

Austin Peay State University
Faculty Senate Meeting
Meeting of Thursday, April 27, 2023
Morgan University Center, UC 307 | 3:00 pm
Minutes

Call to Order: Senate President Perry Scanlan

Recognition of Guests: Senior Vice Provost and Associate Vice President of Academic Affairs Tucker Brown, Paul Collins, Provost and Senior Vice President of Academic Affairs Maria Cronley, Leni Dyer, Charles Gonzalez, Patrick Gosnell, Uma Iyer, Barry Jones, Tobias Layman, University President Mike Licari, Nancy KingSanders, Tony Morris, Billy Renkl, Randi Robinson, Gena Shire, Dixie Webb, Chief Diversity Officer & Title IX Coordinator LaNeeça Williams, and Kathryn Woods

Roll Call of Senators: Senate Secretary Gina Garber

Absent Senators: Isaac Aklamanu, Wes Atkinson, Eugene Donev, Andrew Kostakis, David Rands, Allyn Smith, and Deonte Warren

Approval of Today's Agenda: motion made, seconded and passed to amend the agenda to add the Provost's Council Report and then again to approve the full agenda

Approval of Minutes from March 23, 2023 Meeting: motion made, seconded, and passed to approve the minutes for March 23, 2023

Remarks:

1. Moment of Silence
 - a. Senate President Scanlan led a moment of silence for the following victims who perished in the recent tragedies:
 - **The Covenant School:** Evelyn Dieckhaus, Mike Hill, William Kinney, Katherine Koonce, Cynthia Peak, and Hallie Scruggs
 - **Fort Campbell Helicopter Training Accidents:** Sergeant Isaac Gayo, Chief Warrant Officer 2 Rusten Smith, Warrant Officer Aaron Healy, Corporal Emilie Marie Eve Bolanos, Warrant Officer Jeffery Barnes
 - **Madison County Alabama Crash:** Chief Warrant Officer Daniel Wadham and Chief Warrant Officer 3 Danny Randolph
2. Faculty Senate Staff Service Award, Senator Ibukun Amusan (10 minutes)

Ibukun Amusan on behalf of the Staff Service Award Committee (Terri Clark, Eugene Donev, Megan Kienzle, and David Rands) presented Gena Shire with an award and a \$500 check for her outstanding service to Austin Peay State University (APSU). Dr. Tony Morris, Department of Art+Design Chair, read the nomination from the Department of Art+Design [[See Attachment A](#)].

3. Senate President Perry Scanlan (5 minutes)

“As we are working on concluding this academic year, it is important to remind ourselves just how far we have come over the last academic year. We started out talking about our new ASUN rise and the darkness that we face in a divided United States, war in Ukraine, and our post-COVID world. We are still the shining beacon on the hill that spreads hope and light to our citizens and into our communities.

Make no mistake what we have accomplished this year have been a few small steps in the right direction but no journey can be completed without those steps. Hopefully many of you spent the year making real in-person contact with students, staff, and colleagues; that you have been able to establish new friendships and bonds with each other over the past year. I know I have gotten to know many of you on a more personal level than ever before. I have learned to understand many diverse perspectives on a variety of issues in representing you this year.

This brings me to one singular point that has always been a personal theme in my life, “Attitude is everything!” Our world is complex, difficult, and much of the time appears unfair from one’s perspective. I have taught my kids that a “fair” is a place where they judge pigs that no one can require anyone else to act in a fair or empathetic manner. That being said, we have a duty to ourselves to live the values we want to see in others because in the end we really only control our own decisions and actions. Most of us act in reasonable, predictable, and fair ways with each other. Gaps in understanding people’s perspectives are generally where divergence occurs. For example, my two children play competitive soccer. When they win a match, everything was a result of their good plays, endurance, strong coaching etc., but when they lose the referees were terrible, the field surface was bad, the goals were too big or too small, the grass too short or too long. However, there is good news! They are learning to point out and improve where they have fallen short.

This is no different for us as faculty, we are not always right even when we think we are. Most of the time answers are not clearly right or wrong but rather much more complex and complicated that even the best referee could not adjudicate the situation to our liking. Therefore, the only solution is to spread kindness and understanding through establishing relationships with others. It’s through relationships that trust is built and trust is broken. Often times we point to leadership and judge relationships based on our personal perception. Many of you here today have an opinion on me as Faculty Senate President. Yet there are about 50 of you and only 1 of me. It would be unfair to judge all of you by my actions alone. By now you are probably asking me – Perry it’s time to get to the point. The point is if you want to inspire improvement and change it starts with relationships.

There are 300 or so full-time faculty depending on the various ways these are counted. There are hundreds more staff, administration, contractors, and thousands of students at APSU. Take a moment to thank the staff and students that make a difference. Not just the leaders but the supporters. No leader can make progress without their supporters. Make sure to thank all of those people that make it possible for you to do a great job. Make sure to offer understanding and support to those that must deal with angry faculty, staff, and students. When do the parking folks or debt collectors ever get a kind word? In short, take the time to build a few relationships so that we can communicate with each other and establish trust as this will ultimately create better perspectives and better decisions as a whole. A hand up in understanding is worth a thousand index fingers that point at someone or something. Don’t forget for every finger pointed at least three are pointed back at you.

I want to generally thank the executive committee for all their work and support of the faculty, faculty senators, and particularly me. I want to thank the faculty senators for their support and the administration for their ear and support of our faculty initiatives. I want to thank all the committee chairs and committee members for their work this year. I could not do it without you.

Lastly, it would be great if faculty senators could take a few minutes of their busy schedule Friday morning to thank those important staff and administrators that have worked in partnership with you. To express your appreciation and to help end the year with kindness, understanding, and relationship

building. Let's work together to help Austin Peay continue to be the amazing community we know it be, it starts with our approach to all the people that make it possible for us the achieve excellence.

4. University President Dr. Mike Licari (7 minutes)

University President Licari congratulated everyone on another great academic year and wished everyone the best as we get through grading and finals. He reminded us that commencement is always the best day of the year.

Budget: University President Licari reported that the State appropriations have been unchanged from when he first reported the budget in February. The Governor's budget was about six million dollars under what was initially recommended by Tennessee Higher Education Commission (THEC) for APSU. All four-year institutions in Tennessee experienced this as a result of the Governor's priority to invest one billion dollars into the Colleges of Applied Technology. University President Licari said, "*this is not a budget cut.*" He made clear that the increase that we thought we were receiving is not as large as what we had anticipated with THEC's recommendation.

Health Professionals Building: The State appropriations funded the Health Professionals Building in its full original scope. The University will be able to start on this right away. The plan is to have a formal groundbreaking ceremony on August 21, 2023, the same morning of Convocation. Construction will begin right away.

Tuition: University President Licari reminded us that last year the State invested in higher education so that we did not have to raise tuition. He said that this year the Commissioners will meet in May to set the tuition increase range. This binding range is what APSU will have to work within. We cannot go beyond that set range. Enrollment will also contribute to the budget numbers.

Positive Outcomes: University President Licari let us know about the good things that are happening in Tennessee. He said that the Local Governed Institutions (LGI) presidents and the University of Tennessee (UT) presidents did not have much interaction with each other. For example, these bodies did not have meetings or work collaboratively together. University President Licari said the communication is much better now. He said the presidents are meeting regularly. They even have breakfast before THEC meetings, share phone calls, and are uniting to market the value of higher education and going to college.

Vice President for Student Affairs Search: University President Licari said the search process is in its final stages. He said the candidates are coming to campus and once that is over the Search Committee should be able to meet and forward their recommendations to him and then he will be able to make a decision by the end of next week.

Govs Give and SHAPE Campaigns: University President Licari thanked the faculty for helping to exceed their goals in these campaigns. He thanked the faculty for their commitment and investment in APSU students.

Questions:

Q: What is the plan to get us meaningful salary increases at the price of inflation?

A: We have the 5% salary pool. The State pays about half and APSU must come up with the other half. We will stick to that 5%. Some of the other universities are not sticking to the 5%. They are staying at 2% to 2½%. APSU is investing in a salary study for the entire university.

Motion to extend time 2 minutes made, seconded, and passed to allow for additional questions and comments

Q: Will there be any changes to the Tennessee Promise as tuition is raised?

A: No, I have not heard of any changes to the Tennessee Promise.

5. University Provost Dr. Maria Cronley (7 minutes)

Provost Cronley reported that the University College has been approved by both the Board of Trustees (BOT) and THEC. She said she is in the process of interviewing candidates for the University College Dean's position. Provost Cronley hopes to make a decision, with a formal announcement, soon. She said the University College will officially launch in August.

Recruiting and Admissions: Provost Cronley said we do not know about our ultimate number until census day. She said that APSU's FASFA and housing numbers are up over last year this time; however, the overall applications are down. They have been down all year. She said they are down across the state because college going rates are down. Provost Cronley explained that the top of our funnel is down, but some of our yield activities seem to be up. She also said the first GO was very successful. There were over 260 families that came to the first GO and we have over 1,100 students signed up to attend the orientation session. She said APSU's goal is to get 1,800 students participating in an orientation by August 1, 2023.

Learning Resource Center (LRC): Provost Cronley gave an accolade to the LRC staff and students. Dr. Nancy KingSanders provided statistics that Provost Cronley presented to the faculty. She said that during the spring semester the LRC completed just shy of 1,500 tutoring sessions. Last year for the entire academic year the numbers were at 1,468 sessions. Therefore, the LRC has more than doubled the amount of tutoring sessions for our students. The Faculty Senate applauded this news.

6. Diversity, Equity, and Inclusion (DEI) Highlights (10 minutes)

LaNeeça Williams greeted the Faculty Senate and thanked Senate President Scanlan for taking the lead in making sure that DEI had a platform for faculty at APSU. LaNeeça said Senate President Scanlan ensured there was a ten- to fifteen-minute session at each Faculty Senate meeting. This gave the faculty an opportunity to hear from different representatives from across campus so they could share their DEI initiatives. LaNeeça reinforced how important this platform is because it allows us an opportunity to connect and to celebrate others through communicating things that are important to so many members of our campus community. LaNeeça reported that she is not doing this work alone. She said they have had a record number of applicants who have applied for and

been approved for access and diversity funding to implement these initiatives that are important to all areas. They funded 21 events, 19 have already presented to our campus community. LaNeeça said they have had conversations around diversity offered on campus. *DiversiTEA* was launched during this semester where pop-up sessions happened and there was a breakfast. LaNeeça shared her goals for the next academic year. She wants the faculty to continue to understand and develop an inclusive excellence network, and continue to provide training opportunities for faculty and staff. LaNeeça shared how many people it takes to investigate and that her office cannot do these things without help. She wants her office to provide inclusive leadership to campus and bring in the local community. She wants to increase cultural intelligence and empathy on campus. Her office is working on opportunities to teach inclusive language and what it looks like and how faculty can use this in their courses. LaNeeça ended by letting us know the name of the Office of Equity, Access, and Inclusion and her title will be changing their title over the summer but LaNeeça said she will be doing this work.

Comment: Faculty Trustee Elaine Berg thanked LaNeeça from the bottom of her heart and from everyone in the room for being here and doing this difficult work. The entire Faculty Senate gave LaNeeça a huge round of applause.

7. Reports from University Committees

a. University Curriculum Committee (UCC) Report, UCC Representative Kristen Butler (5 minutes)

UCC Representative Butler thanked Past President Semler for pulling the UCC Report up, and she let everyone know the report is posted on the Documents for Review page [[See Appendix B](#)]. She said there were a few housekeeping items that she wanted to share with us:

- Health and Human Performance (HHP) is requesting to undo the change to the Sport and Wellness Specialist Concentration in BS HHP due to some unforeseen consequences;
- The BUS 1000-4999 was inadvertently listed in the Complete 12 hours forms instead of in the Complete 24 hours forms, and this will be corrected;
- LING 2020 was not approved by the UCC, but will move on to the Provost.

Questions:

C: The CHIN 1010 course should be CHIN 1020.

b. Provost Council Report (PCR), Provost Council Representative Alex King (5 minutes)

Senator King presented his report [[See Appendix C](#)] and said the Provost Council met on April 26, 2023 and reviewed six policies that the Faculty Senate had already reviewed. The following three policies passed without any comment:

- APSU 2:042 Allocation and Recruitment of Faculty
- APSU 2:060 Indirect Cost and Salary Recovery
- APSU 2:063 Policy on Academic Promotion

The following three policies passed without modification, but notes were made for future edits:

- APSU1:025 Policy on Academic Tenure – There was a concern with the wording. The Provost made a note to clarify the language the next time the policy is reviewed regarding the promotion to Professor so it will not look like an action is required every five (5) years.
- APSU 2:059 Sponsored Research Incentive Program – There was a suggestion to review the indirect allocation distribution for incentives and the possibility of merging policies APSU 2:059 and APSU 2:060 in the future.
- APSU 2:064 Credit Hours – There was concern about removal of the specific number of minutes per term per credit. It appears to raise the standard from 750 minutes/term/credit. Additionally, the Provost said a credit hour ad hoc task force may be re-formed to revisit the policy next year.

