

SOUTHERN CONNECTICUT STATE UNIVERSITY

FACULTY SENATE

PROMOTION AND TENURE PROCEDURES FOR FACULTY

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INTRODUCTION

Four precepts shall guide the implementation of this document:

1. All processes and procedures are designed to reflect the spirit of shared governance.
2. Evaluations shall be based on the measurements of academic and professional quality in order to best serve the university community.
3. Faculty rights of due process shall be safeguarded at each step described below, and
4. Candidates shall have control and remain in control of all content in their files throughout all stages of the process (e.g., no content can be added without written prior notice to the candidate).

PART I: AUTHORIZATION FOR PROCEDURES

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

¹ “Collective Bargaining Agreement,” when used in this document, refers to the Collective Bargaining Agreement between the Connecticut State University American Association of University Professors and the Board of Regents for the Connecticut State Colleges and Universities, August 2016-August 2021

PART II: STANDARDS FOR PROMOTION AND TENURE

A. Eligibility

1. Promotion

To be considered for promotion, a faculty member must meet certain minimum eligibility requirements associated with that rank as listed below. See Article 5.3 in Collective Bargaining Agreement for determination of eligibility. In each case, the degree at issue must be from a college or university regionally accredited at the time of the degree. The member must not be on a final appointment.

a. Assistant Professor, Assistant Librarian, or Assistant Counselor One of the following shall apply.

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

b. Associate Professor, Associate Librarian, or Associate Counselor

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

c. Professor, Librarian, or Counselor

- 1) Earned doctorate or a terminal degree appropriate to the field, plus at least eight (8) years of full-time employment as faculty, counselor

or librarian in a college or university, including at least five (5) years at the rank of Associate Professor,

or

2) Ten (10) years of service at the rank of Associate Professor, Associate Librarian, or Associate Counselor,

or

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

2. Tenure

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

B. Criterion

1. Introduction

- a. The single criterion for evaluating and recommending full-time faculty members shall be the quality of activity, including keeping current in one's field as defined by a process of shared governance. Only the categories outlined shall be used to this end and weighted in the order described in Part IV.C.3. of this document.
- b. Any special conditions in the faculty member's letter of appointment or subsequent extensions or modifications of such appointment as provided in Article 4.7 of the Collective Bargaining Agreement shall be considered in the evaluation process on a case-by-case basis.

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

a. Load Credit or the Equivalent

This category encompasses one or more of the following for which the faculty member receives load credit or the equivalent: teaching, advising

for which load credit is given, chairing a department, directing, conducting research or doing creative activity under research reassigned time, student supervision, or any other function specified in the letter of appointment or subsequent extension of modifications of such appointment (see Article 4.7 of the Collective Bargaining Agreement), identified in a side letter of agreement (see Article 10.4 of the Collective Bargaining Agreement), or as assigned (see Article 10.6 of the Collective Bargaining Agreement).

When load credit does not cover all activities related to the work for which load credit is received, it is appropriate to list those activities in more than one category with an explanation as to the inclusion of the activities in multiple categories.

b. Creative Activity

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

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

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

This category also includes forms of service performed by any candidate who formally/informally mentors students/peers who identify as members of under-represented and protected classes (for example, BIPOC individuals, persons with disabilities, mental health conditions, learning differences, etc.), and/or specific forms of service requested due to the unique characteristics of the faculty member (for example, a specific gender, race, ethnicity, religion, etc.)

d. Professional Attendance and Participation

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

e. Years in Rank (applies only to promotion)

This category reflects years in rank, which includes the current year. In determining seniority, sabbatical leaves are included, but leaves without pay, except for those in pursuit of the member's scholarly discipline, are not included. See Article 13.6 in the Collective Bargaining Agreement.

f. Record of Disciplinary Action

This category encompasses the record of any disciplinary action in the faculty member's personnel file at the time of the evaluation. See Article 4.11.9.6 of the Collective Bargaining Agreement

3. Categories of Evaluation for Counseling Faculty²--These categories are listed in descending order of value.

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

This category encompasses one or more of the following for which the member receives load credit or the equivalent: counseling, chairing a department, directing, doing research, student supervision, or any other function specified in the letter of appointment or subsequent extension of modifications of such appointment (see Article 4.7 of the Collective Bargaining Agreement), identified in a side letter of agreement (see Article 10.4 of the Collective Bargaining Agreement), or as assigned (see Article 10.6 of the Collective Bargaining Agreement).

When load credit does not cover all activities related to the work for which load credit is received, it is appropriate to list those activities in more than one category with an explanation as to the inclusion of the activities in multiple categories.

b. Professional Attendance and Participation

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

² Counseling Faculty should refer to Article 7 of the Collective Bargaining Agreement.

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

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

d. Creative Activity

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

e. Years in Rank (applies only to promotion)

This category reflects years in rank, which includes the current year. In determining seniority, sabbatical leaves are included, but leaves without pay, except for those in pursuit of the member's scholarly discipline, are not included (see Article 8 and Article 13.6 of the Collective Bargaining Agreement).

f. Record of Disciplinary Action

This category encompasses the record of any disciplinary action in the faculty member's personnel file at the time of the evaluation. See Article 4.11.9.6 of the Collective Bargaining Agreement.

4. Categories of Evaluation for Library Faculty³--These categories are listed in descending order of value

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

This category encompasses one or more of the following for which the faculty member receives load credit or the equivalent: library services, chairing a department, directing, doing research, student supervision, or any other function specified in the letter of appointment or subsequent extension of modifications of such appointment (see Article 4.7 of the Collective Bargaining Agreement), identified in a side letter of agreement (see Article 10.4 of the Collective Bargaining Agreement), or as assigned (see Article 10.6 of the Collective Bargaining Agreement).

³ Library Faculty should refer to Article 8 in the Collective Bargaining Agreement.

When load credit does not cover all activities related to the work for which load credit is received, it is appropriate to list those activities in more than one category with an explanation as to the inclusion of the activities in multiple categories.

b. Professional Attendance and Participation

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

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

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

d. Creative Activity

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

e. Years in Rank (applies only to promotion)

This category reflects years in rank, which includes the current year. In determining seniority, sabbatical leaves are included, but leaves without pay, except for those in pursuit of the member's scholarly discipline, are not included (see Article 13.6 of the Collective Bargaining Agreement).

f. Record of Disciplinary Action

This category encompasses the record of any disciplinary action in the faculty member's personnel file at the time of the evaluation. See Article 4.11.9.6 of the Collective Bargaining Agreement.

