Agenda

3:00 Call to Order .............................................................................. Doug Jackson-Smith
   Approval of Minutes February 17, 2015

3:05 Announcements ........................................................................ Doug Jackson-Smith
   • Senate elections

3:10 Information Items
   1. Faculty Forum code change timing ........................................... Doug Jackson-Smith
   2. Mutual Agreement code change timing ...................................... Doug Jackson-Smith

3:15 Reports
   1. PRPC Annual Report ................................................................. Stephen Bialkowski
   2. EPC Items for March ................................................................. Jane Anderson
   3. FDDE Annual Report ................................................................. Britt Fagerheim

3:40 Unfinished Business
   1. 405.2.2 (etc.) Code Change: Teaching Role Description for P&T
      (Second Reading) ...................................................................... Stephen Bialkowski

3:45 New Business
   1. 405.12.2 1-3 Code changes ....................................................... Stephen Bialkowski
   2. 405.6.5 Code changes ............................................................... Stephen Bialkowski

4:30 Adjournment
Doug Jackson-Smith called the meeting to order at 3:00 p.m.

**Approval of Minutes**

There were no corrections to the minutes of January 20, 2015. The minutes were adopted.

**Announcements**

*Spring senate election planning – Doug Jackson-Smith.* Senators are encouraged to consider nominations for the next FS President elect and other committee positions.

**University Business - President Albrecht and Provost Cockett.**

President Albrecht is in Salt Lake as the Legislature is in session. The tax revenue projections are expected later this week, and then the funding bills will be discussed. Currently the topic of discussion in the legislature is moving to a performance base for ongoing legislative funding. The USHE Presidents developed a plan and presented it to the legislature, but the legislature decided to move in a different direction. The legislature is proposing that each institution receive ongoing money if they meet increases in students that pass milestones, i.e. the number of students that pass 30 credits, 60 credits for bachelors, masters & doctorates, and for USU and the University of Utah, the number of research dollars per tenured faculty FTE. The bottom line is that they are moving to a growth model for funding.

USU is decreasing the tuition and fees for summer semester beginning Summer 2015. It is particularly advantageous for students who take one or two classes as they could reduce their tuition by about 1/3. There will also be a new funding model for classes offered in the summer. A new Banner registration system is also being implemented to improve the registration process.

A question was asked about whether or not student photos would be linked to their registration in the new Banner system. Noelle answered that the photos taken in the Card Office are on a Blackboard format and cannot cross over into the Banner system.

The Teacher of the Year, Faculty Advisor of the Year, and Service nominations have come in from the colleges and are moving forward to the Faculty Evaluation Committee.

A question was asked about the full page gun add that appeared in the student paper in December. The Provost answered that the President took the issue to James Morales.

A question was asked about advertising programs on campus to staff and faculty through the bulk mail system and if the decisions approving messages are arbitrary. The Provost said that the number of emails that people want to distribute is overwhelming. There are two offices that approve bulk email distribution. Dave Cowley approves emails to all staff and the Provost approves emails to all faculty.

**Information Items**

*405.2.2 (etc) Code Change: Teaching Role Description for P&T (First Reading) – Stephen Bialkowski*

PRPC reviewed the proposal that was brought forward by Chris Miller in the Honors Program.

Yanghee Kim moved to place the item on the agenda as New Business for a first reading, a second was received and the motion passed unanimously.
Update on PTR code change drafting process – Doug Jackson-Smith. The PRPC subcommittee has a draft developed for the PTR code changes. The rest of the PRPC committee still needs to review and discuss this draft. Following PRPC reviewing the draft, Doug asked that it be shared with FSEC, BFW, AFT and FEC for feedback and revision. He would like to see a revised proposal at the next FSEC meeting.

A motion to place this update on the agenda as an information item was made by Jake Gunther and seconded by Jeannette Norton. The motion passed unanimously.

Request Senate to ask PRPC to move Faculty Forum dates – Doug Jackson-Smith. Doug brought forward the idea of moving the faculty forum to a non-senate day in November so that senate business is not interrupted. Doug requested that at the next senate meeting we ask the senate to ask PRPC to revise the code to allow for a different day and time.

A motion to put the issue on the agenda as new business was made by Robert Schmidt and seconded by Jake Gunther. The motion passed unanimously.