Old Business:

1. RTP P&G Committee – Dr. Uma Iyer (10 minutes)

Dr. Iyer quickly reviewed that Faculty Senate had already approved the content changes to the document. To make the document easier to read, the RTP P&G Committee compressed the RTP P&G document [[See Appendix D](#)] from 70 pages to 35 pages. She ensured the faculty that nothing was deleted or removed from the document.

Here are the three (3) changes to the RTP P&G Document:

- Promotion to associate professor is together with tenure: The Committee wrote the language to match the policy.
- Removed the second-year retention review: The Committee again just matched the language to the policy.
- Reflected changes to the presiding official role.

Examples of reorganization of content:

- Overview – Page 3
- Candidate and Departmental Responsibilities – Page 5
- Required Materials to Include in your e-Dossier (old organization of materials) – Page 7
- Composition of Review Committees – Page 17
- RTP Review Procedures – Page 19
 - (old) “General Organization and Procedures for Personnel Committees”
 - Documents Not Ordinarily part of eDossier Content Requirements – Page 23 and Placement – page 25
 - Who signs the reports? – Page 28
- Formal Appeals and Informal Optional Written Responses – Page 31

Motion to extend time 5 minutes made, seconded, and passed to allow for additional questions and comments

Questions:

C: We are being asked to vote on a document without being able to see the original markup. That can be uncomfortable.

C: We have the original document and can share it with you. We approved these changes and now are voting on the document to move it up or down.

C: This is a really important document that we need to see before voting on it.

C: We discussed this at the last meeting and showed the markup in red, blue, and green. We decided with the amount of colors and changes to the document, it would be condensed into a new document. We are voting on the entire document, not on every change to the document.

Motion to extend time 5 minutes made, seconded, and passed to allow for additional questions and comments

The document that was shared at the March 16, 2023 meeting was shown to the Senators.

C: There are no major substantive changes to the document.

Motion to approve the RTP P&G document made, seconded, and passed

2. *Faculty Handbook* – Dr. Kathryn Woods (10 minutes)

Faculty Handbook Chair Dr. Woods provided an overview of the changes to the *Faculty Handbook*. [See Appendix E] She pointed out the *Faculty Handbook* defines what an FA, FN, and F mean and how it needed to match the *Bulletin*. She presented the new examples that have been included under each of the definitions.

Questions:

C: I'm really excited about the examples that have been included. I'm feeling like some of us may have been doing it wrong.

Q: The idea of a committee reviewing or assigning a grade is a little unsettling. What is the rationale with the committee? Would faculty have any say in the grade?

A: We have had students with double digit Ws so we are trying to limit this if the student is not passing the course. We want to connect them with helpful resources earlier so getting a W is not their option.

Q: Do you feel that we should have something in this section that says, "in consultation with the instructor?"

Motion to extend time 5 minutes made, seconded, and passed to allow for additional questions and comments

C: The final grade rests with the faculty member.

Q: What is the purpose of this committee if they are just making a recommendation?

A: We want to make it a little harder to get a W - not just automatically. It also helps the faculty member follow the financial aid directive so we don't get in trouble.

Friendly amendment made, seconded, and passed that the *Faculty Handbook*, page 24, under Grades Awarded for Dropped Course should be revised as follows:

“The request will be routed to the Enrollment and Student Achievement Committee to make a recommendation to the instructor of record who will make the final determination of awarding the student a W or F for the course(s).”

3. Faculty Senate Constitution Amendment Progress– Faculty Senate Vice President/President Elect Soma Banerjee (5 minutes)
Faculty Senate Vice President/President Elect reported on the vote for the Faculty Senate Constitution Amendment. He said as of Wednesday, April 26, 2023, there were:
 - 248 YES votes
 - 27 NO votes
 - 9 ABSTAIN votes

For this Amendment to pass, there needs to be 2/3rd of the entire faculty (not just Faculty Senators) voting in favor, which is 266 of the 399 faculty members.

New Business:

1. Faculty Senate Slate of Officers Presented (10 minutes)

Senate Past President Jane Semler, on behalf of the Slate of Officers Nominations Committee (Notashia Crenshaw-Williams, Jane Semler, and Bing Xiao), presented the slate of officers. Past President Semler thanked the Committee for meeting numerous times during the semester and she thanked the faculty who agreed to be nominated. The Committee set goals in creating the Slate of Officers. There needed to be as much representation from as many colleges across campus as possible. They wanted to have different levels of faculty from junior faculty to those with institutional knowledge to be represented. They wanted candidates to have a strong voice to represent everyone. Here is the Slate of Officers:

- *President: Soma Banerjee
- Vice President/President Elect: Osvaldo Di Paolo Harrison
- Secretary: Mahesh Pallikonda
- Treasurer: Brandon Di Paolo Harrison (Cheryl Lambert)
- Member at Large: John Blake (Allen Chaparadza)
- UCC Rep: Philip Elike (Manisha Gupte and Tasha Ruffin)
- Provost Council Rep.: Lisa Barron (Mickey Wadia)
- *Faculty Trustee: Jane Semler
- *Past President: Perry Scanlan

Note: Names in parenthesis were not selected for the slate. * These offices are not included for the May 4, 2023 election.

Procedures: Nominations will be accepted from the floor. Once the nominations for each office are closed, there will be no more nominations accepted. You can self-nominate.

The voting members are all Senators whose term expires in 2024 or later. This includes our newly elected Senators. If you are rolling off Faculty Senate in 2023, you will not get to vote in this election. All candidates and contested elections will be allotted up to two minutes for an oral presentation. Votes will be cast by paper ballots. All names that have been presented today will appear on the ballots. Offices with a single nominee will be approved by acclamation. If there are more than two candidates for an office, and no candidate receives more than 50% of the votes, there will be a runoff between the top two candidates. If there is a tie between the candidates receiving the second highest number of votes, we will have a runoff election to determine who is the second highest. Then, we will have a second runoff election between the top two. Past President Semler will email the new Faculty Senators.

2. Policies (Info Items – 5 min)

a. 1:025 Policy on Academic Tenure

Senate President Scanlan reviewed the changes to the policy [See Appendix F]. There were word changes such as adding “RTP” in place of “Tenure.” On page 4, the words, “beginning in their second year” was added because we removed the first year. It was suggested that on page 9 under “Criteria to be Considered in Tenure Recommendations,” “Overview,” to add Austin Peay State University to the following:

- Retention: since initial appointment at Austin Peay State University
- Tenure: since initial appointment at Austin Peay State University, and
- Promotion: since initial appointment at Austin Peay State University or the date of last promotion, whichever is the more recent.

Friendly amendment made, seconded and passed to approve this policy with the addition of Austin Peay State University on page 9, under “Criteria to be Considered in Tenure Recommendations,” “Overview” to each Retention, Tenure, and Promotion

b. 2:066 Faculty Discipline and Performance Improvement Policy

Senate President Scanlan reviewed the changes to the policy [See Appendix G]. There were non-substantive edits made to the policy such as adding “e-Dossier” and updating the links at the bottom of the policy.

Motion to approve the changes to APSU Policy 2:066 made, seconded, and passed

Adjourn: 4:44



March 15, 2023

Dear Staff Service Award Committee Members,

Please accept this nomination for Gena Shire, the Academic Assistant to the Chair in Art + Design, for the prestigious Staff Service Award. Gena has served the university well since 2003 and the Department of Art + Design since 2007.

She has always put the good of the department ahead of the need of the individual. Her work responsibilities are greater than that of many other departments on campus because of the nature of Art + Design. For example, our student course fees are spent to purchase course materials and Gena plays a vital role in that record keeping and work preparing shopping carts in Govs e-shop. Additionally, she knows how to find all of the necessary data reports to complete the HEAD Survey for our outside accreditation agency. She sees this extra work as a source of pride, and budgets her time to complete these tasks ahead of schedule and with expert precision.

Gena assists energetically in achieving the goals and objectives of Art + Design. She does this by remaining flexible in her daily interactions with faculty, staff, and students. She has built relationships with staff across campus, and I rely on her relationships in the Offices of IT, Human Resources, Physical Plant, Purchasing, and Academic Affairs to expeditiously resolve any issues when they arise. Oftentimes, staff across campus will move us up on the list because they have always had a positive interaction with Gena.

Gena demonstrates initiative in anticipating deadlines. She knows when tasks need to be completed, and is able to reverse-engineer those deadlines to know what tasks need to be completed leading up to them. For our sophomore Portfolio Reviews, she will often send me reminders about sign-ups and posters and announcements ahead of when I would have started working on these tasks. Because of her initiative and ability to see problems from all perspectives and possible outcomes, Academic Affairs, Registrar's Office, and IT will often ask her to serve on training committees and to pilot new systems, processes, and programs because she will find the limitations and report those with clarity to ensure the final result is a better version.

Gena is proactive in support of Art + Design and this has been on full display in the 2022-23 academic year. In August 2023, Gena was diagnosed with cancer and was on medical leave of absence at the start of Fall semester. Despite the frightening news of her diagnosis, Gena anticipated all of the needs of the department ahead of her leave and put new systems in place to ensure the work could be covered. For example, the work she does in Govs e-shop could not be picked-up by me because I need to approve the expenses. So she worked with Purchasing to get a faculty member trained as an approved "shopper" so that the student supply purchases would continue uninterrupted. She also preloaded all of the classroom access codes for Fall 2023 students, and set-up Andy Kean to work directly with me for any additions or deletions from classroom access lists (because another admin would not have Art + Design Building access in the system). She provided me with a comprehensive list of potential problems and solutions ahead of her medical leave and we managed this time without her because of her very active preparation ahead of time.

ART + DESIGN

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Gena exceeds expected performance as Academic Assistant to the Chair by anticipating the needs of the department and going above and beyond to ensure those needs are met. Much of the success of Art + Design is due to the incredible support of Gena Shire. She has tremendous institutional knowledge and makes it her mission to stay atop of any policy or procedural changes. Getting through Fall without her, and through most of spring with her working from home has demonstrated how much she does for the department, and has fostered our feeling of gratitude for it.

Gena is courteous in demeanor and consistently strives to enhance the public image of the university. If a student or community member comes to the office and is in the wrong place, Gena will take the extra step of calling the right office before sending the individual over. This makes sure that they get to the right place, and their need is resolved as efficiently as possible. When interacting with faculty and staff, Gena treats each person as an individual she wants to know. They receive her attention, they receive her assistance, and they receive her kindness.

It is without reservation that I nominate Gena Shire for the Staff Service Award. She is very deserving of it and this nomination is the least I can do in showing appreciation and gratitude for her tireless and dedicated service to Art + Design and Austin Peay State University.

If you have any questions about this letter, please do not hesitate to email me at morrisa@apsu.edu.

Thank you,

Dr. Tony Morris

Department Chair and Author of this letter

SCOTT RAYMOND

McLean Farnestock

Amir Aghareb

Tamara Smithers

RACHEL BUSH

Paul Collins

BILLY RENKL

March 15, 2023

Austin Peay State University Faculty Senate
Staff Service Award Selection Committee
601 College Street
Clarksville, TN 37044

Dear Selection Committee:

We write with great enthusiasm to nominate Ms. Gena Shire-Sgarlata for the annual APSU Staff Service Award. The Department of Art + Design is a wonderful place to work because of the many talents of Ms. Shire-Sgarlata. She has been with our department for sixteen years and throughout that time she has consistently demonstrated organization skills of the highest order, conveyed expertise in the ever-changing world of university policy, and efficiently ensured that the faculty and students in our department had everything they needed to succeed. Add to this her supportive attitude, thoughtfulness, and sharp sense of humor, and you will find a person exceedingly worthy of the Staff Service Award.

When our faculty run up against complicated situations or procedures, Gena patiently helps us navigate our way towards a solution. Never known to rest or wait around, she is often proactive in avoiding difficulties ahead of time when it comes to course scheduling, addressing concerns with classrooms or technology, or preparing for the numerous special events we have in our department in order to get issues resolved early. Gena is the perfect embodiment of putting the good of our department above all else based on her professionalism and her commitment to our success.