PART III: STRUCTURE AND PROCEDURES

A. Initiation of Evaluation Process

1. Promotion

- a. Each year the Office of Human Resources shall notify all full-time teaching faculty, counselors or counseling faculty, library faculty, and full-time coaches and non-instructional athletic trainers, Department Chairpersons⁴, and appropriate Deans/Directors in writing that the promotion process has begun.
- b. On the basis of the department personnel data sheet supplied by the Office of Human Resources by the date specified in the Calendar for Promotion and Tenure and reviewed by the Department Evaluation Committee (DEC), in consultation with each faculty member in the department, the DEC shall inform any full-time faculty members of their department who meet the standards specified for promotion (See Part II.A.1). If discrepancies arise regarding eligibility status, the faculty member shall consult with the Office of Human Resources, which shall then make appropriate changes in the faculty member's personnel file and forward the corrected information to the DEC. Faculty members on final appointment shall not be eligible for promotion.
- c. Those faculty members who meet the eligibility requirements for promotion to a given rank but are not promoted maintain their eligibility and must apply for subsequent consideration for promotion.
- d. Faculty members who believe they are eligible for promotion as described in Part II.A.1 above, and who wish to apply, shall make written application with supporting evidence to the DEC Chairperson. The faculty members shall also inform the Department Chairperson in writing of their desire to be considered for promotion. In addition, a determination of eligibility for a faculty member shall be initiated by the DEC.
- e. A faculty member may withdraw after the commencement of the promotion process and at any time during the promotion process by providing written notice to the Department Chairperson, DEC Chairperson, the Dean/Director, the Chairperson of Promotion and Tenure Committee, and the Office of Human Resources and shall thereby waive all claims for promotion for that academic year. When submitting written notice of withdrawal to the Office of Human Resources, the candidate should request the Office of Human Resources remove from the candidate's personnel file all evaluation reports and any materials generated during the current evaluation period.
- f. The DEC Chairperson shall inform each faculty member eligible to be evaluated, in writing of the fact and purpose of the evaluation and of the opportunity to submit materials and appear before the DEC. A list of these faculty members eligible to be evaluated and

⁴ Library Spokesperson shall serve as the Department Chairperson for library faculty. The Counseling Director shall serve as Chairperson for Counseling Faculty and shall receive access to the file at the same date as the Dean/Director.

those members expressing intent to apply for promotion shall be forwarded by the DEC Chairperson to the Office of Human Resources.

2. Tenure

- a. During a non-tenured faculty member's sixth year of service in the tenure-track, the faculty member shall be notified that a tenure decision is mandatory. The Office of Human Resources shall notify the candidate, the Department Chairperson, and the DEC of those in need of a tenure evaluation. Non-tenured faculty members who wish to be evaluated for tenure before the sixth year shall make written notification to the DEC.
- b. The probationary period (full time service prior to the acquisition of tenure) shall not exceed seven years of service in the university, provided that all seven years fall within the same ten-year period, unless otherwise indicated in the Collective Bargaining Agreement (see Article 13.2.3 in the Collective Bargaining Agreement). If full-time service is to continue in the seventh year, tenure or a terminal one-year appointment must be awarded. Up to three years' full-time service in other accredited colleges and universities may be applied toward the probationary period by written agreement of the concerned parties at the time of the faculty member's initial appointment, or not later than the end of the first semester of service.
- c. During the first through fifth probationary years, a faculty member's appointment shall be deemed renewed unless written notice of non-renewal is given to the faculty member as indicated in Articles 4.9, 4.9.1, 4.9.2 and 4.9.3 of the Collective Bargaining Agreement.
- d. A faculty member may withdraw after the commencement of the tenure process and at any time during the process by providing written notice to the Department Chairperson, DEC Chairperson, the Dean/Director, and the Chairperson of Promotion and Tenure Committee and shall thereby waive all claims for tenure for that academic year.

B. Faculty Member's Role in the Evaluation Process

1. When a faculty member is informed by the DEC of the fact and purpose of the evaluation, the faculty member shall expeditiously meet with the Office of Human Resources for the purpose of examining the personnel file. If the faculty member has a concern about materials in the file, the faculty member shall meet with a representative of the Provost/appropriate vice president.⁵ The faculty member and the representative of the Provost/appropriate vice president shall attempt to reach agreement on materials pertinent to the evaluation in order that copies may be prepared for the DEC. In the event agreement is not possible, the matter shall be decided by the Provost/appropriate vice president or the Provost's/appropriate vice president's designee. The faculty member shall then be allowed to prepare rebuttal materials for presentation to the DEC with other materials. The Office of Human Resources

⁵ For Counseling Faculty, Coaches and Athletic Trainers, the appropriate Vice President serves this function. Hereafter where the term Provost is used, it should be interpreted to mean "Provost or appropriate Vice-President."

shall have copies prepared of materials selected from the personnel file. These copies shall then be forwarded to the DEC. A letter of transmittal sent to the faculty member and the DEC by the Office of Human Resources shall list the materials forwarded from the Office of Human Resources to the DEC.

2. Each candidate to be evaluated shall submit a file. See III.H.1.a. for details of what must be included.
3. All candidates shall include in their file a copy of their original letter of appointment and any subsequent modifications (see III H. 1 for Contents of the File). A candidate who does not have the original letter of appointment must obtain a copy from the Office of Human Resources (see Article 4.7 of the Collective Bargaining Agreement).
4. Candidates shall be permitted to include any letter addressing any topic authored by any person inside or outside the University. Exceptions include: (a) solicited letters from students in active courses of the candidate at the time of letter authorship, and (b) other than the official letters of evaluation, the candidate shall not include letters (if they specifically address the promotion & tenure process) written in that academic year by anyone who has a formal role in the evaluation process for the candidate, such as members of the candidate's DEC, Chairperson of the candidate's department, Dean/Director of the candidate's school/college/division, Provost, or President.

The candidate shall be allowed to include letters authored by those who have a formal role in the evaluation process for the candidate dated prior to the academic year of the evaluation (e.g., from prior evaluation files) and letters authored by those who have a formal role in the evaluation process for the candidate not directly addressing, or making recommendations regarding, the promotion and tenure decision, such as a letter documenting or evaluating specific activities in the categories of evaluation.

5. The DEC shall provide each candidate a reasonable opportunity to appear personally before representatives of the DEC prior to its recommendation. The candidate shall not be penalized or harmed for not attending.
6. The candidate shall have an opportunity to examine the file at each stage of the evaluation process, i.e., before, during, and after the DEC, Department Chairperson, Dean/Director, and Promotion and Tenure Committee have each completed their evaluation report with concluding recommendation. At any time, the candidate shall be allowed to place in the file a written response and/or any additional materials supporting the application. If the candidate adds materials to the file after the file has been made available to the DEC, Department Chairperson, Dean/Director, Promotion and Tenure committee, or Provost, the candidate shall send written notification to the individual currently reviewing the file or applicable committee chair. It cannot be guaranteed that materials the candidate adds to the file after the commencement, but before the conclusion, of the review period at each stage (by the date specified in the Calendar for Promotion and Tenure) will be considered by the applicable reviewer.
7. A faculty member may withdraw after the commencement of the promotion and/or tenure process and at any time during the promotion and/or tenure process by providing written

notice to the Department Chairperson, DEC Chairperson, the Dean/Director, and the Chairperson of Promotion and Tenure Committee and shall thereby waive all claims for promotion and/or tenure for that academic year.