Request Senate to ask PRPC to replace “in consultation with” throughout code – Ronda Callister. Ronda was unable to attend so the information was presented by Doug Jackson-Smith. Ronda’s suggestion is to replace the phrase “in consultation with” with the phrase “by mutual agreement with” as it applies to the formation of the P&T committees.

Yanghee Kim moved to place this on the agenda as a new business item. The motion was seconded by Dan Murphy and passed unanimously.

New Business

EPC Items - Larry Smith. Larry was unable to attend and the report was presented by Ed Reeve, Chair of the Academic Standards subcommittee of the EPC. A request from the School of Applied Science & Technology Education to offer a Bachelor of Science degree in Outdoor Product Design and Development was approved. The EPC also approved a change for when final submission of course grades are due.

A motion to place the EPC monthly report on the agenda as a report was made by Michael Pace and seconded by Yanghee Kim. The motion passed unanimously.

AFT Annual Report – John Stevens. In response to a request from standing committee chairs AFT has included in the report a table that summarized the grievances that have hit different stages through the past several years. There have been no formally filed grievances yet this year, but consultations have occurred.

A motion to place the report on the report agenda was made by Robert Schmidt and seconded by Jake Gunther. The motion passed unanimously.

BFW Annual Report – Alan Stephens. Alan explained that the purpose of BFW committee is to protect faculty rights. They have postponed their annual meeting with the President until after the legislative session so they might weigh in on those issues that impact faculty. They worked on the committee that has evaluated the university’s health insurance coverage and they have also worked well with Mark McClellan and Larry Smith on other issues of importance. They work very closely with PRPC as well.

A motion to place the report on the report agenda was made by Mark McClellan and seconded by Yanghee Kim. The motion passed unanimously.

Unfinished Business

AFT code change proposals from PRPC (Second reading) – Stephen Bialkowski.

Other 405 section code change proposals from PRPC (Second reading) – Stephen Bialkowski

Robert Schmidt moved to place both items on the agenda as Unfinished Business for a second reading. Yanghee Kim seconded the motion and it passed unanimously.

Adjournment

The meeting adjourned at 4:18 p.m.
Professional Responsibilities and Procedures Committee (PRPC) Report

April 2015

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

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

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

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

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

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

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

Committee action was performed through email discussions and voting. PRPC held one meeting in February to finalize draft post tenure review code changes.
Report from the Educational Policies Committee  
March 11, 2015

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

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

1. Approval of the report from the Curriculum Subcommittee meeting of March 5, 2015 which included the following notable actions:

   • The Curriculum Subcommittee approved 64 requests for course actions.

   • A request from the Department of Psychology to offer an interdisciplinary doctoral program in Neuroscience was approved.

   • A request from the Department of Sociology, Social Work and Anthropology to discontinue of the Master of Arts degree in Sociology was approved.

2. Approval of the report from Academics Standards Subcommittee meeting of January 12, 2015. Action items from that meeting included the following:

   • A proposal for revision to the Undergraduate Degree Enrichment policy was approved. Currently, if a student graduates with a bachelor's degree but wants to take additional classes they are considered a non-matriculated graduate student. The proposal would allow students to remain classified as undergraduate students for up to 9 additional credits.

3. Approval of the report from the General Education Subcommittee meeting of February 17, 2015. Actions include:

   • The following General Education courses and syllabi were approved: HIST 3230 (DHA)

   • A motion to amend the current Communications Intensive (CI) criteria statement, “2. Require both written and oral communication” to read “2. Require written and/or oral communication,” and to adopt new language as follows:

   “Oral Communication: Each applicant for the CI designation stressing oral communication should explain how the course in question gives students practice, feedback, and/or instruction in oral communication relevant and useful to the specific discipline. The following are some ways oral communication has been incorporated into courses, but this is not a complete list. The Communication Committee welcomes the use of discipline appropriate ways of meeting the CI goals.”
Students may communicate orally in a wide variety of formats. Some examples include the following:

1. Make a formal presentation to a class or subgroup of a class, an outside audience, or the instructor.
2. Make a formal presentation using video format or other presentation software.
3. Perform in a dramatic presentation or other oral reading.
4. Participate in structured in-class debates with assigned roles.
5. Lead structured discussions by doing such things as introducing the reading, synthesizing class materials and audience responses, summarizing at the end of class, or reading and paraphrasing important but not required articles.
6. Have the class join or create a mock-conference with poster or PowerPoint presentations.
7. Create podcasts or YouTube videos."
Faculty Diversity, Development and Equity Committee Annual Report
March 2015