Gena exceeds deadlines, always knows the right person to reach out to on campus when clarification is needed, and is just plain fun to work with! She goes above and beyond what is expected of her position and is respected by everyone in the department. She has proudly served our department and, for 20 years this coming August, our university. Some specific examples of how Gena excels in this position are:

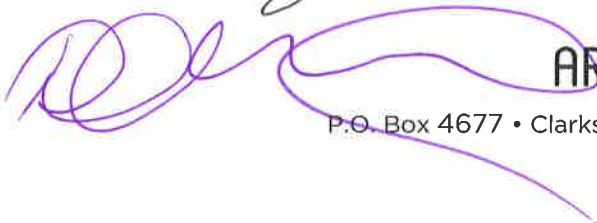
- Gena runs the organization and scheduling of our semesterly Student Portfolio Reviews. Her organization and efficiency helps this event run in a consistently smooth manner.
- Gena effectively trains our student office aids every semester, cultivating a culture of professionalism. This has lead to office aids returning to their positions within our department for multiple semesters in a row on numerous occasions, contributing to the stability of day-to-day operations within our department.
- Gena eagerly seeks to help faculty submit travel expenses and quickly jumps in to help when issues arise.
- Gena demonstrates a deep knowledge of the university policies and procedures, and guides us accordingly.

It is impossible to describe all of Gena's achievements in a one-page narrative, but she is appreciated by our department in so many ways. In our opinion, she rises to the top, above all others, in terms of her service. She is a great communicator and problem-solver who plays an essential role in the smooth operations of our department. Gena is truly deserving of recognition as a Staff Service Award recipient.

Respectfully,



Rachel Bush



ART + DESIGN

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University Curriculum Committee Report (April 10, 2023)

Faculty Senate Meeting – April 27, 2023

Information Items: None

Old Business—House Keeping

- Sport and Wellness Specialist Concentration in BS HHP
 - Previous proposal moved HHP 4300 (Introduction to Stress Management) and 4080 (Human Sexuality) from required to Group 2 Electives under a pick 3 option. Due to some unforeseen consequences, the department is now seeking to undo this change and move HHP 4300 and 4080 to required and change Group 2 Electives to a complete one from.

- Survey or Organizational Administration and Supervision Concentration in BS General Studies.
 - The BUS 1000-4999 was inadvertently listed in the Complete 12 hours from instead of Complete 24 hours from. This is to serve as notification that this will be swapped so as to not interfere with the AACSB accreditation.

Consent Agenda Items

All items were approved by the University Curriculum Committee. All items require final approval by the Provost/SVP Academic Affairs.

Action	Description	Implementation Date
Course Title Update	<ul style="list-style-type: none"> ● ART 2170 – Video Art I <ul style="list-style-type: none"> ○ Updating course name from Digital Media I to Video Art I ● ART 3170 – Video Art II <ul style="list-style-type: none"> ○ Updating the course name from Digital Media II to Video Art II ● CRJ 5230 – Graduate Criminal Justice in Popular Culture <ul style="list-style-type: none"> ○ Adding Graduate to the course title so as to not have duplication of course title. ● CRJ 5900 – Graduate Directed Individual Study <ul style="list-style-type: none"> ○ Adding Graduate to the course title so as to not have duplication of course title. ● ENGL 2070 – Introduction to History and Theory of Film <ul style="list-style-type: none"> ○ Updating course name from Introduction to Film Studies to Introduction to History and Theory of Film. 	Spring 2024
Course Deletion	<ul style="list-style-type: none"> ● ART 410A-W and 410Z – Topics in Studio Art <ul style="list-style-type: none"> ○ Deleting courses with duplicate titles. The Art department will utilize ART 410X as the Topics in Studio Art course. 	Spring 2024

Course Pre-Requisite Update	<ul style="list-style-type: none"> • Removing ART 1070 (Electronic Imaging) or permission of instructor. <ul style="list-style-type: none"> ○ Adding ART 2170 (Video Art I) 	Spring 2024
Course Credit Hour Changes	<ul style="list-style-type: none"> • CHIN 1010 – Elementary Chinese I <ul style="list-style-type: none"> ○ Updating the course credit hours to 3 to align with the reduction in other Foreign Languages when added to the core. • CHEM 1020 – Elementary Chinese II <ul style="list-style-type: none"> ○ Updating the course credit hours to 3 to align with the reduction in other Foreign Languages when added to the core. • JAPN 1010 – Elementary Japanese I <ul style="list-style-type: none"> ○ Updating the course credit hours to 3 to align with the reduction in other Foreign Languages when added to the core. • JAPN 1020 – Elementary Japanese II <ul style="list-style-type: none"> ○ Updating the course credit hours to 3 to align with the reduction in other Foreign Languages when added to the core. • KOR 1010 – Elementary Korean I <ul style="list-style-type: none"> ○ Updating the course credit hours to 3 to align with the reduction in other Foreign Languages when added to the core • KOR 1020 – Elementary Korean II <ul style="list-style-type: none"> ○ Updating the course credit hours to 3 to align with the reduction in other Foreign Languages when added to the core. 	Spring 2024

Action Agenda Items

General Education Core Additions

1. CHEM 1050/1051 – Chemistry for Everyone with lab
 - a. A course designed for non-science majors. Topics may include chemistry in social media, kitchen chemistry, forensic science, medicines, poisons, environmental chemistry, nutrition, debunking, pseudoscience and current hot topics in chemistry.
 - b. **Notes/Comments:**
 - i. *Approved.* No representatives from STEM; previously discussed and entertained questions. Plan to offer potentially in the fall 2023 semester.

2. LING 2020 - Dialects of English

- a. As elaborated in the syllabus (see subsections of the semester overview on p. 6), the course relates to skills in: linguistics (dialect differences occur at the level of sounds, words, sentences, and meanings), geography (e.g. New Yorkers have a sound that is distinct from Tennesseans; or where Germans settled in the U.S., there are different grammar constructions from where the Scots-Irish settled), sociology (there are dialect difference based on ethnicity, socioeconomic status, level of education, gender, etc.), and history (older speakers do not speak similarly to younger speakers; or dialect features like “a comin” are actually retentions from Middle English, which used ‘on coming’). In short, the skills are extraordinarily broad and interdisciplinary, even though the topic of dialects may seem narrow to some. Dialects simply offer a nice way to frame the broad array of content that pertains to the behavioral science core.
- b. Whether y’all drink pops or sodas, or reckon that indubitably is an every-day word, the way we speak reveals an awful lot about us: our home base, educational background, social affiliations, and much more! This course explores as a social science such details in English varieties spoken across the globe.
- c. **Notes/Comments:**
 - i. First read and information item at last meeting.
 - ii. Original motion: yes: 3; no: 7; abstain: 1
 - iii. *Not Approved* by UCC; moves to Provost for final decision/approval.

All items noted below were approved by the University Curriculum Committee. Department representatives provided context, with committee members and representative discussing items as needed for clarification. Final approval required by the Provost/SVP Academic Affairs.

Dept./Rep.	Action	Description	Implementation Date
College of Arts and Letters			
Department of Communication – Jasmine O’Brien	Undergraduate Program Modification	Communication Media, B.A. and B.S. <ul style="list-style-type: none"> • Removing the minor requirement to align with a previous Provost initiative. 	Fall 2023
		Professional Communication, B.A. and B.S. <ul style="list-style-type: none"> • Removing the minor requirement to align with a previous Provost initiative. 	Fall 2023
Department of Languages and Literature – Osvaldo Di Paolo	Undergraduate Program Modification	Film Studies Minor <ol style="list-style-type: none"> 1. Restructuring the minor by combining ENGL 460K (History of Film) and ENGL; 2070 (Introduction to Film Studies) into one course (Introduction to History and Theory of Film). 2. Adding three different Tracks for the minor: Critical Film Studies, Applied Film Studies, and Comprehensive Film Studies). 	Fall 2024

College of Behavioral and Health Sciences

Department of Leadership – William Rayburn	Undergraduate Program Modification	<p>The below modifications will allow students to change out two courses within the major, replacing with Leadership oriented courses: Leadership Science, B.S.</p> <ul style="list-style-type: none"> • Adding LDSP 2100 (Foundations of Leadership) to the major core. <p>Leading Operations concentration Leadership Science, B.S.</p> <ul style="list-style-type: none"> • Removing LDSP 3010 (Management in Organizations) and 3020 (Managing Information Technology) as concentration requirements • Adding LDSP 4200 (Leadership, Technology, and Change) <p>Leading People concentration Leadership Science, B.S.</p> <p>3. Removing LDSP 2100 (Foundations of Leadership) as a concentration requirement. This is being moved to a core major requirement.</p>	Fall 2023
		<p>Leadership Science Minor</p> <ul style="list-style-type: none"> • Updating the minor to only have one required course, LDSP 2100 (Foundations of Leadership) and 15 hours of electives for more flexibility in completion. 	Fall 2023

Martha Dickerson Eriksson College of Education

Educational Specialties – Dr. Andrea Lee	Graduate Program Modification	<p>Nurse Educator concentration Ed.D. Educational Leadership</p> <ul style="list-style-type: none"> • Adding a fourth option, NURS 6650 (Advanced Clinical Decision Making), to fulfill the 9 hour concentration requirement. 	Fall 2024
		<p>Educational Leadership Studies, M.A.E.D.</p> <ul style="list-style-type: none"> • Removing the EDUC 5612 (Computers for School Administrators) and adding EDUC 5714 (Schoolwide Interventions and Inclusive Practices). 	Fall 2023

Provost's Council Report

April 26, 2023

9:00 a.m.

Iris Room

Policies passed without discussion:

2:042 Allocation and Recruitment of Faculty

2:060 Indirect Cost and Salary Recovery

2:063 Policy on Academic Promotion

Discussion of 1:025 Policy on Academic Tenure:

- Concern was expressed that the wording regarding promotion to Professor is slightly odd — seems to require an action every 5. It was noted that University practice has always been that written notification required when faculty member wishes to seek promotion. No changes were suggested; Provost promised a note for it's next review. Policy passed without modification.

Discussion of 2:059 Sponsored Research Incentive Program:

- Suggestion made that indirect allocation distribution for incentives be reviewed. Policy committee to take that up next year. 2:059 & 2:060 might be merged in the future. Policy passed without modification.

Discussion of 2:064 Credit Hours:

- Concern was expressed about removal of specific number of minutes per term per credit – beneficial to be able to map individual assignments to an amount of time; new policy seems to raise standard from 750 minutes/term/credit .
- Changes reflect DoE guidelines. Audit revealed that number of hours per credit varied wildly within individual departments. Proposed language reduces concerns about being able to document meeting specific number of minutes for SACS-COC. Provost indicated that the Credit Hour ad hoc task force may be re-formed to revisit the policy next year. Policy passed without modification.



Retention, Tenure, and Promotion Procedures and Guidelines
Issued: Month ##, 2023
Academic Affairs

Introduction

The following Retention, Tenure, and Promotion (RTP) Procedures and Guidelines of Austin Peay State University (APSU) apply to all tenure-track and tenured faculty within the University. These procedures and guidelines embody and communicate all provisions, definitions, and stipulations of Austin Peay State University policy.

Integrity and honesty by the faculty member and all review committee members including Chairs, Deans, Provost, and President in the RTP process is of utmost importance. It is incumbent upon the faculty member applying for RTP to review all documentation submitted within the electronic dossier (e-dossier) or any accompanying information and attest to its accuracy and truthfulness. All levels of review have the onus of verifying the information or documentation submitted. Any questions, documentation, or additional information discovered at any point in the RTP process related to the applicant’s integrity or truthfulness can be considered by the appropriate review level throughout the entirety of the RTP process.

Table of Contents

Consideration for Tenure 3
Who Awards Tenure at APSU 3
Calendar for Faculty Personnel Actions 3
Criteria to be Considered in Tenure Recommendations 3
Overview 3
General Criteria for Evaluation of Faculty Members 3
Departmental Criteria for Retention, Tenure, and Promotion Actions 4
Applying for Tenure 4
Faculty Awarded Years Toward Tenure 5
RTP Process Overview 5
Candidate & Departmental Responsibilities 5
Review Levels 6
Option to Withdraw an e-Dossier during a Promotion to Professor Review 6
The E-Dossier 7
Preparing Your e-Dossier 7
Required Materials in your e-Dossier 7

Application of Years Toward Tenure and of Work Accomplished at APSU	13
Storage of e-Dossiers	13
<i>Enhanced Peer Review of Teaching</i>	14
<i>Composition of Review Committees</i>	17
For All Committees	17
Department Committees	17
College Committees	18
The Departmental Representative to the College Committee.....	19
<i>RTP Review Procedures</i>	19
Confidentiality of Meetings.....	19
Evaluation of Materials	19
Informing Committees of Years Toward Tenure & Reviewing Past Productivity	19
Irregularities in Research, Scholarship, and/or Creative Activities	20
Recusals.....	20
Directions for Convening RTP Meetings	21
Selection and Role of the Presiding Officer in RTP Meetings.....	21
Option to have Presenters for e-Dossiers at the College Level	22
e-Dossiers Deemed Incomplete.....	22
Unlocking an e-Dossier Deemed Incomplete at the Departmental Level	22
e-Dossier Deemed Incomplete After Departmental Level Vote	23
Documents Not Ordinarily Part of e-Dossier Content Requirements	23
Placement of Documents Not Ordinarily Meeting e-Dossier Content Requirements	25
Guidelines for Voting, Recommendations, and Reports.....	26
Tie Vote	27
Majority and Minority Reports	27
Who Signs Reports?	28
<i>The RTP Appeals Board</i>	28
Overview and Objectives of University RTP Appeals Board	28
Composition of University RTP Appeals Board	29
Steps in the Process for Filing an Appeal with the RTP Appeals Board	30
<i>Formal Appeals and Informal Optional Written Responses</i>	31
<i>Calculating the Probationary Period</i>	32
Approved Leave of Absence	32
Stopping the Tenure Clock	32
Clarification of evaluation procedures during leaves of absence and stopped tenure clocks.....	33
<i>Procedures for Revision of Departmental RTP Criteria</i>	33

Caveats..... 34
Links 35

CONSIDERATION FOR TENURE

Who Awards Tenure at APSU

Tenure is awarded only by positive action of the APSU Board of Trustees, pursuant to the requirements and procedures of this policy at APSU. The President has the authority to recommend tenure or to continue faculty members in probationary status.