c. Department Role in the Evaluation Process

1. Procedures

- a. The DEC shall conduct evaluations as scheduled by the Collective Bargaining Agreement and the Promotion and Tenure Procedures for Faculty document. The DEC shall also conduct evaluations as requested by the Department Chairperson and shall notify the candidate in writing. The evaluations shall be in writing and shall contain supporting reasons for each category of evaluation.
- b. By the date specified in the Calendar for Promotion and Tenure, the DEC Chairperson shall inform, in writing, each candidate to be evaluated of (1) the fact and purpose of the evaluation, (2) the opportunity to submit materials to the DEC, and (3) the opportunity to appear personally before the DEC prior to the DEC's recommendation. The candidate shall not be penalized or harmed for not attending.
- c. The Office of Human Resources shall make available to the DEC the personnel files of those candidates to be evaluated, subject to the provisions of Article 4.14.2 of the Collective Bargaining Agreement.
- d. If a faculty member does not meet the requirements for promotion (see Part II.A) and has applied to the DEC to be declared eligible (see Part III.A.1.b), the DEC shall consider the supporting materials submitted by the faculty member and determine whether or not the faculty member has substantially comparable qualifications. The determination of a candidate's comparable qualifications for purposes of promotion belongs solely to the DEC. A faculty member's supporting documentation for such a determination shall be submitted separately from the Promotion and Tenure file. If the DEC determines that the faculty member is eligible for consideration, it shall inform the faculty member, Department Chair, applicable Dean/Director, Provost, and President in writing with supporting reasons and with the faculty member's documentation. If the DEC determines that the faculty member is not eligible, it shall so inform the faculty member in writing by the date specified in the Calendar for Promotion and Tenure and return the submitted materials; the promotion application shall then not proceed.
- e. Any special conditions in the candidate's letter of appointment, or subsequent extensions or modifications of such appointment as provided under Article 4.7 of the Collective Bargaining Agreement, shall be considered in the evaluation process for promotion and/or tenure.
- f. In conducting its evaluations for promotion and tenure, the DEC shall consider all materials supplied by the candidate and may solicit additional information pertinent to the categories of

evaluation. Any information solicited by the DEC and not provided by the candidate to the DEC shall be in writing, signed, and made available to the candidate at least four days prior to the submission of the DEC's evaluation report with concluding recommendation. Observation of load credit activity shall be a part of the DEC evaluation. For candidates engaged in classroom teaching, the DEC shall obtain and use the data from a written student survey instrument (see Article 4.11.8 of the Collective Bargaining Agreement). For candidates engaged in other duties, the DEC shall seek and use appropriate information regarding all elements of the candidate's duties. Access to digital course platforms or learning management systems (LMSs; e.g., Blackboard) for evaluators shall not be granted, as such access would provide broader access than what is required, intended by, and customary for observation of load credit. To approximate most closely the on-ground observation, where the observer(s) coordinate with the candidate, acceptable alternatives for classroom observation shall include, but are not restricted to:

- 1) For synchronous classes not held in-person, the observation shall be conducted as follows: by mutual agreement between the candidate and the observer(s), the observer(s) shall be allowed to join the class meeting session in a one-time temporary manner through the medium used for students attending the class meeting (e.g., Microsoft Teams, WebEx, Zoom, or other medium in use).
 - 2) For asynchronous courses, candidates shall be allowed to provide, and DEC's shall be allowed to ask the candidate to provide an example of information regarding a course (e.g., copies or recordings of course expectations, activities, materials, measures, etc.), recorded instruction or a recording describing information delivered to students (e.g., lecture, presentation, etc.). Also, parties shall be allowed to mutually agree to the candidate screensharing information via a virtual meeting.
- g. DEC members shall always treat as confidential all evaluative information submitted and considered, as well as the DEC's deliberation and votes. Such confidentiality shall not apply to disclosures concerning procedures in a formal hearing by a Grievance Committee. Any communication between the candidate and a DEC member, other than the Committee Chairperson or designee, about the deliberations and evaluative information or the DEC recommendation shall occur only in the context of a DEC interview. Discussions of the merits of a candidate's file by DEC members shall occur only in the context of a DEC meeting.
- h. The DEC Letter shall address all six categories: Load Credit Activity; Creative Activity; Productive Service to Department and University; Professional Attendance; Years in Rank; and Record of Disciplinary Action. In the event that there is no record of disciplinary action, the letter shall so note. All DEC recommendations shall be in writing, with supporting reasons, addressing each of the categories of evaluation (see Part II.B.2.). The DEC shall make their recommending statement using one of the following sentences that shall be presented verbatim and with no other language included: "In conclusion we recommend this candidate for _____" (insert promotion or tenure, as appropriate) or "In conclusion we do not recommend this candidate for _____" (insert promotion or tenure, as appropriate). This statement shall appear at the end and only at the end of the evaluation report(s).

- i. Applications for both promotion and tenure require separate evaluation reports with concluding recommendations, one report for promotion and one report for tenure. The evaluation report(s) with concluding recommendation(s) shall reflect the DEC's professional judgment and opinion, as well as factual information. A copy of all DEC evaluation report(s) with concluding recommendation(s), including supporting reasons and any minority reports, shall immediately be sent to the candidate and an identical copy shall be forwarded directly to the Office of Human Resources for inclusion in the candidate's personnel file by the date specified in the Calendar for Promotion and Tenure.
- j. The candidate shall be allowed four (4) calendar days as specified in the Calendar for Promotion and Tenure to provide a written response to the DEC's evaluation report(s) with concluding recommendation(s) before the date when the file shall be made available to the Dean/Director. The response shall be written and signed by the candidate and added to the file by the candidate by the date specified in the Calendar for Promotion and Tenure. A copy of the DEC evaluation report(s) with concluding recommendation(s) and, if applicable, the candidate's written response, shall be placed in the candidate's file by the candidate.
- k. The DEC's evaluation report(s) with concluding recommendation(s) shall not be transmitted to the Department Chairperson and shall not be transmitted to the Dean/Director. The Dean/Director shall not have access to evaluation report(s), any minority report(s), or the candidate's written response(s) to any evaluation report(s) prior to the date specified in the Calendar for Promotion and Tenure. If information was solicited by the DEC and not provided by the candidate and was considered by the DEC, the DEC evaluation report with concluding recommendation shall identify this fact, shall state the information solicited (i.e., any information that was solicited by the DEC and not provided by the candidate), and shall provide the rationale for inclusion.
- l. If the candidate is being evaluated for promotion on the basis of substantial comparability (see Part III.C.1.d), the DEC evaluation report with concluding recommendation shall identify this fact, shall state the credentials and/or experience used to determine that substantial comparability standards were met, and shall provide the rationale for the decision.
- m. Each evaluation report with concluding recommendation shall be signed by all members of the DEC. A DEC member shall be allowed to submit to the DEC a signed minority report to be included with the DEC's evaluation report with concluding recommendation to indicate the following:
 - 1) The DEC member may agree with the Committee's evaluation but consider the recommendation too weak;
 - 2) The DEC member may agree with the Committee's evaluation but consider the recommendation too strong;

- 3) The DEC member may agree with the evaluation of the Committee for reasons other than those offered by the Committee recommendation;
 - 4) The DEC member may disagree with the Committee's evaluation.
- n. If a DEC member elects to write a minority report, it shall be signed and appended to the DEC's evaluation report(s) with concluding recommendation(s). A copy of all DEC evaluation report(s) with concluding recommendation(s) including supporting reasons and any minority reports, shall immediately be sent to the candidate and a copy shall be forwarded directly to the Office of Human Resources for inclusion in the candidate's personnel file by the date specified in the Calendar for Promotion and Tenure. Department members serving on the DEC shall not write any independent recommendations for promotion and/or tenure for a candidate in their own department during that academic year, other than a minority report, as stipulated in Part III.C.3.i.4. above. Letter authorship and inclusion of letters by candidates are addressed in Part III.B.4
 - o. The DEC shall be allowed to establish and follow any additional procedures it deems reasonable, provided it informs the candidates of its actions in writing and such procedures do not contravene procedures specified in this or other university documents.
 - p. Any materials generated by the DEC shall be kept and secured in the DEC records for one year after the evaluation report(s) with concluding recommendation(s) is/are sent to the candidate and forwarded to the Office of Human Resources. Such materials shall be available only for a formal hearing by a Grievance Committee. If a grievance is in progress, the materials generated by the DEC shall be kept until the grievance is adjudicated.
 - q. The DEC shall be responsible for the security of the candidate's file while in its possession. See Part III. H. 2.