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

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

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

I. Summary of Committee Work:

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

We also obtained permission to change the due date of the report to Faculty Senate from April to February. Previously, there was not enough time to compile the data using the current year’s data before the report deadline. Using the previous year’s data, the committee will in the future present the report to Faculty Senate at the February meeting.
Welcome Plus
FDDE discussed the Welcome Plus program and thought it was a positive initiative that we should pursue. Welcome Plus is an informal, candid conversation that candidates can have with faculty outside the hiring committee to answer questions about life in Logan. Welcome Plus is based on the SERT program of the ADVANCE grant.
- Notes in the 2012-13 FDDE report indicate this issue was brought up and approved by Faculty Senate in 2011.
- Because of other priorities, we will wait to begin working on a proposal until the 2015-16 academic year.

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

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

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

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

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

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

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

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

For each college for gender, there is a chart for:
- Percentage Female Faculty showing Availability versus Tenure-Track and Non-Tenure Track
- Percentage Female Faculty showing Availability versus Rank.

For each college for diversity, there is a chart for:
- Percentage Non-White Faculty showing Availability versus Tenure-Track and Non-Tenure Track.

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

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

**Gender statistics overall:** When the percentage of women faculty is high in non-tenure track and low in tenured/tenure track positions, this indicated a problem in their college in that women are primarily able to obtain positions in the college in non-tenure track positions.
College of Agriculture & Applied Sciences
Chart 1: Overall percentages look very good with faculty percentages essentially matching availability.
Chart 2: Assistant and Associate Professor percentages of women show a very close match with availability. Full Professor percentages lag but will probably catch up over the next few years if hiring and retention remain strong.
Caine College of the Arts
Chart 1: Tenured and Tenure-track faculty are less than half of availability indicating a serious problem in the hiring or retention process.
Chart 2: Hiring and retention of women faculty is on a serious downward trend especially among Assistant Professors.
**Jon M. Huntsman School of Business**

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

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

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

Chart 2: Assistant Professors are at levels slightly above availability, suggesting that if retention is good the ranks of Associate and Full Professor will fill in over time.
College of Engineering:
Chart 1: Women in tenure track positions are coming very close to availability, while women in non-tenure track positions are above availability, and well above the ranks of tenure-track. Chart 2: Percentages of women in Associate Professor positions have been growing steadily, which is positive provided women begin to move into the rank of Full.
College of Humanities and Social Sciences
Chart 1: Non-tenure track female faculty are above availability, while tenure track percentages are below availability and do not appear to be increasing.
Chart 2: Assistant and Associate professor percentages are slightly below availability and on a very slight downward trend. Retention of Associate female faculty will be necessary to raise the number of Full female professors.
Quinney College of Natural Resources:
Chart 1: Non tenure-track female faculty appear over-represented although the actual number of non-tenure track women are very low.
Chart 2: Assistant professor percentages of women are above availability with Associate slightly below. Full professor percentages lag but will likely catch up over the next few years if hiring and retention remain strong.
College of Science
Chart 1: Women non-tenure track percentages are above availability, while women tenure track faculty are significantly below availability, indicating women have more trouble gaining tenure track positions than non-tenure track.
Chart 2: Assistant faculty near availability for women, with Associate slightly below availability and women Full professors significantly below availability.
**Extension**

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

**Libraries**

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

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

Chart 2: Graph shows high percentage for women Full professors, although actual numbers are very low, for both men and women.
B) Percentage Non-White Faculty, Availability versus Tenure-Track and Non-Tenure Track

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

College of Agriculture & Applied Sciences
Percentage of non-white tenure-track faculty above availability, indicating positive trends. Retention needs to remain strong to bring up numbers within tenured ranks.
Caine College of the Arts
Percentage of non-white tenure-track faculty have dropped over the past few years, indicating problems with hiring or retention. Tenured faculty have dropped slightly, indicating retention issues.

Jon M. Huntsman School of Business
Percentage non-white faculty significantly below availability, indicating issues in the hiring process.
Emma Eccles Jones College of Education and Human Services
Percentage of tenure-track and tenured faculty are significantly below availability, although percentages for tenure-track are slightly higher than others. Hiring and retention need to remain strong.