Calendar for Faculty Personnel Actions

Current reports/recommendations of all personnel actions made at every level shall be available to the faculty member, departmental chair/director and Dean on a timetable consistent with the Calendar for Faculty Personnel Actions. The Calendar for Faculty Personnel Actions is established and prepared by the Provost. All departmental and college-level reviews occur in the fall semester. Any questions concerning adjustments to the established dates on the calendar shall be addressed by the Office of Academic Affairs.

CRITERIA TO BE CONSIDERED IN TENURE RECOMMENDATIONS

Overview

Faculty members shall be evaluated for retention, tenure, and promotion in the areas of academic assignment, scholarly and creative activities, and service.

Retention: Since initial appointment at Austin Peay State University and including year-to-year activity in the three areas under review;

Tenure: since initial appointment at Austin Peay State University; and

Promotion: since initial appointment at Austin Peay State University or date of last promotion at Austin Peay State University, whichever is more recent.

General Criteria for Evaluation of Faculty Members

1. Teaching Effectiveness;
2. Effectiveness in other academic assignments, including student advisement, as well as departmental and program administrative assignments;
3. Research, scholarly and creative activity;
4. Professional degrees, awards, and achievements;
5. Professional service (may include institutional committee assignments) to the University, the community, and the State or Nation;
6. Activities, memberships, and leadership in professional organizations;
7. Evidence of continuing professional development and growth; and potential for contributions to the objectives of the department and the University; and

8. Demonstrated willingness and ability to work effectively with colleagues to support the mission of the institution and the common goals both of the institution and of the academic organizational unit; and evidence of, regard for, and performance consistent with, accepted standards of professional conduct.

For convenience and further clarification, APSU groups these criteria into three general areas of evaluation: Effectiveness in Academic Assignment; Scholarly and Creative Achievement; and Professional Contributions and Activities.

See policy 1:025 for Effectiveness in Academic Assignment

See policy 1:025 for Research/Scholarship/Creative Activities

See Policy 1:025 for Professional Contributions and Activities

Research and scholarly and creative activities are important to the University's role in society. Clear evidence of the quality of work shall be a part of every evaluation.

Departmental Criteria for Retention, Tenure, and Promotion Actions

Faculty under review shall adhere to the RTP criteria in place for the current review cycle. Departmental review committees, chairs, directors, college committees, and deans shall evaluate candidates based on approved departmental RTP criteria.

APPLYING FOR TENURE

Faculty members without years toward tenure shall apply for tenure in their sixth year. However, the faculty member may apply for tenure during the fifth year probationary period under extraordinary circumstances with written permission of the President for an exception to the normal six-year waiting period. Faculty members who are denied tenure will receive a notice of non-renewal from the President. Any faculty member denied tenure in the tenure process may not re-apply for tenure but is provided a final year of employment.

Faculty members who apply for tenure while they are in the fifth year probationary period shall submit in writing a substantive narrative rationale, aligned with published departmental criteria, to accompany the application no later than ninety (90) business days before faculty begin updates to the e-dossier as prescribed in the Calendar for Faculty Personnel Actions.

If the President allows the exception, they will forward the full request (including the written narrative rationale) for the APSU Board of Trustees' consideration and determination. In no way shall the President's written approval permitting the exception to apply for tenure in the faculty member's fifth year be construed by any personnel committee to be a guarantee that the faculty member's application for tenure will be successful. That determination is made by the various levels of review within the normal RTP review process currently in place at the University. If the faculty member is denied tenure during the fifth year, the faculty member may not re-apply for tenure but shall be provided a final year of employment.

The approval letter from the President shall be included in the faculty member's e-dossier. The faculty member's statement of intent shall *clearly reference the exception to the normal six-year probationary period* prior to application for tenure. If the President does not allow the exception, copies of such letters shall be provided to the faculty member, their Chair, the Dean of their college, and the Provost.

Faculty Awarded Years Toward Tenure

When a faculty member receives years toward tenure upon appointment, the rationale for awarding years toward service must be included in their letter of appointment. Additionally, the appointment letter shall inform the faculty member that year(s) given toward service will be applied at the front of their contract and indicate that their first personnel review, which will occur in their second year of service, will include these years. For example, a faculty member who receives two (2) years toward tenure will be apprised that their first review at APSU will be for Retention for Year 5.

RTP PROCESS OVERVIEW

Candidate & Departmental Responsibilities

- a. The departmental chair/director shall inform faculty members who are to be reviewed of the nature of materials required by the retention and tenure committee and the date by which these materials must be received for committee consideration. Faculty members under review for retention, tenure, and promotion to Professor are responsible for submitting well-organized, up-to-date, and accurate electronic dossiers (e-dossiers). This responsibility shall end upon final submission of the e-dossier by the faculty member for the year under review.
- b. The faculty member under review should seek advice from colleagues who have been through the tenure process and have personal experience with preparing e-dossiers themselves. The responsibility for complying with all the rules and regulations governing the preparation and submission of the e-dossier lies with the faculty member under review. While the faculty member may receive assistance from other individuals at the university related to the technical aspects of preparing an e-dossier, the ultimate responsibility lies with the faculty member to ensure that all links and file attachments within their e-dossier work as intended and that all required items have been uploaded correctly and are available for review by personnel committees.

Furthermore, faculty members are encouraged to work closely with their directors/chairs, assigned mentors, and/or other senior faculty within and outside of their department (as necessary) to make sure that the e-dossier complies with content and other requirements as described in the Preparing your e-dossier section of this document. In smaller departments or within departments that do not have a number of senior faculty members, the faculty member under review is strongly encouraged to seek assistance from colleagues in a related discipline or colleagues in another department of the University.

- c. Faculty members should consider the preparation of e-dossiers as a year-round process, gathering and maintaining materials accordingly.
- d. Included in the e-dossier shall be a description and a curriculum vitae of the candidate's scholarly and professional achievements. It is the candidate's responsibility to ensure that the auto-generated curriculum vitae is updated and accurate. The chair may appoint faculty to advise other faculty members in the development of their e-dossiers. Their advice should be reported to both the chair and the faculty member.
- e. Faculty members must submit an updated e-dossier for the current year's review. Activities in all the three areas of review must be updated. Faculty members who do not submit an updated e-dossier for evaluation by the appropriate retention/tenure committee

during the current review cycle shall, by the act, be considered in breach of contract, and their employment shall terminate as of the end of the academic year in which they do not submit their e-dossier. Any exceptions to this requirement must have the written approval of the President.

NOTE: This does not apply to first-year faculty as their first e-dossier will be submitted during their second year at APSU.

- f. Faculty members under review, at all times within the process, are able to access various reports generated in the e-dossier system following the APSU Calendar for Faculty Personnel Actions. It shall be the responsibility of all faculty members under review to read all reports generated in the e-dossier system to take any timely action(s) if warranted (for e.g., informal optional written responses, rebuttals, and/or appeals).
- g. Faculty who are tenured Assistant Professors shall follow all guidelines and requirements as described in this RTP P&G document as promotion to Professor for their promotion to Associate Professor.

Review Levels

Your e-dossier will go through the following levels of review, with reports/recommendations generated at each level that become a permanent part of your e-dossier:

- i. Department Committee
- ii. Department Chair
- iii. College Committee
- iv. College Dean
- v. Provost (only Retention for Year 4, Tenure, and Promotion to Professor)
- vi. President (only Tenure and Promotion to Professor)

In addition, there are opportunities for the following optional responses or reports in the process:

- Optional written responses to negative departmental or college-level recommendations.
- Formal Appeals (if any) to the University RTP Appeals Board.

Details of these options can be found in the Formal Appeals and Informal Optional Written Responses section of this document.

Note: When a department chair is being reviewed for retention, tenure, or promotion to Professor there shall be no chair's report. The chair being reviewed will have the opportunity to write an optional response to a negative departmental committee report.

This optional response should be addressed to the next level of review.

For example:

Dear College Committee,

I am responding to the negative departmental report I received. (Make your case within the optional response.)

Option to Withdraw an e-Dossier during a Promotion to Professor Review

Faculty members are permitted to withdraw a promotion to Professor e-dossier at any time and at any level during the review process. For example, if the faculty member receives a negative recommendation from the college, they may withdraw the e-dossier.

The faculty member may choose to apply for promotion to Professor at a later date. When the faculty member applies at a future date for promotion, the faculty member shall include an explanation for the missing administrative reviews from levels beyond the department. This explanation shall be included in the “Statement of Intent” section of the faculty member’s e-dossier. Faculty members are advised to read Policy 2:063 for further details on promotion and conditions under which a faculty member under review may withdraw their e-dossier.

THE E-DOSSIER

Preparing Your e-Dossier

- a. All faculty seeking retention, tenure, or promotion must complete an e-dossier.

All reviews will be conducted in accordance with the standards in effect at the time of the review. All actions are due by the close of business (4:30 p.m.) on the date specified in the Calendar for Faculty Personnel Actions. These actions include submissions of e-dossiers; notifications of retention, tenure, and promotion recommendations to candidates; and appeals of negative recommendations.

- b. Faculty preparing e-dossiers should allow plenty of time to prepare an e-dossier, especially if they are preparing an e-dossier for the first time. All supporting materials shall be a part of the e-dossier.

Faculty undergoing personnel review for retention, tenure, and promotion must read Policy 1:025, which governs tenure, as well as Policy 2:063, which governs promotion. As discussed in more detail in Candidate & Departmental Responsibilities, and also to ensure that materials are placed appropriately in the three areas of review and that credit for a certain activity is not duplicated, faculty members must consult closely with their department chair/director as well as with experienced senior members in their own department for guidance in preparing an accurate, well-organized, and up-to-date e-dossier.

- c. Faculty who wish to apply for promotion to Professor should inform their chair/director of their intent in writing in the semester prior to the one in which they will apply for promotion by the date as defined in the Calendar for Personnel Faculty Actions on the Faculty Calendar website.
- d. All documents uploaded within the e-dossier shall be PDFs. Limited exceptions for JPG or QuickTime media are acceptable within supporting materials when related to the academic discipline.
- e. Faculty members preparing e-dossiers shall include all items as provided in the e-dossier template and described in the Required Materials in your e-Dossier.

Required Materials to Include in your e-Dossier

Make your accomplishments clear by adding brief explanatory statements where needed because your e-dossier is likely to be examined by many faculty members who may not be completely familiar with your discipline. Do not assume, for instance, that colleagues outside of your department will understand the value of being nominated for the Pushcart Prize in fiction.

Your e-dossier must include the following items and must be entered into the appropriate text box or uploaded to the appropriate location in your e-dossier. The e-dossier is designed so materials will be arranged in reverse chronological order (most recent achievements/activities first).

- a. **Brief narrative statement of intent** (30 words or less). Your statement of intent should be in the form of a letter. Use “Dear Reviewers” as your salutation. Include a date, sign your name (print in text box), and add your current rank as well as departmental affiliation beneath your name. Indicate your intention clearly. You should also include the year for which you are seeking retention (e.g., third year or fourth year etc.) and the number of years awarded toward tenure and/or promotion upon hire, if any.

Example of text for *statement of intent for retention*:

“Please consider this e-dossier in support of my application for retention for a fifth year at Austin Peay State University.”

“Please consider this e-dossier in support of my application for retention for a third year at Austin Peay State University. I received two years of service toward tenure upon hire.”

Example of text for *statement of intent for tenure*:

“Please consider this e-dossier in support of my application for tenure at Austin Peay State University.”

Example of text for *statement of intent for promotion to Professor*:

“Please consider this e-dossier in support of my application for promotion to Professor at Austin Peay State University.”

- b. All e-dossiers must include the **Notice of Tenure-Track Appointment and Agreement of Employment**, that is, your contract, which includes special conditions that govern your employment such as years of prior service toward tenure and your starting salary. You may cover up the salary figure before you scan this document to upload to your e-dossier. The Notice of Tenure-Track Appointment and Agreement of Employment, that is, your contract will need to be uploaded for each review. If your contract has changed, the new contract must be uploaded in that review cycle.