D. Department Chairperson's Role in the Evaluation Process

1. The Department Chairperson shall conduct evaluations as scheduled by the Collective Bargaining Agreement (Section 4.11.1) and the Promotion and Tenure Procedures for Faculty document. In no case, however, shall a Department Chairperson being considered for promotion participate in the promotion evaluation process; nor shall one being considered for tenure participate in the tenure evaluation process. Department Chairpersons scheduled for evaluations shall not provide written evaluations for themselves.
2. The Department Chairperson's evaluation of promotion and tenure for a candidate shall be independent of the DEC evaluation. Any evaluation based on material not in the file shall be documented and shall not include hearsay. Any information not provided to the Department Chairperson by the candidate shall be in writing, signed, and made available to the candidate at least four days prior to the submission of the Department Chairperson's evaluation report(s) with concluding recommendation(s).

3. The Chair letter shall address all six categories: Load Credit Activity; Creative Activity; Productive Service to Department and University; Professional Attendance; Years in Rank; and Record of Disciplinary Action. In the event that there is no record of disciplinary action, the letter shall so note. All Department Chairperson recommendations for promotion and tenure shall be in writing, with supporting reasons, addressing each of the categories of evaluation (see Part II.B.2), and shall conclude with one of the following sentences that shall be presented verbatim and with no other language included: “In conclusion I recommend this candidate for _____” (insert promotion or tenure, as appropriate) or “In conclusion I do not recommend this candidate for _____” (insert promotion or tenure, as appropriate). Nowhere else in the evaluation report(s) with concluding recommendation(s) shall reference to the recommendation be made.
4. Applications for both promotion and tenure require separate evaluation report(s) with concluding recommendation(s), one report for promotion and one report for tenure. These evaluation report(s) with concluding recommendation(s) shall reflect the Chairperson’s professional judgment and opinion, as well as factual information. A copy of the Department Chairperson’s evaluation report(s) with concluding recommendation(s), including supporting reasons, shall immediately be sent to the candidate and an identical copy shall be forwarded directly to the Office of Human Resources for inclusion in the candidate’s personnel file by the date specified in the Calendar for Promotion and Tenure.
5. The candidate shall be allowed four (4) calendar days as specified in the Calendar for Promotion and Tenure to provide a written response to the Department Chairperson’s evaluation report(s) with concluding recommendation(s) before the date when the file shall be made available to the Dean/Director. The response shall be written and signed by the candidate and added to the file by the candidate by the date specified in the Calendar for Promotion and Tenure. A copy of the Department Chairperson’s evaluation report(s) with concluding recommendation(s) and, if applicable, the candidate’s written response, shall be placed in the candidate’s file by the candidate.
6. The Department Chairperson’s evaluation report(s) with concluding recommendation(s) shall not be transmitted to the DEC and shall not be transmitted to the Dean/Director. The Dean/Director shall not have access to evaluation report(s), any minority report(s), or the candidate’s written response(s) to any evaluation report(s) prior to the date specified in the Calendar for Promotion and Tenure. If information was solicited by the Department Chairperson and not provided by the candidate and was considered by the Department Chairperson, the Department Chairperson’s evaluation report(s) with concluding recommendation(s) shall identify this fact, shall state the information solicited (i.e., any information that was solicited by the Department Chairperson and not provided by the candidate), and shall provide the rationale for inclusion.
7. Any special conditions in the candidate’s letter of appointment, or subsequent extensions or modifications of such appointment as provided under Article 4.7 of the Collective Bargaining Agreement, shall be considered in the evaluation process for promotion and/or tenure.

8. An identical copy of the Department Chairperson's evaluation report(s) with concluding recommendation(s) shall be forwarded directly to the Office of Human Resources and shall be placed in the candidate's personnel file by the date specified in the Calendar for Promotion and Tenure.
9. The Department Chairperson shall be responsible for the security of the candidate's file while in their possession. See Part III. H. 2.

E. Appropriate⁶ Dean's/Director's Role in the Evaluation Process

1. The appropriate Dean/Director shall have access to the file for each candidate no sooner than the date specified in the Calendar for Promotion and Tenure. The Dean/Director shall not have access to evaluation report(s), any minority report(s), or the candidate's written response(s) to any evaluation report(s) prior to the date specified in the Calendar for Promotion and Tenure. After reviewing and considering each candidate's file, the appropriate Dean/Director shall make an evaluation report(s) with concluding recommendation(s) based primarily on that material. Any evaluation based on material not in the file shall be documented and shall not include hearsay. Any information not provided to the Dean/Director by the candidate shall be in writing, signed, and made available to the candidate at least four days prior to the submission of the Dean's/Director's evaluation report(s) with concluding recommendation(s).
2. The Dean/Director letter shall address all six categories: Load Credit Activity; Creative Activity; Productive Service to Department and University; Professional Attendance; Years in Rank; and Record of Disciplinary Action. In the event that there is no record of disciplinary action, the letter shall so note. All Dean/Director recommendations for promotion and tenure shall be in writing, with supporting reasons, and shall conclude with one of the following sentences that shall be presented verbatim and with no other language included: "In conclusion I recommend this candidate for _____" (insert promotion or tenure, as appropriate) or "In conclusion I do not recommend this candidate for _____" (insert promotion or tenure, as appropriate). Nowhere else in the evaluation report(s) with concluding recommendation(s) shall reference to the recommendation be made.
3. Applications for both promotion and tenure require separate evaluation report(s) with concluding recommendation(s), one report for promotion and one report for tenure. The evaluation report(s) with concluding recommendation(s) shall reflect the Dean's/Director's professional judgment and opinion, as well as factual information. A copy of the Dean's/Director's evaluation report(s) with concluding recommendation(s), including supporting reasons, shall be sent immediately to the candidate and an identical copy shall be forwarded directly to the Office of Human Resources for inclusion in the candidate's personnel file by the date specified in the Calendar for Promotion and Tenure.

⁶ Interpretation - (1) Teaching Faculty, Dean of candidate's Academic School; (2) Counseling Faculty, Director of Counseling Services; (3) Library Faculty Library Director; (4) Coaches, Athletic Director

4. Prior to the file being made available to the Promotion and Tenure Committee, the candidate shall have an opportunity to examine the file for accuracy and completeness and add any additional material to the file supporting the application for promotion and/or tenure. The candidate shall be allowed four (4) calendar days as specified in the Calendar for Promotion and Tenure to provide a written response to the Dean's/Director's evaluation report(s) with concluding recommendation(s) before the date when the file is to be made available to the Promotion and Tenure Committee. The response shall be written and signed by the candidate and added to the file by the candidate by the date specified in the Calendar for Promotion and Tenure. A copy of the appropriate Dean's/Director's evaluation report(s) with concluding recommendation(s) and, if applicable, the candidate's written response, shall be placed in the candidate's file by the candidate.
5. All official evaluation report(s) with concluding recommendation(s) (those of the DEC, the Department Chairperson, and the appropriate Dean/Director) shall be placed into the candidate's file by the candidate by the date specified in the Calendar for Promotion and Tenure such that one complete file shall be available to the Promotion and Tenure Committee.