![Graph: Emma Eccles Jones College of Ed & Hum Svs](image)

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

![Graph: College of Engineering](image)
College of Humanities and Social Sciences
Upward trend for tenured faculty and overall faculty percentages indicate positive retention, although trends with tenure track, and therefore hiring, show downward trend over the past few years.

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

Percentages of non-white tenure-track faculty are slightly below availability, with tenured faculty showing a very slight upward trend.

![College of Science Graph](image)

**Extension**

No tenured ranks are showing for the last 5 years. Percentages of non-white tenure-track faculty are clearly below availability, indicating problems with hiring although there is an upward trend for 2014. Tenured faculty percentages do not show upward trends, a reflection of hiring problems.

![Extension Graph](image)
**Regional Campuses**

No availability data is present, although considering availability for the rest of the Colleges it can be inferred that values are below availability and percentages for all ranks have not changed since 2010. This suggests problems with hiring although an improvement is shown for 2014.

![Graph showing Regional Campuses](image)

**Libraries**

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

![Graph showing Libraries](image)
2.2 Criteria for the Award of Tenure and for Promotion from Assistant to Associate Professor

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

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

(1) Teaching.

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

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

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

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

(1) Teaching.

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

405.10 TERM APPOINTMENTS AND PROMOTION: CRITERIA

10.1 Criteria for Promotion to the Penultimate Ranks:

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

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

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

(1) Teaching.

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

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

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

PROPOSED CODE (text that is added is underlined)

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

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

12.1 Annual Review of Faculty

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

PROPOSED CODE

12.1 Annual Review of Faculty

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

Comment [DJS1]: This change already approved by faculty senate on March 2, 2015.
12.2 Quinquennial Review of Tenured Faculty

Tenured faculty shall be reviewed every five years by a post-tenure quinquennial review committee consisting of at least three tenured faculty members who hold rank equal to or greater than the faculty member being reviewed. The committee shall be appointed by the department head or supervisor in consultation with the faculty member and academic dean or vice president for extension, and, where applicable, the chancellor or regional campus dean, and must include at least one member from outside the academic unit. If there are fewer than two faculty members in the academic unit with equal to or higher rank than the candidate, then the department head or supervisor shall, in consultation with the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean, complete the membership of the committee with faculty of related academic units. Department heads and supervisors of the faculty member being reviewed shall not serve on this committee, and no committee member may be a department head or supervisor of any other member of the committee. An administrator may only be appointed to the quinquennial review committee with the approval of the faculty member under consideration. For post-tenure quinquennial review meetings and for meetings held between either the department head or supervisor and the candidate to review the committee's evaluation and recommendation, the candidate or department head or supervisor may request the presence of an ombudsperson in accordance with policy 405.6.5. The basic standard for appraisal shall be whether the faculty member under review discharges conscientiously and with professional competence the duties appropriately associated with his or her position as specified in the role statement. It is the intent of this policy to acknowledge that there will be different expectations in different disciplines and changing expectations at different stages of faculty careers. This evaluation of tenured faculty shall include the review of the annual evaluation (405.12.1), and shall include the current curriculum vita and other professional materials deemed necessary by the faculty member, and any professional development plan in place. The review will be discipline and role specific, as appropriate to evaluate: (1) teaching, through student, collegial, and administrative assessment; (2) the quality of scholarly and creative performance and/or research productivity; and (3) service to the profession, the university, and the community. The criteria for the award of tenure or promotion to the most senior ranks shall not be employed for the review of the tenured faculty. In the event that a faculty member is promoted to the most senior rank, the review made by his or her promotion committee shall constitute the quinquennial review. In such cases, another review need not be scheduled for five years.

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

12.2 Post-Tenure Review of Tenured Faculty

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

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

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

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

To carry out its review, the PRC shall be provided with a copy of the documentation used by the department to evaluate the five-year performance of the faculty member in question. This documentation shall at a minimum contain: the department head or supervisor’s negative annual evaluation letter of the faculty member (405.12.1) and the warning letter that led to the forming of
the PRC; the previous five annual written evaluations; the faculty member’s current role statement and curriculum vitae; other professional materials deemed necessary by the faculty member; and any professional development plan in place. The PRC may also receive a written statement from the department head or supervisor citing the reasons for determining that the faculty member is not meeting the post-tenure review standard, as well as a written statement from the faculty member under post-tenure review, outlining his or her response to the department head or supervisor’s negative post-tenure evaluation. For any meeting held between the faculty member, the department head or supervisor, and/or the PRC, an ombudsperson may be requested by the faculty member, the department head or supervisor, and/or the PRC in accordance with policy 405.6.5.