NOTE: The Notice of Tenure-Track Appointment and Agreement of Employment is a legal document that, along with applicable University policies, governs the faculty member’s employment and relationship with the University.

Interpretations of a faculty member’s contract that contravene or deviate from what is explicitly stated (such as years toward tenure, requirements for promotion, and conditions governing employment etc.) are not permitted.

- c. **Details & Supporting Materials for an up-to-date vita**. The e-dossier system will auto-generate a vita report from the materials entered by the faculty member. A vita is a continuing academic record of the faculty member’s activities and accomplishments. The standard parts of your vita should include the following: your current position at Austin Peay, your prior positions,

education, scholarly/creative and professional accomplishments, and other relevant achievements. At the very minimum, your vita should be current and accurate.

Materials entered into the e-dossier system should clearly indicate specific dates of activities in the three areas under review (e.g., “presented paper at College English Association meeting in March 2020”), as well as clearly distinguish among stages of development of academic scholarship within Area II (e.g., a work in progress, article accepted, submitted to, under review, accepted by editors but needing publisher etc.). See section on Irregularities in Research, Scholarship, and/or Creative Activities for further information.

Suggested Materials for Inclusion in Your Supporting Materials

Examples of supporting materials might include copies of published articles; copies of representative chapter(s) in a book publication or the book itself; (c) copies of published essay in an anthology; (d) photographs of a painting exhibit or sculpture etc. If you are unsure of what might be appropriate, consult closely with your chair/director as well as with experienced senior faculty members in your department.

Area I:

Copies of course syllabi; representative samples of lecture notes; a few selected PowerPoint presentations; sample of graded work, and/or other appropriate teaching materials. As appropriate these should be uploaded to the specific course in the Scheduled Teaching area of the e-dossier system.

Area II:

Copies of articles in journals. If a book, include copies of relevant chapters and pages, e.g., title page (author name must be visible) and table of contents page. If you have presented a paper at a conference, you should submit a copy of your paper and include the program schedule (highlight your name in some visible way in the program schedule).

If you are using online articles as evidence of scholarship, save the articles as PDF files and include the complete text of all articles within your supporting materials. Because hyperlinks may become broken, you must preserve copies of your online articles that support your accomplishments in Area II. These copies should contain the access date and URL.

It shall be the responsibility of a faculty member undergoing a retention, tenure, or promotion review to retain all materials (electronic or physical format) pertinent to the faculty member’s activities in the area of research/scholarship/creative activities until such time as the faculty member has attained tenure and achieved the rank of Professor. Such documents might include, among other things: (a) copies of all email exchanges between the faculty member and the editor/publisher of a scholarly journal; (b) written exchanges among multiple authors of a document; (c) written correspondence between co-authors; (d) documentation of the level of contribution by the faculty

member in a multi-authored work; and (e) notes and suggestions for revisions from editors/reviewers.

Area III:

Include evidence of your participation in the governing and policy-making processes of the University e.g., your appointment letter to a standing committee. Include information pertinent to your participation on departmental committees and leadership or advisory roles in student organizations. Include evidence of your memberships and leadership positions in professional organizations at state, regional or national levels. Thank you notes from colleagues for your service as guest lecturer in a class would be acceptable in this section.

Also include pertinent information to your service as session chair, discussant, paper reviewer, etc.

Faculty shall retain back-ups of all files and materials entered by the faculty member into the e-dossier and used in the retention, tenure, and promotion process.

- d. **A brief narrative summary of Areas I, II, and III.** Provide a snapshot summary of Effectiveness in Academic Assignment, Scholarly and Creative Achievement, and Professional Contributions and Activities. This summary should provide an overview of significant accomplishments in these areas, and it should be prepared in an organized manner for reviewers. Speak to your chair/director or senior colleague about the best format as some areas require using reverse chronology, that is, list most recent achievements and/or activities first. Your narrative may include some bullet points but should include sentences and should be no longer than the equivalent of two (2) pages when formatted as single-spaced text in a Word document. For all narratives, supporting materials should be provided in the e-dossier as detailed in the previous section (c).

Summary of Areas I-III- during Retention

If you are seeking retention, this summary shall be a narrative of the single year since your most recent personnel action.

Expanded Narratives during Retention

For each required individual description of Areas I, II, and III, (in e., g., and h. below) expand (with a reasonable level of detail) upon the information contained in your consolidated brief narrative summary. These summaries shall all be narratives of the single year since your most recent personnel action.

Summary During Tenure Year

In your tenure year, you are not required to write a separate narrative for the immediate year's activities (as you have done during previous retention cycles). During retention cycles, you were only required to provide a brief consolidated summary of activities since the last personnel review. However, in your tenure year, this summary covers all time at APSU.

Expanded Narratives During the Tenure Year

In your tenure year, for each required individual description of Areas I, II, and III, (in e., g., and h. below) expand (with a reasonable level of detail) upon the information contained in your consolidated brief narrative summary. As always, discuss the most recent year's activities first and then continue with the description of your time at APSU from the date of hire.

It is not necessary to describe in exacting detail each and every activity in which you were engaged during all time spent at APSU. You may be more effective limiting your descriptive narrative to highlights and more significant achievements. Consult with your chair, your mentor, and other senior faculty within and outside of your department as appropriate.

Summary & Expanded Narratives for Promotion to Professor

Policy 2:063: Policy on Academic Promotion: If you are seeking promotion to Professor, this summary shall be a consolidated narrative of your activities in the three areas since your last promotion. Similarly, the expanded narratives will expand (with a reasonable level of detail) upon the information contained in your consolidated brief narrative summary. If it has been longer than five years since your last promotion at Austin Peay State University, include within all narratives, information pertaining to the most recent five years or since your last promotion (at the candidate's discretion). If it has been longer than five years since your last promotion at Austin Peay, you also have the option to include student evaluations only from the most recent five (5) years in your promotion e-dossier.

- e. **Narrative Description of Academic Assignment**. Your narrative description should expand on the snapshot summary in d. above.
- f. **Teaching Philosophy Statement**. A summary of your teaching philosophy that is the equivalent of one (1) to two (2) pages when formatted as single-spaced text in a Word document. Your teaching philosophy may reflect changes from year to year.
- g. **Narrative Description of Scholarly and Creative Achievement**, including evaluations by off-campus authorities in the relevant field. Your narrative description should expand on the summary offered in d. above.
- h. **Narrative Description of Professional Contributions and Activities**, including evaluations by off-campus authorities in the relevant field. Your narrative description should expand on the summary offered in d. above.
- i. **Peer Evaluations of Teaching**. All summative reports from any peer evaluations shall be included in the e-dossier, and uploaded to the specific course in the Scheduled Teaching area of the e-dossier system. Previous peer evaluations should not be deleted from the e-dossier. Beginning in Fall 2023, faculty will need to follow the Enhanced Peer Review of Teaching section below for specific procedures for entry into their 2024-25 e-dossiers.

Note: Faculty submitting e-dossiers in September 2023 must include at least one peer review from the previous year of teaching; however, this review does not need to follow the enhanced peer review process.

- j. **All student evaluations of instruction since coming to APSU.** Do not include evaluations of study-abroad classes, APSU 1000 classes, Winter Term, May Session summer courses, or classes not routinely evaluated by the University (such as independent studies, and individual instruction).

The student evaluations shall be uploaded to the specific course in the Scheduled Teaching area of the e-dossier system.

Evaluations shall be included except for narrative comments, which must be removed. Faculty shall not extract any other sections of SurveyDIG or other survey instrument evaluations. In courses with an enrollment of fewer than 5 students at the time of evaluations, student evaluations may be included.

Faculty must provide a brief explanatory statement for courses that have not been evaluated and upload this to the specific course in place of the student evaluation.

Faculty being reviewed for promotion to Professor shall include all student evaluations of instruction for at least the most recent five-year period.

Faculty members may comment on their own student evaluations. These comments related to student evaluations shall be uploaded to the specific course the faculty members is commenting on in the Scheduled Teaching area of the e-dossier system. If a faculty member has comments regarding all evaluations these should be included in item k below.

Any Narrative Comments Written by Students Must Be Excluded from Your e-Dossier

Narrative comments written by students at the time of the regular faculty evaluation process or narrative comments from online surveys must not be included within the faculty member's e-dossier. Student comments should be used only informally by the faculty member for their assessment and/or improvement. The department chair/director shall also receive a copy of the students' narrative comments.

Learning Opportunities (APSU High-impact Practices)

Faculty who engages in activities that meet or exceed high impact practices criteria and best practices shall be permitted to include such activities toward credit in Areas I, II, or III as appropriate according to departmental criteria in the retention, tenure, and promotion process. These activities might include service learning, study abroad, internships, undergraduate research, and other high-impact practices.

- k. **Reflective narrative analysis of student evaluations.**

Student evaluations shall be used as a formative, supportive tool rather than as a criterion for evaluating faculty. Every faculty member is expected to be a reflective practitioner. Faculty will write a narrative analysis of student evaluations during the current dossier cycle. The narrative will describe opportunities for growth and future goals for Area I. There is no required length for this narrative; however, it should be concise and complete.

- I. **Prior Administrative Reviews.** Beginning in 2023 (January for first year, September for all other), these reviews will be part of the record automatically. However, faculty must include copies of all previous years' APSU personnel recommendations by departmental and college committees, Chairs/Directors, Deans, the Provost and the President. These reviews should be arranged in reverse chronological order, that is, from the most recent to the earliest review. Group these items by the calendar or academic year under review.

Note to all faculty: Do not include any annual faculty evaluation reviews in your e-dossier.

Application of Years Toward Tenure and of Work Accomplished at APSU

Beginning in Fall 2019, if past productivity and years of service are awarded at the front, then the quality of the prior work that a faculty member includes in their e-dossier must, at a minimum, meet or exceed the established standards in place as outlined in the criteria for the department's personnel actions. Past productivity in Area 2 may include work accomplished in the most recent years that correspond to the same number of years that a faculty member was awarded toward tenure and promotion. For example, a faculty member hired in Fall 2022 who was awarded two (2) years of prior credit may use prior accomplishments within the most recent two years, but that faculty member may not use work produced earlier than Fall 2020. Activities related to areas 2 and 3 shall not be considered for years toward tenure.

The faculty member who plans to include prior work completed at another institution should consult with senior departmental faculty and the chair to confirm that any prior work that is included in the e-dossier meets departmental standards and the timeline above.

To assure sustained productivity, faculty members who were hired with service years added at the front must continue to complete and demonstrate scholarly/creative activity in Area 2 for retention, tenure, and promotion during their employment at Austin Peay State University. Faculty cannot reasonably expect that they will receive tenure or promotion at Austin Peay State University only on the basis of prior work without performing some scholarly work during their time at APSU. The work performed at APSU must meet departmental standards as outlined in the criteria for APSU for retention, tenure, and promotion.

Storage of e-Dossiers

Because of record-keeping requirements, official personnel records are to be kept a minimum of seventy-five years from an individual faculty member's last date of employment in a paper or imaged format. In addition, due to the time frame in which an individual faculty member could file an EEOC complaint and/or lawsuit, an electronic dossier of any faculty member must be stored on a server or some other media for a minimum period of four (4) years from the point when the final personnel decision is made on the faculty member's status at the institutional level or at the APSU Board of Trustees level.

After the separation of a faculty member from University service and the expiration of the timeframe in which an EEOC complaint may be filed, an imaged copy may be kept in any

format compliant with federal and state record-keeping requirements. All existing paper dossiers not converted to electronic format must be maintained until converted to imaged format after the separation of the faculty member from APSU employment.

A faculty member's e-dossier that is prepared for personnel reviews is the property of APSU and shall be maintained on a server or other media. However, faculty members may save or print materials from their e-dossier. For further information about records retention see Policy 4:017 Records Retention & Disposal of Records and Policy 5:038 Personnel Records.

ENHANCED PEER REVIEW OF TEACHING

Who will be governed by the enhanced peer review process?

Starting Fall 2023, this enhanced peer review process will apply to all tenure-track faculty who will be reviewed for retention, tenure, and promotion. This process also applies to all tenured faculty seeking promotion to Professor.

Note: This enhanced peer review process will not apply to any fully ranked tenured faculty or non-tenure-track faculty.

Number of Enhanced Peer Evaluations Required

- Each *tenure-track* faculty member shall receive a minimum of two enhanced peer evaluations during any RTP cycle.
- Each *tenured* faculty member who will be reviewed for promotion to professor shall receive a minimum of two enhanced peer evaluations within one year before the e-dossier is due for a promotion review.