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

1. Purpose of the Committee

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

2. Structure of the Committee

- a. There shall be a single Promotion and Tenure Committee for all faculty (including supervisors of student teachers), library faculty, and counseling faculty, hereafter referred to collectively as "faculty."
- b. The Committee shall consist of fifteen (15) tenured regular voting members elected by the faculty.
- c. Committee members who anticipate they will have to be absent from a significant portion of the Committee deliberations shall step down for the entire process. Committee members repeatedly absent, or neglecting their duties without an excuse deemed adequate by the Committee, shall step down. If the Committee member chooses not to step down, the Committee shall call for a vote by secret written ballot for the Committee member's removal for the remainder of the Committee member's term. A vote of two-thirds of the Committee shall result in the expulsion of the Committee member from the Committee.

d. Alternates

- 1) There shall be six (6) tenured alternate members elected by the faculty.
- 2) Alternates shall take the place of regular voting members:
 - when a regular voting member is applying for promotion during that academic year; or
 - when a regular voting member resigns or is removed by vote. See Part III. F. 2. c; or
 - under other circumstances, such as prolonged illness, as evaluated and determined by the Committee.
- 3) Alternates shall be eligible to become regular voting members on the basis of the total number of votes received and the term they were elected. Alternates elected in the spring election will become voting members before alternates elected in the fall election.
- 4) When replacing a regular voting member, alternates serve for the period specified by the Committee but no longer than one academic year. Permanent vacancies shall be filled not by alternates but by elections for Committee members.

e. At no time shall the number of regular voting members (including alternates serving as regular voting members) exceed fifteen (15).

f. Each year, under a process overseen by the Chairperson of the Senate Elections Committee or designee (see Section F.6.a. below), the Committee shall elect from its regular voting members an individual to serve as Chairperson. The Chairperson must hold the rank of Professor or its equivalent. Three consecutive one-year terms shall be the maximum term limit for the role of Chairperson.

g. When a new Chairperson is elected, the immediate former chairperson, if re-elected as a member of the Committee, shall have the role of Immediate Past-Chairperson for a period not to exceed three consecutive one-year terms. The Immediate Past-Chairperson role includes the same responsibilities as non-chair regular voting members of the Committee in addition to acting in a procedural advisory capacity to the new Chairperson to support continuity of Committee functioning. If the former Chairperson is not re-elected to the Committee or is unable to serve for any reason, the Committee shall be allowed to elect another Committee member to serve in the role of Immediate Past-Chairperson to act in a procedural advisory capacity to the new Chairperson to support continuity of Committee functioning.

h. Faculty members serving on any DEC making decisions/recommendations regarding promotion and tenure shall not serve on the P & T committee. (See Service Eligibility in the Faculty Evaluation Process Table, at the end of Part V, Calendar.)

3. Eligibility for Membership on the Committee

- a. Any full-time faculty member, tenured at the rank of Associate or above (or the equivalent for library faculty and counseling faculty), and has completed a minimum of three years on

the faculty at Southern Connecticut State University shall be eligible to serve on the Committee. However, faculty members serving in administrative positions outside of their department and receiving load credit or compensation are not eligible to serve if and when their Promotion and Tenure Committee membership poses a potential conflict of interest; that is, faculty members shall not be eligible when serving in administrative positions (for example, Assistant to the Dean/Director, the Provost or the President) in which they could potentially violate or give the appearance of violating the contractually distinct levels of evaluation (DEC, Department Chairperson, Dean/Director, Promotion and Tenure Committee, Provost, and in some cases, the President).

- b. At no time shall more than two (2) faculty members from any one department or division be elected as regular or alternate members of the Committee. For the purposes of this document, “department” means traditional departments and divisions within which there are no distinct departments.
- c. No Department Chairperson, division director, or Dean/Director shall serve as a member or alternate on the Committee.
- d. Faculty members on any form of university leave (see CBA article 13) shall not serve on the P&T Committee during their leave for that academic year.
- e. A faculty member shall not write letters of recommendation or support for candidates after that faculty member is elected to or begins serving on the Committee. Candidates shall be allowed to include letters authored by Committee members prior to this change of committee membership status. Letter authorship and inclusion of letters by candidates are addressed in Part III.B.4.
- f. No faculty member shall serve as an elected member of the Committee in any academic year in which that faculty member applies for promotion.
- g. Committee members shall always treat as confidential all evaluative information submitted and considered, as well as the Committee’s deliberation and votes. Such confidentiality does not apply to disclosures concerning procedures in a formal hearing by a Grievance Committee. Any communication between the candidate and a Committee member, other than the Committee Chairperson or designee, about deliberations and evaluative information shall occur only in the context of a Committee interview. Discussions of the merits of a candidate’s file by Committee members shall occur only in the context of a Committee meeting.

4. Elections of Members of the Committee

- a. The Elections Committee of the Faculty Senate shall conduct the elections for the Committee. Elections shall be held according to the established Senate procedures for All-University Committee elections.

- b. The election for the Committee's regular voting members and alternate members shall take place in the spring semester. If all membership positions are not filled via the spring election, an election for the unfilled positions shall take place in the following fall semester.

- The committee's membership shall be staggered according to the following: The election shall be for five (5) regular voting members for three-year terms and six (6) alternate members for one-year terms, for a total of fifteen (15) regular voting members and six (6) alternate members. At the same time, elections shall also be held for two- or one-year terms to fill any existing vacancies in unexpired terms.

- c. All terms shall begin September 1 and expire August 31.

5. Recall of Committee Members and Alternates

- a. Any member or alternate of this Committee may be recalled by a majority vote of the faculty on a referendum.
- b. Such a referendum shall be conducted by the Elections Committee of the Faculty Senate upon receipt of a petition to that effect bearing the signatures of at least ten (10) percent of the faculty.

6. Procedures of the Committee

- a. The Committee shall hold its first meeting of the academic year in September to outline the dates and procedures for the upcoming year and to elect a Chairperson from its members who holds the rank of Professor or its equivalent. The Faculty Senate President shall announce and convene this meeting. The Chairperson of the Senate Elections Committee shall be present to conduct this election, which shall be determined by a majority vote. Whoever is a regular voting member of the P & T committee in September when the vote for chair occurs shall be allowed to vote. Nominations and self-nominations shall be solicited by the Chairperson of the Senate Elections Committee prior to and at the first meeting. A quorum shall be required for the Committee Chairperson election to be valid. If a quorum is not present at the first meeting, a second meeting shall be scheduled within two weeks. In the absence of a Chairperson of the Senate Elections Committee, the Senate President shall solicit the nominations and self-nominations and conduct the election as outlined above.
- b. Committee members, when not meeting as a Committee, shall treat as confidential both the information in any candidate's file and the Committee's deliberations and votes. Confidentiality shall also apply to Committee members who resign or whose terms expire, in perpetuity. Such confidentiality shall not apply to discussions of the Committee's standard operating procedures or statistical reports. Further, such confidentiality shall not be applied to, or invoked with regard to information deemed essential by the President's Grievance