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

If a PRC is formed at the request of a faculty member, and not because of a formal negative departmental evaluation, it shall be formed according to procedures outlined above.
12.3. Professional Development Plan

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

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

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

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

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

(3) The faculty member shall meet with the department head or supervisor, at times indicated as appropriate in the professional development plan, to monitor progress toward accomplishment of the goals or outcomes included in the plan. The department head or supervisor shall, at the conclusion of the professional development plan, evaluate the fulfillment of the goals or outcomes described in the plan, in terms of the criteria established by the plan. The department head or supervisor shall meet with the faculty member to review this analysis and subsequently, the department head or supervisor shall provide a written report of this review to the faculty member. A copy of this written report shall also be forwarded to the PRC members, the academic dean or vice president for extension and, where appropriate, the chancellor or regional campus dean. For meetings held between either the department head or supervisor and faculty member to discuss the report, the faculty member or department head or supervisor may request the presence of an ombudsperson in accordance with policy 405.6.5. At the request of the faculty member, department head, or supervisor, this report may be reviewed by the PRC, who shall conduct an in-depth evaluation as described in 405.12.2, including an analysis of the fulfillment of the goals or outcomes, or any other features included in the professional development plan. Upon completion of its review, the PRC shall submit a written report of its findings to the faculty member, to the chancellor or campus dean, and to the academic dean or vice president for extension.
SYNTHESIS OF FEEDBACK ON PRPC PTR CODE DRAFT
FROM FACULTY SENATE COMMITTEES
& PTR WORKGROUP

March 9, 2015

By request of the FS president, the PTR Working Group and three FS committees (AFT, BFW, and FEC) were asked to provide quick feedback on three issues:

1. Whether draft is consistent with the instructions sent by FS to the PRPC
2. The 3 questions related to sections where PRPC wanted direction
   o The role of ombudspersons
   o Dropping details about teaching, service, and research as content for review
   o What documents/materials to provide the peer review committee
3. Any other concerns that relate to the areas where your committee has oversight responsibilities

AFT RESPONSE:

- Consistent with FS instructions? -- Not the AFT’s job to decide
- Ombudspersons?
  o The proposed code changes do not actually require there to be any PRC meetings; it implicitly could allow purely email correspondence among PRC members. From the perspective of protecting and documenting the process, AFT insists that the code should require the following:
    - a meeting of the PRC,
    - the presence of an ombudsperson (with a checklist and training from the Provost’s office [405.6.5]) at that meeting, and
    - allowance for the faculty member to be present for at least part of that meeting.
- Drop sentence on (1) teaching, (2) research….
  o AFT agrees that this sentence could be safely dropped (as it has been in the proposed code changes) without threatening the process, as language in the same code section refers to the role statement, where such roles (teaching, research, and service) would be specified as appropriate.
- What documents should be provided (405.12.2 – 5th paragraph
  o AFT agrees that the list of documents listed in the fifth paragraph of 405.12.2 (proposed version) should be sufficient for the purposes of the PRC. The presence of an ombudsperson (with appropriate checklist; see a.ii above) could ensure this important element of the process.
  o At the same time, from a procedural perspective AFT raises the concern that the wording of the first sentence of that paragraph suggests that those same documents are the only ones to be considered in the annual department-level review. (Inconsistency here could lead to grievances.) A possible point of discussion is whether the exact same set of documents should be considered by both the annual department-level review and PRC review, or whether perhaps the second sentence of the paragraph might instead read “The documentation provided to the PRC shall also at a minimum contain …”
• Other feedback
  o The AFT wants to be clear they are not supporting or disapproving the proposal – and hopes to have time to weigh in on several other issues (such as process timelines, appeals process, and requirements that the ‘negative’ and ‘warning’ aspects of annual reviews be made more explicit in the letter from the department head.
  o “The AFT committee has deep concerns about a central feature of the proposal, which implicitly allows the annual department-level review to be conducted by a department head or supervisor alone (in cases where such is the annual review procedure established by the department). This may be inconsistent with the requirement that the annual review be “consistent with accreditation standards” (Policy 405.12.1, proposed revision), as NWCCU accreditation standard 2.B.6 refers to the “collegial” element of regular faculty reviews. (“Collegial” is defined by dictionary.com as “of or characterized by the collective responsibility shared by each of a group of colleagues, with minimal supervision from above.”) Such an inconsistency in code may give rise to grievances, which relates to AFT jurisdiction. The AFT committee charged its chair John Stevens to contact NWCCU regarding the issue of whether a supervisor-only annual review could be considered “collegial.” AFT chair John Stevens has done so and will report back to AFT and the Faculty Senate President by the end of March on this issue.”