Faculty who will be reviewed may choose to include additional enhanced peer evaluations beyond the minimum requirements of two peer evaluations within an RTP review cycle. If a faculty member has requested additional peer evaluations, the faculty member shall include ***all*** completed peer evaluations of instruction from that review cycle and *not selectively pick* from among completed peer evaluations for inclusion in the e-dossier. Any additional peer evaluations beyond the minimum requirements must follow the prescribed guidelines described below.

Selection of the Peer Evaluators

Two *tenured* faculty members are required to complete the two peer evaluations of a faculty member during any review cycle. Only *tenured faculty at APSU may serve as peer evaluators*. In so far as possible, the faculty member will provide the chair/director of the department with suggestions for one of the evaluators from within the faculty member's discipline. The chair/director will select this evaluator from the suggestions. The other evaluator will be selected by the chair/director.

The same two peer evaluators may review more than one faculty member, or each faculty member may be reviewed by a different set of evaluators from the same department. Sometimes, a situation may occur where a department does not have a sufficient number of tenured faculty to conduct the necessary peer evaluations. When a department finds it logistically difficult to comply with the above requirements, the department—in consultation

with Academic Affairs—shall have the option of choosing one of the evaluators from an allied discipline. At least one member of the peer evaluation team should be from the same department in order to improve the validity and reliability of the review.

While it may be recommended in principle, it is not necessary that an evaluator from *outside* a particular department be from the same college. This individual could be from a different college altogether if they are from a relevant discipline. For example, it could very well occur that the second evaluator for a faculty member in Department of Allied Health Sciences could be an evaluator from the Department of Nursing. Also, it could be likely that the second evaluator for a faculty member in the Department of Accounting, Finance, and Economics could be a tenured faculty member from the Department of Mathematics and Statistics.

FORMATIVE AND SUMMATIVE EVALUATIONS OF TEACHING

A formative evaluation is designed to provide information to help instructors improve their teaching, typically used for newer and less experienced instructors.

A summative evaluation is designed to measure instructor performance following a sustained period of teaching with the focus on identifying the effectiveness of the teaching instruction, typically used for more experienced instructors.

All faculty who are being reviewed, whether tenured or tenure-track, will receive a total of two evaluations, comprising of one or two reports depending on the RTP review cycle. All summative reports shall be included in the faculty member's e-dossier. However, while formative reports shall **not** be included in the e-dossier, the details of any formative evaluations (including, but not limited to, date and time of the formative evaluation) shall be included in the summative report. Narrative comments from the evaluators based on objective overall impressions of the classroom instruction must be included in all summative reports.

NOTE: Refer to the section of this document describing Faculty Awarded Years Toward Tenure. For the enhanced peer review process, a faculty member awarded three years of prior credit toward tenure shall be seen as a fourth-year faculty member during their first year of service at APSU because years of credit are awarded at the front end. Furthermore, since their first review will occur in their second year, their first enhanced peer review process shall be seen as Retention for Year 6.

A. Retention for Year 3

This section applies to faculty who are seeking retention for 3rd year.

Faculty who are seeking retention for 3rd year will be evaluated by *one evaluator* per semester for the formative and summative evaluations. These should occur in two different semesters, with the evaluators selected based on the following, as well as the process described in the Selection of The Peer Evaluators section above:

- For the first semester of review the Department Chair or their designee will serve as the evaluator.
- For the second semester of review a tenured faculty member as selected by the faculty member under review will serve as the evaluator.

The recommended gap of time between a formative and a summative evaluation of a faculty member in a standard semester-length course is four (4) to six (6) weeks. Evaluators shall consult the notes of the formative evaluation to respond with a summative evaluation during

the second visit to the course of the faculty member under review to include in the summative report.

If the faculty member under review teaches both in person and online courses, the faculty member and the chair should mutually agree on the modality to be observed.

These evaluations cannot occur during the same semester in which the faculty member is being reviewed for retention as there is not sufficient time for a formative and summative evaluation to occur before the e-dossier closes. For example, a faculty may not request a review in late August for a dossier that is due in September. There is not enough time for a formative and summative review to take place in this short time frame.

B. Retention for Years 4-5

This section applies to faculty who are seeking retention for 4th or 5th year.

Faculty who are seeking retention for 4th or 5th year will be evaluated by *two evaluators* for the formative and summative evaluations, which should occur within the same course and semester. The evaluators are selected based on the process described in the Selection of The Peer Evaluators section above. For in-person evaluations both evaluators will attend the two class sessions together.

The recommended gap of time between a formative and a summative evaluation of a faculty member in a standard semester-length course is four (4) to six (6) weeks. Evaluators shall consult the notes of the formative evaluation to respond with a summative evaluation during the second visit to the course of the faculty member under review to include in the summative report.

If the faculty member under review teaches both in person and online courses, the faculty member and the chair should mutually agree on the modality to be observed.

These evaluations cannot occur during the same semester in which the faculty member is being reviewed for retention as there is not sufficient time for a formative and summative evaluation to occur before the e-dossier closes. For example, a faculty may not request a review in late August for a dossier that is due in September. There is not enough time for a formative and summative review to take place in this short time frame.

C. Review for Year 6, Tenure, and Promotion to Professor

This section applies to faculty who are seeking retention for a sixth year, tenure, or promotion to Professor. These faculty will have two separate summative evaluations, each evaluated by a unique single evaluator.

The evaluators are selected based on the process described in the Selection of The Peer Evaluators section above.

Two different courses may be evaluated and need not occur in the same semester. However, if the same course is evaluated, the two evaluations should occur in different semesters.

If the faculty member under review teaches both in person and online, one peer review will be conducted in person and the second will be conducted online for these faculty.

Selection of Time and Date of the Enhanced Peer Review

The faculty member under review and the evaluator(s) shall agree on a mutually convenient date and time to conduct each class evaluation.

- For fully online courses, each review will occur over a two-to-three-week period that has been mutually agreed upon in advance.
- For all other modalities, each review will occur on a specific date and time that has been mutually agreed upon in advance. Evaluators are expected to observe classes at the *start time* of the class to capture the plan and context of the class and to avoid classroom disruption.

Minimum Evaluation Period of Time

The expected minimum amount of time to evaluate a class shall be 50-55 minutes. For courses that are scheduled longer than 55 minutes, evaluators may choose to leave after the first 50-55 minutes of observation.

In the case of online classes that are asynchronous, the evaluator should spend an equivalent amount of time in the course management system (e.g., D2L). Evaluators observing an online course should be permitted to look at course content materials only and not student grades with associated names. Evaluators shall be assigned a role with the equivalent *non-edit access* of a student in the course.

Expectations for Evaluators and Professionalism Within the Process

During all of their observations, evaluators are expected to act independently and produce separate objective evaluations in order to increase the reliability of the enhanced peer review process. Personal comments unrelated to the teaching effectiveness of the faculty member are not permitted within the formative or summative reports.

Each evaluator will be required to complete the evaluation tool and provide it to the faculty member after each summative evaluation. The results of formative evaluations should be shared with the faculty within one week from the date of evaluation for developmental purposes. Documentation of formative evaluations and follow up meetings shall be included on the appropriate summative evaluation form.

COMPOSITION OF REVIEW COMMITTEES

For All Committees

A faculty member who is normally eligible to serve on review committees but who is on a leave of absence or on faculty development leave during the current review cycle shall not participate or vote in any RTP process. Ideally selection/assignment of committees should occur in the Spring Semester prior to e-dossiers closing to allow for appropriate creation of e-dossiers and the workflow.

Department Committees

The department chair/director and all full-time tenured faculty members of a department constitute the official body eligible to make departmental personnel recommendations and shall be required to participate in personnel processes.

Departmental personnel committees shall consist of at least three (3) tenured faculty members not counting the department chair/director. In departments having fewer than three (3) faculty members eligible to serve on their departmental personnel committee, the Provost may assign the review of faculty to the departmental personnel committee of another department. In such an instance, all eligible faculty from the department consisting of fewer than three (3) tenured faculty shall be included in all departmental personnel committee proceedings.

When a small department must constitute RTP committees with faculty from other departments, chairs from other departments may not serve on this RTP committee. The department-specific criteria of the faculty member being reviewed for tenure or promotion shall be the criteria used in making determinations by the departmental personnel committee created under this provision. The Chair's evaluation shall be made by the chair of the department that has fewer than three (3) tenured faculty. The Chair of the department with fewer than three (3) members shall meet with the personnel committee while their faculty member is being reviewed and shall leave prior to a vote.

College committee members who were eligible to vote on a personnel action at the departmental level shall not be eligible to vote on the same action at the college level. Administrators holding full-time positions outside the department or involved in making personnel recommendations at the college or University levels shall not participate in departmental personnel actions. Departmental Chairs/directors may not act on their own retention, tenure, merit salary adjustment, or promotion.

College Committees

A college retention and tenure committee shall be composed of one (1) tenured faculty member elected from each department or school within the college. All tenured and tenure-track faculty within the department or school, with the exception of the chair/director, shall have an opportunity to vote on departmental/school nominee(s) for the college committee, and a simple majority vote shall determine the outcome. Chairs/directors and Associate Deans shall not serve on or preside over college-level RTP committees.

Members of the college committee are not permitted to vote on candidates from their own department. When they complete the ballot, they should select "non-voting department member." If a college has fewer than four (4) departments, two (2) tenured faculty members from each department shall be elected to serve on the retention and tenure committee. If a department/school has an insufficient number of tenured faculty members to serve on the college committee, the department shall elect appropriate representatives from other departments within the college provided that they are not representatives from their own department.

Each college shall have an additional tenured member elected at large by the electorate of the college. The at-large member shall be elected from among all eligible faculty members not serving as a departmental representative on the college committee. All tenured and tenure-track faculty in a college are eligible to vote for the at-large representative. If the vote is tied, the college dean shall cast the deciding vote. The at-large member of any college-level retention, tenure or promotion committee shall be a voting, full member of that committee, but the at-large member shall not vote for members of their own departments. If a department/school has no tenured faculty, the committee as a whole will protect their interests.

The Departmental Representative to the College Committee

The role of the departmental representative on the college committee is informational. The departmental representative shall answer questions posed to them by the members of the college committee without advocating either for or against the retention, tenure, or promotion of the candidate within the representative's department. However, as discussion ensues, the departmental representative may seek permission from the presiding officer to rectify incorrect factual information (for example, the conversation may surround a single conference the faculty member attended, but the departmental representative knows, for a fact, that the candidate actually participated in two conferences.) The departmental representative should strive for objectivity on behalf of the department committee and refrain from offering personal opinions.

Departmental representatives are required to attend personnel meetings in their own department as well as the college-level meetings in which candidates from their department are being reviewed. If the departmental representative knows in advance that they will not be able to attend a departmental personnel meeting, the department shall elect an alternate candidate to serve as departmental representative. If the departmental representative knows in advance that they will not be able to attend a college-level personnel meeting, they must inform the alternate faculty member who will serve in their place. If an alternate faculty member has not been selected, the department shall elect an alternate candidate by whatever reasonable and expedient procedure is available at the time.

RTP REVIEW PROCEDURES

Confidentiality of Meetings

All retention, tenure, and promotion (personnel) committee proceedings and deliberations are confidential.

Evaluation of Materials

At the departmental and college level, it is the professional responsibility of all faculty members serving on any personnel committee to review fully a candidate's e-dossier before casting a vote. Particularly at the department level all faculty members on the personnel committees are expected to evaluate all materials in the faculty member's e-dossier. Additionally, those preparing written reports must state reasons for their decisions. However, in colleges where a large number of e-dossiers have to be evaluated at the college level and where the process may need to be expedited, the dean of the college may choose to set up a more convenient procedure for presenting e-dossiers at the personnel meeting.

Informing Committees of Years Toward Tenure & Reviewing Past Productivity

At departmental level meetings, the department chair shall inform personnel committees about the specific number of years that have been granted to the faculty member under review.

At college level meetings, the departmental representative shall inform personnel committees about the specific number of years that have been granted to the faculty member under review.

All personnel committee shall consult departmental criteria when reviewing an e-dossier that includes work that is not accomplished during the faculty member's employment at Austin Peay State University. As described in the section Application of Years Toward Tenure and of Work Accomplished at APSU, only work in Area 2 shall be considered for years toward tenure.

Irregularities in Research, Scholarship, and/or Creative Activities

If the activities of a faculty member in Research, Scholarship, and Creative Activities appear irregular to the departmental personnel review committee, that committee shall have the right to request the faculty member to provide copies of correspondence, documents, and materials related to the faculty member's publications and/or scholarly/creative activities. The faculty member shall act on that request and must furnish the required information as expeditiously as possible before the committee votes on that faculty member's e-dossier.

However, if questions of misconduct in research or other creative activities arise at committee levels higher than the departmental level, these committees and/or supervisors (the Dean, Provost, and/or President) may ask for and consider additional information that may be forwarded with the e-dossier. If the allegations are substantiated through the University's due process procedures, this additional information shall become part of the faculty member's permanent personnel file in Academic Affairs. Faculty are advised to read Policy 2:019 (Misconduct in Research and Other Creative Activities) for more information.