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

- c. The Committee shall provide each candidate a reasonable opportunity to appear personally before members of the Committee prior to its recommendation, hereafter referred to as the “interview”. The candidate shall not be penalized or harmed for not attending the interview. The Chairperson of the Committee shall inform the candidate of the purpose of the interview. The Committee shall devise a protocol for conducting these interviews and shall publish that protocol each academic year on September 1, January 20, and May 1. A minimum of five (5) Committee members shall be scheduled to be present at the interview. If fewer than three (3) Committee members are present, the interview shall be rescheduled.
- d. Candidate interviews may begin the Thursday before the Spring semester begins and shall finish no later than the Thursday of the first week of the Spring semester. Interviews for January candidates shall be handled on an ad-hoc basis.
- e. The Committee shall examine and discuss each candidate’s file separately. The Committee shall be allowed to solicit additional information about the candidate only from the candidate. Any special conditions in the candidate’s letter of appointment, or subsequent extensions or modifications of such appointment as provided under Article 4.7 of the Collective Bargaining Agreement, shall be considered in the evaluation process for promotion or tenure. (See Part III.H.8, Addition of Materials after Sealing of the File.) The Committee shall not accept information other than that which is in the file or which the Committee solicits according to Parts III.H.4.a, III.H.4.b, III.H.5, and III.H.8.
- f. No Committee member shall discuss any candidate’s file or any deliberations with candidates outside of Committee meetings. However, the Chairperson of the Committee (or designee) may be authorized by the Committee to respond to a candidate’s questions about the candidate’s own file.
- g. After all information on a candidate has been received, and after full discussion and deliberation, the Committee shall proceed with the decision-making process. Committee members from a candidate’s department are allowed to vote on that candidate, but must recuse themselves from any discussion or comment on the candidate or the candidate’s file in any context for the entirety of the candidacy year, including that candidate’s interview, deliberations by the Committee (including reconsiderations and meeting with the Provost) and appeals to the President.
- h. A secret ballot shall be used for each final decision affecting a candidate. An absent member may present only the Chairperson with a written vote on the first ballot. .
- i. Each Committee member shall be afforded a reasonable opportunity (as determined by the Committee) to cast a ballot.
- j. At any stage, the Committee may reconsider and/or revote a decision on an individual candidate (See suggested guidelines in Part IV).

- k. Candidates being evaluated for tenure shall be either recommended or not recommended. The Committee's notification of its decisions shall be made as follows:
 - 1. The candidate shall receive a letter from the Chairperson of the Promotion and Tenure Committee with the Committee's decision to recommend or not recommend, accompanied by the Promotion and Tenure Committee final vote totals (yes/no). A decision of "not recommend" shall include a summary evaluative statement and explanation. The candidate shall choose whether or not to add the Promotion and Tenure Committee's recommendation letter to the file.
 - 2. The Provost shall receive a list from the Chairperson of the Promotion and Tenure Committee of those recommended and not recommended, both listed in alphabetical order, accompanied by the Promotion and Tenure Committee final totals (yes/no) without any further evaluative elaboration.
- l. Candidates being evaluated for promotion shall be either recommended or not recommended. The Committee's notification of its decisions shall be made as follows:
 - 1. The candidate shall receive a letter from the Chairperson of the Promotion and Tenure Committee with the Committee's decision to recommend or not recommend, accompanied by the Promotion and Tenure Committee final vote totals (yes/no). A decision of "not recommend" shall include a summary evaluative statement and explanation. The candidate shall choose whether or not to add the Promotion and Tenure Committee's recommendation letter to the file.
 - 2. The Provost shall receive a list from the Chairperson of the Promotion and Tenure Committee of those recommended and not recommended, both listed in alphabetical order, accompanied by the Promotion and Tenure Committee final vote totals (yes/no), without any further evaluative elaboration.
- m. At any point after the Committee recommendation, but before the end of the semester, the candidate shall be allowed to request a meeting with the Chairperson of the Committee or designee to discuss the recommendation letter(s).
- n. The Committee shall be allowed to establish and follow any additional procedures it deems reasonable, provided it informs the applicable candidate(s) of its actions in writing and such procedures do not contravene procedures specified in this document or the Collective Bargaining Agreement. A written record of all additional procedures used by the Committee shall be kept, and a written report of these procedures shall be given annually (in the spring of the year) to the Faculty Senate and to the Provost and the President of the University.
- o. The Committee shall be responsible for the security of the candidate's file while in its possession. See Part III. H. 3.

G. Provost's Role in the Evaluation Process

1. The final action of the Committee on all candidates shall be forwarded to the Provost, who, in consultation with the President, shall be responsible for making the final recommendation to the Board of Regents. The Provost shall send a copy of the recommendation letter(s) to the candidate.
2. As stipulated in the Collective Bargaining Agreement (Article 4.11.14), a Provost who disagrees with the recommendation of the Promotion and Tenure Committee and denies tenure after completion of the candidate's sixth year of service shall provide the candidate and the Committee with a written explanation. A Provost who disagrees with the recommendation of the Committee and recommends tenure shall provide the Committee with an explanation. The Provost's explanation shall be held in confidence by the Committee, subject to applicable statutes.
3. As stipulated in the Collective Bargaining Agreement (Article 4.11.14), if the Provost disagrees with two (2) of the three (3) evaluative entities (DEC, Dean/Director, and Promotion and Tenure Committee) and denies tenure in the sixth year of service, the President shall review and may alter the Provost's decision prior to the date the Board of Regents announces its tenure actions.

H. University Promotion and Tenure Files

1. Contents of the File

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

- a. Candidate's Responsibility to provide documentation to the file
 1. A copy of the original letter of appointment from the University President provided by the candidate and, if applicable, any subsequent applications or modifications (see Part III.B.2)
 2. Candidate Information Form
 3. A personal professional statement of about 1000 words providing evaluators an overview of the file's content and a framework for understanding the candidate's professional practice, principles, and values.

4. A similar professional statement for each section of the file, as defined by the first four contractually defined categories of evaluation (See article IV.C.3). Each statement should be about 1000 words.
5. Copies of syllabi (applies to teaching faculty only)
6. Evidence of all primary load credit activity, including non-teaching activity
5. Documentation of creative activity (articles, papers, images, etc.) and the dates of all activities and/or publications
6. Copies of university-tabulated Student Opinion Surveys, if available; if not, some evidence of written student evaluations
7. Dates of activities in the first four categories (see Part II.B.2)
8. During a year in which a candidate is applying for both promotion and tenure, only one file is required. Candidates applying for tenure prior to their sixth year of service must also submit materials as specified in the Renewal procedures.
9. Supplemental information shall be placed in the file arranged by category by the candidate.
10. Any record of disciplinary action currently in the candidate's personnel file that is not scheduled to be removed prior to the end of the review process.
11. Candidates shall be responsible for adding all evaluation report(s) with concluding recommendation(s) received from the DEC, Department Chairperson, and Dean/Director to the file. The candidate shall choose whether or not to add the Promotion and Tenure Committee's recommendation letter(s) to the file.
12. Following the "sealing of the file" (See Part III.H.7), the candidate shall be responsible for adding the signed form to the file under the "Required Documents" section of the file.

2. Movement of the File

Once the file has been made available to the DEC and Department Chairperson, the evaluation process shall begin with individual evaluations by the DEC and the Department Chairperson. Those evaluation reports with concluding recommendations shall be sent to the candidate and to the Office of Human Resources. When the file is made available to the Dean/Director, the Dean's/Director's evaluation report(s) with concluding recommendation(s) shall be sent to the candidate and the Office of Human Resources. The Dean's/Director's evaluation report(s) with concluding recommendation(s) shall be added to the file by the candidate and the complete file

shall be made available to the Promotion and Tenure Committee. The file shall then be made available to the Provost by the date specified in the Calendar for Promotion and Tenure.