BFW RESPONSE:
  • BFW reviewed the PTR document and the members have made comments on our draft response that will be provided when the chair returns from a work trip.
  • For now, BFW concurs with AFT on the three narrow concerns.
  • As to the larger issue of whether to change the code, the majority of the committee remains opposed to the change for reasons we have noted several times. Our preference is to rehabilitate the existing code.

FEC RESPONSE:
  • Other feedback
    o Some FEC members don’t see need to change system
    o Concerns about potential for DH to bias PTR process more than current system
    o Type: #3 pg 5 – task force (not ‘task for’)
    o Not sure why we use “department”; “It is not the “department” that is at the center of the annual/post-tenure review process, it’s the “department head” (DH). This is an important distinction, because ultimately it’s the DH’s opinion that will drive the process. It’s the DH who makes the determination of whether the faculty member is scored as “effective” vs. “exceeds expectation”, and more importantly is “unsatisfactory”. So, regardless of how the policy might be crafted around this simple fact, any biases that a DH brings into the process for any given faculty member will set the stage for what follows.”
    o “FEC would like to use the word "agreement" instead of "consultation" in the second sentence of section 405.12.2 (Quinquennial Review of Tenured Faculty) as follows: "The [quinquennial review] committee shall be appointed by the department head or supervisor in agreement with the faculty member and academic dean or vice president for extension, . . ." [DOUG J-S’ NOTE: this is a variant on the proposed change to ‘mutual agreement with’]
**PTR WORKGROUP INPUT** (heard from 3 people):

- **Consistency**:
  - Seems good overall,
  - Appeals process is required if mutual agreement on committee cannot be obtained

- **Narrow issues**
  - **Ombudsperson**
    - Like the concept of using an ombudsperson;
    - Need to clarify what types of meetings warrant bringing in the ombudsperson.
    - I think the scope of ombudsperson involvement in the document is too broad. They are tasked with looking after the interests of a candidate and the institution and make sure that process is followed. I'm not sure what process there is to follow for a DH/faculty member meeting. What documentation would be involved? A DH may include things in a PDP not discussed with the faculty member which is annoying but ultimately they have to write it in a way that the faculty member will sign off and that the PRC will agree with. How much do we want to micro-manage these interactions with code? The more we write here the more likely it is to be interpreted in ways we didn't anticipate.
    - I think the appropriate time for an ombudsperson is at these meetings:
      - Candidate meets with PRC as a result of a mandated or a requested review.
      - PRC meets to review a proposed PDP*
      - PRC is requested to and meets to review a final PDP report*
        - *Right now these last two meeting results are advisory only, if we stick with this I'm not sure an ombudsperson is as important.
  - Drop “as appropriate to evaluate (1) teaching…”
    - Seems reasonable since the phrase “the review will be discipline and role specific” remains.

- **Documents to provide…**
  - The ones specified in the draft seem good; no need for greater specificity
  - I like the current list for the most part. I think if you have an open call for the candidate to add professional documentation you need to allow the DH the same but I would probably be a fan of neither having that option. The DH has annual reviews--I would add that the candidate should be able to write responses to those reviews at any time in writing, the DH can write a letter and the candidate can respond.