Sole authorship is universally understood to mean one person writing original work. Faculty are reminded that only materials that have been accepted for publication by a reputable journal or recognized press in the author's area of expertise should be included as "publications" in the e-dossier.

For co-authored or multi-authored publications submitted to peer-reviewed journals or recognized publishers, the authors must indicate, as precisely as possible, their level of contribution to the published work. Their level of contribution may be determined by (a) highlighting their part of the work; (b) a letter from the senior or primary author describing the levels of each of the other faculty members' levels of contribution to the work; and/or (c) a clear narrative explanation with documentation of the faculty member's specific contributions.

See policy 1:025 for Professional Contributions and Activities

See policy 1:025 for Criteria for Assessing the Long-Term Staffing Needs

See policy 1:025 for Changes in Tenure/Tenure-track Status

- Non-renewal of Probationary Tenure-Track
- Transfer of Tenure
- Expiration of Tenure
- Relinquishment of Tenure
- Termination of Tenure for Reasons of Financial Exigency
- Termination of Tenure for Curricular Reasons
- Procedures for Termination of Tenure
- Termination for Adequate Cause
- Procedures for Termination for Adequate Cause

Recusals

Faculty members shall recuse themselves from participating and voting on personnel actions when the faculty member is currently involved in a legal situation with the faculty member under review; is currently involved in a complaint or grievance with the faculty member under review; has a family relationship with the faculty member under review; and other

situations that will be considered on a case-by-case basis. Faculty should consult APSU's Nepotism Policy 5:035 for the definition of and clarification concerning "family members." It shall be the responsibility of the presiding officer to notify the Office of Academic Affairs and the faculty member's department chair when a faculty member attends the RTP meeting and refuses to cast any vote at all when a recusal issue is not the reason.

Directions for Convening RTP Meetings

Departmental level personnel committee meetings shall be convened by the department chair/director in a timely fashion. When a department chair is being reviewed for retention, tenure, or promotion, the personnel meeting shall be convened by the presiding officer who has been elected by the department review committee in advance of the meeting.

When chairs convene personnel meetings to vote on multiple actions, they are encouraged to review first the promotions to full professor, followed by reviewing tenure candidates, and finally reviewing retention candidates. Because the personnel review process should occur in an environment that affords the most open and least stifling atmosphere for discussion, examining the candidates in the order described above will provide the greatest level of free speech and openness.

College level personnel committee meetings shall be convened by the college Dean in a timely fashion. Associate Deans shall not serve on or preside over college-level RTP committees.

Selection and Role of the Presiding Officer in RTP Meetings

All personnel committees will select a presiding officer, who shall be a voting member of the committee. Ideally selection of the presiding officer should occur in the Spring Semester prior to e-dossiers closing to allow for appropriate creation of e-dossiers and the workflow. At a minimum, selection should occur in advance of the meeting.

The presiding officer shall manage the meeting. The presiding officer will select a committee member to take notes to provide a summary statement reflecting the strengths and weaknesses noted during the review of each e-dossier. These notes can be used as reference material for the written report.

At the departmental level the Chair/Director may participate in the discussion. If the committee wishes to discuss a candidate without the presence of the chair, the presiding officer should set aside a time period in which the departmental committee can discuss the candidate freely without the presence of the chair. The department chair may be recalled to the room at any time during the process if the committee wishes further input. The chair must leave the room when it is time to cast final ballots.

At the college level the Dean may participate in the discussion and members of the committee may solicit documented information from the Dean or other persons from the college who are not members of the committee (for example, the departmental chair/director, departmental representative or others from the department of the faculty member under review). Prior to the college committee members casting their final votes, the presiding officer should set aside time for the college committee to discuss the candidate freely without the presence of the Dean. The Dean must leave the room when it is time to cast final ballots.

The presiding officer or their designee shall informally notify by email the candidate under review of the committee's recommendation (not the vote) no later than the next business day.

Examples of email notifications to candidates following the personnel meeting:

“Dear Dr. A, the Department of Communication Promotion Committee met today and has recommended your promotion to Professor. Details will be in the written report in your e-dossier.”

“Dear Dr. B., the Department of Biology Retention Committee met today and has not recommended you for retention for a third year. Details will be in the written report in your e-dossier.”

The presiding officer shall ensure that draft versions of reports are prepared in a timely manner and available for comment and review by committee members before the final version is prepared and will enter the department report into the e-dossier. The presiding officer shall ensure that reports receive all appropriate signatures and move the e-dossier forward to the department chair/director in a manner consistent with the Calendar for Faculty Personnel Actions.

Option to have Presenters for e-Dossiers at the College Level

Within two business days after e-dossiers become available, the Dean or the presiding officer may solicit committee members to volunteer to present candidates' e-dossiers in the personnel meetings when there are more than seven candidates for any one personnel committee to review. Then, by the third day after e-dossiers become available, the Dean or presiding officer will assign candidates to the volunteer presenters. In assigning presenters, the Dean or presiding officer must not assign members from a department to present the e-dossier of candidates from the same department or assign mentors to present their mentees to avoid advocacy and conflicts of interest.

All members must still review all e-dossiers; however, the assigned presenter will prepare to highlight the candidate's accomplishments relative to criteria for each area of evaluation—academic assignment, scholarly and creative achievement, and professional activity. The presenter must remain objective in presenting information from the candidate's e-dossier, but may take part in the ensuing discussion after completely laying out the information for each area of evaluation. To clarify the line between the committee member's role as presenter and the role as a member of the committee discussing the candidate, the presiding officer should ask for discussion of the e-dossier as presented for each area. The presenter may also volunteer to draft the report, or another committee member may volunteer.

e-Dossiers Deemed Incomplete

An incomplete e-dossier is one that is missing one or more required materials as described in the [Required Materials in your e-Dossier](#) section of this document.

Unlocking an e-Dossier Deemed Incomplete at the Departmental Level

Any e-dossier considered to be incomplete during the departmental review stage, prior to the committee vote, or which does not comply with the required content of the e-dossier, must be returned to the faculty member for timely revision and resubmission to the departmental committee prior to formal consideration by the departmental committee.

The request to unlock an e-dossier shall be made by the chair/director to the Dean of the college for approval in the form of an email providing the specific details and the rationale for unlocking the e-dossier. If the Dean approves the request, the Presiding Officer will unlock the e-dossier by sending the e-dossier back to the candidate. The e-dossier may be unlocked provided the department committee declares an e-dossier incomplete and affirms no vote has been taken; the committee may determine this via email, virtually, or in-person either during or in-advance of the meeting.

e-Dossier Deemed Incomplete After Departmental Level Vote

Any e-dossier considered to be incomplete after the departmental committee has voted must follow the procedures and placement for Documents Not Ordinarily Part of e-Dossier Content Requirements.

Documents Not Ordinarily Part of e-Dossier Content Requirements

Documents *not* ordinarily part of the e-dossier content requirements as stipulated in Policies 1:025, 2:066, or other standard review materials may be introduced at any personnel review meeting on the condition that such documents relate to the three areas under review. Faculty members on a review committee wishing to introduce documentation at the personnel meeting must inform the chair (departmental level) or dean (college level) and supply the documents or copies thereof. These documents must be signed by the individual(s) who has/have authored/introduced the document(s).

NOTE: Written narrative comments by students that were completed as part of the normal faculty evaluation process are not to be shared with committee members during personnel meetings and are not to be used in any way as part of the personnel process.

However, no document may be introduced at a review meeting until the faculty member under review (a) has seen the documents or copies of documents; (b) has been informed in advance about such documentation as prescribed in the next paragraph; and (c) is assured that these documents have not been altered in any way.

The faculty member shall have the right to see the documents or copies of such documents and must be informed by the chair (departmental level) or dean (college level) that these documents may be introduced and discussed at least three (3) business days before the personnel meeting. All pertinent documents related to the situation must be included.

The chair (departmental level)/dean (college level) must provide written evidence of communication related to these documents. An official e-mail must be sent to the faculty member under review with “request a delivery receipt” and “request a read receipt” options. The faculty candidate must read the e-mail and acknowledge the receipt of the e-mail. All written communication between the faculty member and the chair (departmental level)/dean (college level) must include a time and date stamp. Those who initiate these messages to the faculty member shall bring such communications to the personnel meeting.

NOTE: If a chair is under review and is the subject of the document, the Dean of that college shall fulfill the role normally assigned to the chair.

The faculty member under review shall be permitted to include one rebuttal to such documents. This rebuttal shall be in the form of a single document, limited to a narrative response no more than two pages in length. The faculty member’s rebuttal must be

submitted prior to the personnel committee's vote to include or exclude these documents from the e-dossier.

If any member of the committee or the chair (departmental level)/dean (college level) wishes to introduce a document, and follows all procedures above, that document will then be given to the presiding officer, who will then present the nature of the document to the committee.

If requested, the presiding officer will read the document aloud. The entire committee will then vote to determine the admissibility of this document within the committee's deliberations. A simple majority vote shall determine the outcome. A secret ballot process (similar to that described in the Guidelines for Voting, Recommendations, and Reports section of this document) shall be used in order for the votes to remain anonymous. A tie vote is not a majority vote, and the document shall not be discussed. The chair (departmental level)/dean (college level) shall not be permitted to break a tie vote.

The presiding officer shall inform the chair (departmental level)/dean (college level) in writing of the results of the committee members' deliberations on documents that meet the criteria for "not ordinarily part of e-dossier content requirements" and the decision whether or not to permit the inclusion of the document or parts thereof within the e-dossier of the faculty member under review. The presiding officer shall prepare a narrative rationale for the chair (departmental level)/dean (college level), which will include the numerical results of the vote on the document in question.

The faculty member shall be notified by the chair (departmental level)/dean (college level) or presiding officer of the committee's decision to include or exclude the documents from the e-dossier.

If the personnel committee votes to reject these documents, the documents, or related items (e.g., faculty member's rebuttal) shall not be included within the e-dossier. Once the documents have been denied inclusion in the e-dossier at the departmental level, these documents may not be re-introduced at the college level. Similarly, once the documents have been denied inclusion in the e-dossier at the college level, these documents may not be re-introduced at the Provost's level.

If the committee has voted to admit these documents, the reports of the review committee shall reference these documents and include clear narrative statements that (a) are specific and (b) demonstrate the importance of the document(s) to reviewers. The faculty member's rebuttal shall also be included within the e-dossier. If the documents have been approved for inclusion at the departmental level, these documents may not be removed at the college level. If the documents have been approved for inclusion at the college level, these documents may not be removed at the Provost's level.

When a personnel committee has voted not to include this material, but the chair (departmental level)/dean (college level) chooses to include the same document or parts thereof, their report shall include substantive rationale and clear narrative statements that (a) are specific and (b) demonstrate the importance of this document(s) for reviewers beyond their level. The (departmental level)/dean (college level) shall include the original documents (which meet the criteria for "documents not ordinarily part of e-dossier content requirements") in the e-dossier of the faculty member under review as described in the next

section of this document, Placement of Documents Not Ordinarily Meeting e-Dossier Content Requirements.

When a chair (departmental level)/dean (college level) receives documented information (positive or negative) relating to the three areas of review on a faculty member that they intends to include within their report, the chair (departmental level)/dean (college level) shall notify the respective personnel committee regarding such information according to the normal procedure for documents that meet the criteria for “not ordinarily part of e-dossier content requirements”. When a chair (departmental level)/dean (college level) receives a document that they wish to include in their report, but which has not been cleared by the respective personnel committee, at a very minimum, they shall let the candidate know and inform the personnel committee of their intentions.

In order to assist reviewers at the next level and beyond, the chair (departmental level)/dean (college level) shall make a note in their report of the college review committee’s ruling on the document if they choose to include or refer to the document that has been voted not to be included in the candidate’s e-dossier by the review committee. Similarly, the chair (departmental level)/dean (college level) shall make a note in their report of the department review committee’s ruling on the document if they choose to include or refer to a document that has been voted to be included in the candidate’s e-dossier by the review committee.

NOTE: Exceptions may occur because of legal restrictions.

Placement of Documents Not Ordinarily Meeting e-Dossier Content Requirements

The placement of documents in the e-dossier that meet the criteria for documents not ordinarily meeting e-dossier content requirements is determined by the level at which the document (s) is introduced (departmental level or college level). Also, the RTP Appeals Board may add such document(s) after identifying and objectively examining additional information as part of their duty as described in the RTP Appeals Board Objectives section. The Provost or the President may add documents if questions of misconduct arise in either Area I, Area II, or Area III.

At whichever level the document is introduced (department, chair, college, Dean, Provost, President, or the RTP Appeals Board), the document and the faculty member’s rebuttal document shall be submitted along with the report in the e-dossier at the end of that chain. For example, if the document were introduced at the departmental level, the document shall be submitted with the chair’s report.