3. Security of the Files

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

4. Incomplete Files

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

5. Entries into Promotion and Tenure Files

Only the candidate may make entries into a candidate's file. All additional materials solicited and provided by anyone other than the candidate shall be listed as enclosures on the evaluation report(s) with concluding recommendation(s) written by the DEC, the Department Chairperson, and the appropriate Dean/Director. Any information not provided by the candidate must be in writing, signed, and made available to the candidate a minimum of four (4) calendar days prior to the file being made available to the next party in the evaluation process.

6. Candidate's Examination of the File before Sealing

- a. At each step in the process, before the file is made available to the DEC, Department Chairperson, and appropriate Dean/Director, the candidate shall have an opportunity to examine the file for accuracy and completeness. At these times, the candidate shall be allowed to place in the file a written response and/or any additional material in support of the application for promotion and/or tenure.
- b. After the file has been made available to the Promotion and Tenure Committee, the candidate shall have an opportunity to examine the file for accuracy and completeness before it is sealed (See Section H.1.7).
- c. At any time, candidates shall be allowed to obtain copies of items in their files.

7. Sealing of the File

- a. “Sealing of the file” is defined as a verification of enclosed materials in the file by the candidate or designee in a meeting with at least one member of the Promotion and Tenure Committee documented by the candidate’s and the applicable Committee member’s(s’) signatures on a form provided by the Promotion and Tenure Committee by the date(s) specified in the Calendar for Promotion and Tenure. The candidate shall then add the signed form to the file under the “Required Documents” section of the file. The form shall contain a checkbox indicating whether or not a record of disciplinary action appears in the candidate’s personnel file; the candidate shall indicate “yes” or “no.”
- b. Sealing of files shall take place on the last two weekdays of fall examination week. For tenure candidates starting in January, sealing of files shall take place by the date(s) specified in the Calendar for Promotion and Tenure. Candidates shall be notified of the time and place for sealing of files by public notice at least two weeks prior to the sealing of files. During the designated period, the candidate shall have the option to examine the file in the presence of the Chairperson of the Promotion and Tenure Committee, or a designee, and to seal it via a form provided by the Promotion and Tenure Committee which the candidate has signed. During this time a candidate who plans to provide rebuttal material shall so inform the Chairperson of the Promotion and Tenure Committee, or a designee, of the intent to do so and shall provide the rebuttal material by the date designated by the Promotion and Tenure Committee.
- c. A candidate unable to be present to seal the file shall be allowed to designate in writing another person to perform this task.
- d. In the event that the candidate fails to seal the file by the close of the sealing period, the file shall be considered sealed.
- e. A record of access provided to the file (the name of the person and the date) shall be maintained by the Promotion and Tenure Committee Chairperson, or designee, in accordance with the format of the file (e.g., digital record).

8. Addition of Materials after the Sealing of the File

- a. In situations where the Promotion and Tenure Committee believes the file is incomplete, as described in Parts III H.4.a and III.H.4 b (Incomplete Files), it shall be allowed to seek from any source the missing written information pertinent to the evaluation process and shall notify the candidate of its actions in writing.
- b. If such evidence is submitted, the candidate shall automatically receive a copy of the additional material from the Chairperson of the Promotion and Tenure Committee or designee. Any such material introduced at this time shall be acknowledged by signature of the candidate and the candidate shall be given the opportunity to add a written rebuttal to the file.

- c. If a candidate has appropriate information not previously available, the candidate (or designee, attested to in writing) shall be allowed to add the information to the file, and then shall notify in writing the Chairperson of the Promotion and Tenure Committee or the Chairperson's designee. It cannot be guaranteed that materials the candidate adds to the file after the commencement, but before the conclusion, of the review period at each stage (by the date(s) specified in the Calendar for Promotion and Tenure) will be considered by the applicable reviewer. After the sealing of the file, all additional information shall be included in one file, titled "Addendum" and shall be placed in the "Addendum" section of the file. Candidates shall not update the Candidate Information Form (CIF) after the file has been sealed. Candidates shall notify the Chairperson of the Promotion and Tenure Committee at the time of the "Addendum" submission to the file.

9. Provost Access to the File after Evaluation by the Committee

- a. After the Promotion and Tenure Committee makes its recommendations and sends the applicable written documentation to the candidate and Provost, the Provost shall have access to the file. The candidate shall choose whether or not to add the Promotion and Tenure Committee's recommendation letter(s) to the file.

I. Grievance Procedures

Any faculty member/candidate who believes that the prescribed procedures and obligations have in some way been violated with respect to this document shall be allowed to initiate grievance procedures as specified in the Collective Bargaining Agreement.

PART IV: PROCEDURES FOR THE PROMOTION AND TENURE COMMITTEE

A. Promotion

1. In the deliberations, candidates for promotion shall be grouped according to the rank being sought and each group shall be considered separately by the Committee.
2. In applying the evaluation criterion in each category to candidates in a given rank, each Committee member shall determine a standard of performance for that rank. Standards of performance shall vary for different ranks. Committee discussions of standards of performance for various ranks need not produce consensus. Ultimately, each Committee member shall formulate standards that, although they may differ from others', shall guide the Committee member in voting whether or not to recommend.
3. After discussion and deliberation on a given candidate are completed, each Committee member shall assign the candidate an integer on a ten-point rating scale for each of the first four evaluation categories. The integers should measure, as accurately as possible, the candidate's performance in each of the evaluative categories. For category 5, 1 point is given for each year in rank beyond five years up to a maximum of 15 points; for category 6, 1 point is given for each disciplinary action in the candidate's personnel file. (See Part IV.C below.)
4. The ballot cast by a Committee member for each candidate shall consist of the integers, in order, assigned to each of the evaluation categories.

B. Tenure

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

C. Computing and Interpreting Ballots

1. It shall be the responsibility of the Committee Chairperson to compute or to have the results of the balloting computed and to record these results.
2. The average in each of the evaluative categories, i.e., quality of teaching or professional competence (load credit or the equivalent), creative activity, productive service to the department and University, professional attendance and participation, years of service, and record of any disciplinary action in the candidate's personnel file at the time of the evaluation shall be computed. Prior to computing these averages for each candidate, the Committee shall eliminate one highest and one lowest score for each of the four evaluative categories.
3. The total of these weighted averages shall be computed as follows⁷:

Proportional Weight	Teaching Faculty	Coaches⁸	Athletic Trainers	Counselors	Librarians
Average is multiplied by 10	Load Credit Activity	Administration & Conduct of Assigned Sport	Management of Health Care of Student Athletes	Load Credit Activity	Load Credit Activity
Average is multiplied by 5	Creative Activity	Relationships with Student Athletes	Demonstrated Care and Professionalism	Professional Activity	Professional Activity
Average is multiplied by 4	Service to Dept and University	Record of Competitive Performance	Educational Growth and Service to the Profession	Service to Dept and University	Service to Dept and University
Average is multiplied by 2	Professional Activity	Service to Dept and University	Service to Dept and University	Creative Activity	Creative Activity

Rating	Teaching Faculty	Coaches⁸	Athletic Trainers	Counselors	Librarians
Rating is multiplied by 1	Years in Rank	Years in Rank	Years in Rank	Years in Rank	Years in Rank
Rating is multiplied by -1	Each record of Disciplinary Action	Each record of Disciplinary Action	Each record of Disciplinary Action	Each record of Disciplinary Action	Each record of Disciplinary Action

D. Determination of the Final Recommendations

The Committee shall use the total weighted average to produce initial rankings, but is not obliged to determine the order of candidates by numerical methods. The use of this method shall assist in, but need not determine, the final recommendations, which should be determined by the deliberations of the Committee. The affirmative decision on each candidate shall be determined by a minimum of 8 "yes" votes. (Refer to "Procedures of the Committee," Part III.F.6.)

