration
854 in the appeal process.

855 **5.16 Faculty Appeals Committee**

856 The Faculty Appeals Committee shall determine if a hearing is warranted. (See [Faculty](#)
857 [Handbook, Section III.L.2.b.](#)) Grounds for appealing a sanction following a post-tenure review
858 are limited to failure of the university to follow its procedures, lack of a legitimate basis for the
859 sanction to be imposed, or the imposition of an unreasonable sanction.

- 860 • If the Faculty Appeals Committee determines that a hearing should be granted, the
861 procedures in [Faculty Handbook, Section III.L.2.c.](#) shall apply. In the hearing, the
862 respondent shall have the responsibility to establish that the procedures were followed,
863 that there were legitimate bases for the sanction to be imposed and that the sanction is
864 reasonable.
- 865 • If the Faculty Appeals Committee determines that a hearing shall not be granted, the
866 faculty member, respondent, speaker, provost, and president shall be notified that the
867 appeal has been denied. If the appeal is denied by the Faculty Appeals Committee, the
868 decision of the provost becomes final, effective on the date of the notice of denial by the
869 Faculty Appeals Committee.

870 **5.17 Confidentiality**

871 All persons involved in the post-tenure review process shall respect and maintain the strict
872 confidentiality of all relevant documents and deliberations.