- **Other feedback or suggestions**
  - The phrase “strengths or weaknesses (if any)” in 12.3.2 might drop the parenthetical clause
  - After the PRC meets and agrees a PDP is necessary the rest of their role is purely advisory which is fine but we should probably state that clearly
1) Add an appeals process if mutual agreement on PRC membership cannot be reached.
   a. RATIONALE:
      i. This was explicitly called for in the memo sent to the PRPC from the faculty senate “An appeals procedure should be outlined to ensure a PRC can be formed if the faculty member and DH cannot agree on a fair and balanced membership for the PRC.”
      ii. Over the last 6 months, this idea has been a widely accepted component of the proposed process in discussions in the faculty senate, and in the deliberations of the PTR working group that drafted the proposal that was eventually approved by the senate.
      iii. This is critical to avoid having the process get bogged down when agreement cannot be reached.
      iv. This is very important to department heads, deans and the Provost to ensure that the post-tenure review process can proceed on a reasonable timetable. In our meeting with the DH Executive committee we agreed to include a “viable, fair and efficient way to resolve disagreements on who would serve on the review committee.”
   b. SUGGESTION: Add new material starting on line 172 (end of fourth paragraph under 406.12.2):
      i. OPTION 1: “If mutual agreement about membership for the PRC cannot be reached, individual department, college, and/or University appeal or hearing procedures should be used to resolve disagreements.”
      ii. OPTION 2 “If mutual agreement about membership for the PRC cannot be reached within 2 weeks, the academic dean or vice president for extension, and, where appropriate, the chancellor or regional campus dean will be asked to form the PRC. They will request the faculty member and department head to each nominate 5 potential members who meet the criteria outlined above. The faculty member and department head each will then be allowed to veto 2 members from the others’ list. A committee will then be appointed that draws at least 2 members from the remaining names on each list, with a fifth member to be determined by the appropriate deans, VP, or chancellor.”
      iii. OPTION 3 “If mutual agreement about membership for the PRC cannot be reached within 2 weeks, the college faculty appeals committee (CFAC) will be asked to form the PRC. They will request the faculty member and department head to each nominate 5 potential members who meet the criteria outlined above. The faculty member and department head each will then be allowed to veto 2 members from the others’ list. A committee will then be appointed that draws at least 2 members from the remaining names on each list, with a fifth member to be determined by the CFAC.
         1. Requires us to set up a College Faculty Appeals Committee (CFAC) elsewhere in code. I would suggest having each department elect one full professor to serve on the CFAC for their college on staggered 3 year terms. The CFAC’s job will be to resolve disagreements about membership of PRCs (and potentially PDP and/or T&P committees).
2) Clarify that the PRC should meet
   a. RATIONALE:
      i. AFT feedback points out that the proposed change does not make it clear that the PRC has to actually meet. From the perspective of protecting and documenting the process, AFT insists that the code should require the following:
         1. a meeting of the PRC,
         2. the presence of an ombudsperson (with a checklist and training from the Provost's office [405.6.5]) at that meeting, and
         3. allowance for the faculty member to be present for at least part of that meeting.
   b. SUGGESTION:
      i. Add a new sentence on line 185 (before ‘For any meeting…’) stating a timeframe within which the materials should be given to the PRC
         1. Possible text: “These materials should be provided to the PRC within 3 weeks of the appointment of the committee.”
      ii. Start a new paragraph at line 185 (before ‘For any meeting…’)
         1. Possible text: “Within 4 weeks after receiving these materials, the PRC shall schedule a meeting to discuss their evaluation of the faculty member’s post-tenure performance. At this meeting, the faculty member and department head should be allowed to make oral presentations to the committee.”
         2. This sentence should be followed by some version of the ombudsperson text referenced below.

3) Clarify the circumstances under which an ombudsperson may be requested (lines 185-187)
   a. RATIONALE:
      i. We definitely want an ombudsperson to be present if a formal meeting with consequences is held between the PRC, the DH, and the faculty member.
      ii. Faculty senate asked for clarification about the types of formal PTR meetings where an ombudsperson could be requested by the faculty member and DH.
      iii. We don’t want to overload the ombudsperson system.
   b. SUGGESTION:
      i. Add a word early on and a new clause in the middle of the sentence (in caps):
         “For any meeting held between the faculty member, the department head or supervisor, and/or the PRC FOR THE PURPOSES OF FORMAL POST-TENURE PERFORMANCE REVIEW, an ombudsperson may be requested by the faculty member, the department head or supervisor, and/or the PRC in accordance with policy 405.6.5.”
4) Clarify that the list of materials that will be provided to PRC is ‘the minimum’ not the only things that could be requested
   a. RATIONALE:
      i. AFT feedback points out that the proposed change could be interpreted as limiting the materials that could be given (and there could be confusion about whether the exact same documents used in the departmental review should be considered by the PRC.
      ii. They also point out that the ombudsperson could be given a checklist to ensure a full set of documents were given to the PRC.
   b. SUGGESTION:
      i. At beginning of second sentence on line 176, revise the start with “The documentation provided to the PRC shall at a minimum contain: the department head or supervisor’s negative annual evaluation letter…”