⁸ For information concerning coaches with teaching duties, see below.

E. Reconsideration Process

1. The Committee shall automatically reconsider all candidates who were not recommended for promotion and/or tenure by the Committee.
2. All cases for reconsideration of candidates for promotion and/or tenure shall be announced one (1) week in advance of the reconsideration itself.
3. Candidates shall be allowed no more than one (1) reconsideration for promotion and one (1) reconsideration for tenure each year.
4. Reconsiderations for tenure shall be allowed only for candidates *not* recommended for tenure by the Committee.
5. Reconsiderations for promotion shall be allowed only for candidates *not* recommended for promotion by the Committee.

PART V: PROMOTION AND TENURE CALENDAR

The most up-to-date calendar for Promotion and Tenure is located on the Faculty Senate website under Faculty Evaluation:

<https://inside.southernct.edu/faculty-senate>

Service Eligibility in the Faculty Evaluation Process

START HERE: STEP 1 ➔	This academic year, I am... (select applicable column to the RIGHT) ➔	Tenured & NOT applying for Promotion & NOT undergoing Professional Assessment	Tenured & applying for Promotion	Tenure- Track* & applying for Promotion	Tenure- Track** & Applying for Tenure ONLY	Tenure- Track* & applying for BOTH Promotion & Tenure	Undergoing Professiona l Assessment	Serving as MY Department's Chairperson	Serving as a Department Chairperson for a department that is NOT my own	Serving in an administrative role**	Serving as a hardship member of another Department's DEC	Serving on the University P&T committee
STEP 2 ➔	My eligibility to serve ... (select the applicable row BELOW) ↓											
As a member of my department's DEC for purposes of other candidate's evaluation for Renewal		YES	YES	NO	NO	NO	YES	NO	NO	NO	YES	YES
As a member of my department's DEC for purposes of other candidate's evaluation for Promotion		YES	NO	NO	NO	NO	YES	NO	NO	NO	NO	NO
As a member of my department's DEC for purposes of other candidate's evaluation for Tenure		YES	NO***	NO	NO	NO	YES	NO	NO	NO	NO	NO
As a member of my department's DEC for purposes of other candidate's evaluation for Professional Assessment		YES	YES	NO	NO	NO	NO	NO	NO	NO	YES	YES
As a hardship member of another Department's DEC for Renewal / Promotion / Tenure / Professional Assessment evaluations		YES	NO	NO	NO	NO	NO	NO	NO	NO		NO

In the Department Chairperson's role in the Faculty Evaluation Process for other candidates	YES	YES, but not for promotion	YES, but not for promotion	YES, but not for tenure	YES, but not for promotion and tenure	YES, but not for professional assessment	YES, but not as a reviewer of application(s) of the level for which I am applying (see previous columns)	YES, but not as a reviewer of application(s) of the level for which I am applying (see previous columns)	NO	NO	NO
As a member of the P & T Committee	YES	NO	NO	NO	NO	YES	NO	NO	NO	NO	

* *"The membership of the DEC shall include only tenured members of the department" (CBA 4.11.4 DEC Membership).*

****** *"Eligibility for Membership on the [P & T] Committee, a. Any full-time faculty member, tenured at the rank of Associate or above (or the equivalent for library faculty and counseling faculty), and has completed a minimum of three years on the faculty at Southern Connecticut State University shall be eligible to serve on the Committee. However, faculty members serving in administrative positions outside of their department and receiving load credit or compensation are not eligible to serve if and when their Promotion and Tenure Committee membership poses a potential conflict of interest; that is, faculty members shall not be eligible when serving in administrative positions (for example, Assistant to the Dean/Director, the Provost or the President) in which they could potentially violate or give the appearance of violating the contractually distinct levels of evaluation (DEC, Department Chairperson, Dean/Director, Promotion and Tenure Committee, Provost, and in some cases, the President)" (P & T Procedures III.A.3.a).*

******* *"When the DEC is conducting evaluations for promotion or tenure, DEC members applying for promotion of any candidate being considered for promotion or tenure--shall recuse themselves from all DEC business pertaining to either promotion or tenure but shall be allowed to participate in all other DEC business." (PROCEDURES FOR FORMING A DEPARTMENT EVALUATION COMMITTEE A.2.3.a.)*

Other helpful citations:

"Department members ineligible to serve on an elective DEC include: a) Untenured person or for Coaches and Athletic Trainers full time members who have not completed three years of service. b) The Department Chairperson..." (PROCEDURES FOR FORMING A DEPARTMENT EVALUATION COMMITTEE A.2.2.)

“3) Department members serving on an elected DEC shall recuse themselves under the following conditions: a) When the DEC is conducting evaluations for promotion or tenure, DEC members applying for promotion or serving as elected regular or alternate members on the University-wide Promotion and Tenure Committee--or who are immediate family (i.e., spouse, child, parent, domestic partner) of any candidate being considered for promotion or tenure--shall recuse themselves from all DEC business pertaining to either promotion or tenure but shall be allowed to participate in all other DEC business. b) When the DEC is conducting evaluations for professional assessment, DEC members being evaluated for professional assessment--or who are immediate family (i.e., spouse, child, parent, domestic partner) of any candidate undergoing professional assessment--shall recuse themselves from all DEC business pertaining to professional assessment but shall be allowed to participate in all other DEC business. c) When the DEC is conducting evaluations for sabbatical leave, DEC members applying for sabbatical leave--or who are immediate family (i.e., spouse, child, parent, domestic partner) of any candidate applying for sabbatical leave--shall recuse themselves from all DEC business pertaining to sabbatical leave but shall be allowed to participate in all other DEC business.”(PROCEDURES FOR FORMING A DEPARTMENT EVALUATION COMMITTEE A.2.3.a.)

PART VI: INTERPRETATION, AMENDMENT, IMPLEMENTATION, AND REVIEW

A. Interpretation and Implementation

This section may not be invoked with respect to the interpretation and/or implementation of any item of the Collective Bargaining Agreement. If an issue develops concerning interpretation and/or implementation of this document, whether initiated by the Senate, a candidate, or any member of the administration, a binding decision on such an issue shall be made

1. by agreement between the President of the University and a majority of the Executive Committee of the Faculty Senate, or, failing to obtain agreement on an issue by this method,
2. by a committee consisting of one faculty member selected by the Senate Executive Committee, another by the President of the University, and a third selected by the other two faculty members. A two-thirds vote shall decide an issue.

B. Amendment

This Document may be amended by a two-thirds vote of the Faculty Senate, with the concurrence of the President of the University.

- C. This Document shall take effect after adoption by a majority of faculty voting, in a faculty-wide referendum, and by the President of the University.

D. Review of this Document

This Document shall be reviewed by the Faculty Senate at least at the end of every three years after its initial adoption.

ADDENDUM *

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

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

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

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

*** See 2007, Collective Bargaining Agreement, Article 6 for specific details regarding coaches and athletic trainers.**