5) Clarify timing and content of warning letter (lines 146-156)
   a. RATIONALE:
      i. We need some mechanisms to address seriously underperforming faculty in the 5 years after tenure or promotion. The warning letter provides an important vehicle for departments to signal serious concerns about post-tenure performance before the formal decision is made to request a PRC in year 5.
      ii. In order to request a PRC exactly 5 years after a tenure or promotion decision, it is necessary to allow warning letters to be issued in years 1-4. Whether this is possible is ambiguous in the current wording.
   b. SUGGESTION:
      i. Line 151 - add the word ‘initially’: “indicate this concern with regards to post-tenure performance INITIALLY by providing a formal written warning to the faculty member.”
      ii. Insert new sentence next: “To serve as the formal written warning, this letter should clearly indicate that the department is concerned that, if performance does not improve, the department is likely to request the formation of a Peer Review Committee (PRC) to conduct a review of post-tenure performance as outlined below.”

6) Make a small change in “voluntarily convened PRC” section (lines 158-161)
   a. RATIONALE:
      i. The PRC does not need to make a ‘decision’ if voluntarily convened by the faculty member. It makes more sense to refer to their ‘role’.
      ii. We should specify that the PRC should meet and provide a written report to the faculty member requesting the review.
   b. SUGGESTION:
      i. Line 160 – add new second sentence: “The PRC will meet and review materials related to the 5-year performance of the faculty member.”
      ii. Line 160 – replace ‘decision’ with ‘role’ as in: “The PRC role in this case is only to provide post-tenure performance feedback.”
      iii. Line 161 – continue last sentence by adding a new clause “in writing to the faculty member requesting the review.”
7) Make a small change in PRC membership paragraph (lines 163-172)
   a. RATIONALE:
      i. Since some units have other faculty (e.g., program chairs) participate in the annual review process, we might want to ensure that any other faculty who play a formal role in the departmental annual review process not be allowed to serve on the PRC.
   b. SUGGESTION:
      i. Line 169 – add a clause (in CAPS):
         1. “Department heads and supervisors of the faculty member being reviewed, AS WELL AS ANY OTHER FACULTY MEMBERS FORMALLY INVOLVED IN THE DEPARTMENTAL ANNUAL REVIEW DECISION THAT TRIGGERED THE REVIEW, shall not serve on the PRC…”

8) Clarify what happens when PRC determines the faculty member IS meeting the PTR standard
   a. RATIONALE:
      i. Current draft says ‘no further action shall be required” – yet it would make sense to ask the PRC to provide a written report/letter to the faculty member, department head, and relevant upper administrators.
   b. SUGGESTION:
      i. Line 196, replace “no further action is required.” to “a written summary of the reasons for their decision shall be provided to the faculty member, department head, and appropriate academic dean, vice-president for extension, regional campus dean, or chancellor, and no further action is required.”

9) Replace modified version of current appeals process for PDP content
   a. RATIONALE:
      i. If the PDP content cannot be mutually agreed upon, we need a way forward.
         ii. Not sure why the appeals process was deleted in proposal – though the existing language references a ‘revised role statement’ not a PDP, which is confusing.
   b. SUGGESTION:
      i. OPTION 1: Replace the appeals process with edited version of original code:
         1. At the end of line 262, add: “If agreement cannot be reached, individual department, college, and/or University appeal or hearing procedures should be used to resolve disagreements before transmitting revised role statements to promotion advisory committee and tenure committees. Such appeal and hearing procedures can, upon request, include a review of the professional development plan by the Peer Review Committee described in policy 405.12.2.”
      ii. OPTION 2: Have the PRC resolve the disagreements about the PDP content.
      iii. OPTION 3: Use faculty appeals committee outlined above
Section 405.6.5

6.5 Ombudspersons

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

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

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

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

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