To alert review committees that the faculty member’s e-dossier contains these documents, the department chair/director or the Dean of the college shall write a simple statement of fact indicating that these documents are included within the faculty member’s e-dossier. The chair or the Dean shall not provide any additional evaluative comments related to that statement.

This statement, which shall either be included in the e-dossier as an additional document from the chair or follow the signature line of the Dean and be set off from the rest of the report, may read something like this: “This e-dossier contains a document that meets the criteria for documents *not ordinarily meeting e-dossier content requirements*.” If the item added was due to an e-dossier deemed incomplete, that additional language should be included.

Guidelines for Voting, Recommendations, and Reports

The quorum of any departmental or college-level personnel committee is a simple majority of those faculty members eligible to vote. Faculty members who have recused themselves shall not participate in any personnel review meetings on the candidate in question. A recusal for conflict of interest is not a vote. At any level of review, if a faculty member is unable to attend a personnel meeting, has to leave a meeting early, or is late in attending because of extenuating circumstances, the faculty member shall make every effort to leave an absentee ballot (by voting *for, against*) in a sealed envelope entrusted to a colleague, which shall subsequently be handed over to the presiding officer of the personnel review committee. As stated in Policy 2:052 [Academic Freedom and Responsibility], “the right to academic freedom imposes upon the faculty an equal obligation to take appropriate professional action against faculty members who are derelict in discharging their professional responsibilities. The faculty member has an obligation to participate in tenure and promotion review of colleagues as specified in University policy.” It shall be acceptable for faculty members to change their position on a candidate and present a substitute vote, replacing an original vote that has previously been submitted, so long as the official final vote is presented to the committee before the presiding officer counts and records the official votes at the meeting.

The vote may proceed if all the votes counted at the time of voting (including votes from those members physically present as well as absentee ballot votes from faculty) constitute a simple majority. However, any action taken with less than a simple majority of eligible faculty present and voting (and which includes absentee ballots) will be invalid, with a new vote to be conducted at a rescheduled meeting in a timely manner.

As the time for voting approaches, the chair/director or dean will leave the room. Further discussion may ensue. A vote then will be held by secret ballot and the results recorded by the presiding officer. To preserve the integrity of the secret ballot process, standardized ballots and identical writing instruments shall be provided to the committee.

Writers for the report shall be determined after the completion of the vote. See the section Majority and Minority Reports for eligibility/assignment of writers and instructions for writing.

The department chair shall write an independent review after the departmental committee has made a recommendation and submit this report, which includes a separate recommendation for the faculty member under review, in the faculty members e-dossier. The Chair is not obligated to be guided by the departmental committees’ reports or their votes.

In extraordinary circumstances, the departmental committee may be permitted to take a re-vote before the e-dossier moves forward. The departmental committee cannot re-vote unless authorized in writing by the Provost.

Recommendations once forwarded from the department to the next level cannot be rescinded unless authorized in writing by the Provost.

After the college committee acts on a faculty member's dossier and forwards it to the next level, the college action cannot be rescinded, unless authorized in writing by the Provost.

The college Dean shall write an evaluation and make a recommendation for the faculty member under review and submit this in the faculty members e-dossier. The college Dean shall inform, in

writing, the faculty member under review of the decanal recommendation. After the college Dean makes a recommendation regarding the faculty member under review and forwards it to the next level, the college Dean's action cannot be rescinded, unless authorized in writing by the Provost.

Tie Vote

At any level in the retention, tenure, or promotion process, a tie vote or even-split vote (for example, 3 votes to retain, 3 votes not to retain a candidate) shall be seen as a negative action. In the event of a tie vote, two (2) minority reports will be written and must be included in the faculty member's e-dossier before it is forwarded to the next level in the personnel process. See the section Majority and Minority Reports for eligibility/assignment of writers and instructions for writing.

A tie vote at the departmental level accompanied by a negative vote from the chair would permit a faculty member to write the optional two-page written response. Similarly, a tie vote at the college level accompanied by a negative vote from the dean would permit a faculty member to write the optional two-page written response.

Majority and Minority Reports

For each faculty member under review, there can be no more than one majority and one minority report generated at any level, unless there is a tie vote, in which case two minority reports shall be written and no majority report shall be written. Minority reports are optional, except in the tie vote case. All reports must be included in the candidate's e-dossier.

Faculty members who did not hear the discussion on candidates because they did not attend or stay for the full duration of the meeting are not permitted to write or provide input on majority or minority reports.

A member of the committee voting with the majority shall be selected to write the evaluation of the faculty member for the committee. A member of the committee voting with the minority may write, in collaboration with other members in the minority, a minority report, which must be included in the faculty member's e-dossier along with the committee's recommendation.

A member of the committee voting with the minority may write, alone or in collaboration with other members voting in the minority, a minority report. When two minority reports are needed, two individuals—one voting for and one voting against—must come forward to write the required minority reports.

Majority and minority reports that are written following a review meeting may contain information discussed at the meeting as well as information freely available within the faculty member's e-dossier. Extraneous elements and hearsay are not permitted within majority or minority reports. If the material is important enough to appear within a candidate's majority or minority report, it should be discussed openly within the personnel meeting.

Any majority or minority reports should, at a minimum, contain sufficient information for review committees at all levels to make a reasonably sound assessment of the candidate's strengths and weaknesses. The language for each section under review on RTP reports shall include more than a single line of text. For example, a sentence such as "Faculty Jane Doe is performing satisfactorily in Area 1" with no other accompanying information is not permitted as an assessment statement for Area 1.

Minority reports may contain positive or negative information or a combination of positive and negative information. Negative information shall be supported by some sense of the reasons for their inclusion in the report. If the faculty member is known to be an ineffective advisor, a few additional sentences explaining this position will be helpful.

In the case of a tie vote when two minority reports are required, those reports must contain distinct comments; one may not be a copy of the other.

Minority reports must discuss all three areas of review and must be turned in for the candidate to read at the same time as majority reports. Minority reports cannot be written a week or several days after a candidate has seen a majority report.

When there is disagreement about the content of any report (majority and/or minority) circulated for comment and review, the personnel committee reviewers should attempt to work out differences among themselves and write a report (or reports) that is/are generally acceptable to the committee. In cases in which differences cannot be worked out, the report(s) should reflect the disagreements.

Who Signs Reports?

Digital signatures will be used to sign all reports. All faculty members who **voted** on a candidate for retention, tenure, or promotion to Professor are required to digitally sign all reports (both the majority report and the minority report(s), if any), regardless of whether they attended the personnel meeting. Signing these reports simply indicates that the faculty members have read the reports; signing does not necessarily indicate agreement or disagreement with the contents of these reports. Non-voting departmental representatives who were present at the college meeting during the vote shall be required to digitally sign all reports as well. However, faculty members who recused themselves from voting on a faculty member's e-dossier shall not sign any reports.

Committee members shall digitally sign all reports in a timely manner consistent with the deadlines listed on the APSU Calendar for Faculty Personnel Actions.

The RTP Appeals Board

Overview and Objectives of University RTP Appeals Board

The responsibility of the University Retention, Tenure, and Promotion Appeals Board (RTP Appeals Board) is to review appeals of faculty members who have received negative recommendations concerning their applications for retention, tenure, or promotion to Professor. Please refer to the full description of the University RTP Appeals Board Charge on the University Standing Committees webpage.

RTP APPEALS BOARD OBJECTIVES

In the discharge of their duties, the Appeals Board shall:

- review appeals of faculty members who have received negative recommendations
- conduct the review with objectivity, accuracy, neutrality, and integrity
- safeguard individual faculty members from arbitrary decision making
- protect the academic freedom of individual faculty members
- identify and objectively examine additional information germane to the appeal
- investigate inconsistencies and irregularities within the RTP process
- avoid any real or perceived conflict of interest

Faculty Members' Right to Appear Before the Board

A faculty member under review shall have the right to appear before the RTP Appeals Board or the Appeals Board may request the faculty member to appear in person. Appearing in person shall be at the discretion of the faculty candidate. The candidate may be permitted to speak for up to 30 minutes. The Appeals Board may extend the candidate's speaking time at its discretion. The candidate is only allowed to speak on information germane to their appeal.

Examining Any Additional Information Germane to the Appeal

The Appeals Board shall identify and examine any additional information it needs, consistent with university policies and procedures, to make its recommendation and shall gather objective information specific to the case from the candidate, the department, the administration, and external sources, as appropriate. All persons contacted by the Appeals Board as part of its investigation are encouraged to cooperate fully. Information requested by the Appeals Board that is consistent with university policies and procedures shall be provided in a timely manner and shall be kept confidential to the RTP process. Further investigations, if any, must occur *before* the Appeals Board members cast their vote. *No additional investigation is permitted after the votes are cast by the members of the Appeals Board.*

Composition of University RTP Appeals Board

The University RTP Appeals Board, which is constituted during the fall semester by dates prescribed on the Calendar for Faculty Personnel Actions shall be composed of the following:

- Two (2) tenured full professors elected from each college (from different departments within the college) who are eligible to serve on the college promotion committees, but who are not currently serving on those committees;
- one (1) University faculty member designated by the Provost;
- one (1) University faculty member designated by the Faculty Senate.

Even though it is not possible to know in advance which faculty members may file appeals, a single University RTP Appeals Board shall be convened each year. This appeals board will meet to deliberate on any appeals as prescribed in the Calendar for Faculty Personnel Actions. The members on the Appeals Board representing each of the colleges shall be tenured Professors who must be elected by that college's faculty according to established procedures at the University.

The Chair of the Appeals Board shall be a non-voting member, a college Dean, appointed by the President. The Dean of the College of the faculty member making an appeal shall not serve as Chair of the University RTP Appeals Board for that appeal. In these cases, the committee members shall elect a temporary chair for that particular faculty member's appeal. Reports from the University RTP Appeals Board shall document the recusal of the specific faculty member and/or Dean should this circumstance arise.

To protect the integrity of the appeals process, it is vital that neutrality be an important component of the University RTP Appeals Board and that a real or perceived conflict of interest be avoided. Faculty members who have previously served and voted on any personnel committee on a colleague for retention, tenure, or promotion *shall* be permitted to serve as a member of the University RTP Appeals Board to examine a retention, tenure, or promotion appeal that may be filed subsequently by that colleague in the same retention/tenure/promotion review cycle.

However, that faculty member shall *not* be permitted to actively participate in the deliberations and is required to leave the meeting room. If an appeal is made by a faculty member from a college under a Dean that has been appointed to serve as Chair of the University RTP Appeals Board, then this Dean shall also *not* be permitted to actively participate in the deliberations and is also required to leave the room using the procedure noted above.

All University RTP Appeals Board members who voted on a candidate's retention, tenure, or promotion appeal to the Appeals Board are required to sign the report. However, Appeals Board members who were absent and did not vote or recused themselves from voting on a faculty member's e-dossier shall not sign the report of the Appeals Board.

Any necessary adjustments in membership to this board and the subsequent eligibility to vote (based on the college of the faculty member making the appeal) shall be the responsibility of the President or their designee.

Steps in the Process for Filing an Appeal with the RTP Appeals Board

Appeals shall be filed by the deadline outlined in the Calendar for Faculty Personnel Actions. The appeal shall be filed via email with the Provost, copying the Senior Vice Provost and Associate Vice President for Academic Affairs (SVP/AVPAA), who will forward the appeal to the University RTP Appeals Board. All paperwork associated with the electronic appeal must be converted to PDF files and included within the e-dossier of the faculty member making the appeal before the e-dossier moves to the next level.

At a minimum, the documents that should be included in the e-dossier are as follows: (a) the appeal letter (b) any supporting documents (c) the recommendation of the University RTP Appeals Board. The faculty member's e-dossier will need to be unlocked to include the documents related to the appeal. The Chair of the University RTP Appeals Board shall provide a written recommendation to the Provost and copy the faculty member making the appeal. The report from the Chair of the Appeals Board shall include substantive rationale and clear narrative statements that (a) are specific and (b) demonstrate the importance of this document(s) for reviewers beyond the level of the Appeals Board. The Provost or their designee shall have the responsibility for unlocking an e-dossier to upload appeals documents of faculty members appealing retention, tenure, or promotion decisions.

FORMAL APPEALS AND INFORMAL OPTIONAL WRITTEN RESPONSES

A formal appeal is one that is made by the faculty member under review to the University RTP Appeals Board. There are no page limit restrictions for the formal appeal.

An informal response is one that is made by the faculty member under review to two negative recommendations at the departmental level for retention years 3, 5, 6, tenure year, or for promotion to Professor. Candidates seeking retention for year 4, tenure, or promotion to Professor may also write an informal response at the college level when the college committee and dean recommendations are negative. These responses are limited to two pages and are addressed to the next level of review.

In retention years 3, 5, and 6, the Dean makes the final decision in the review. Therefore, in retention years 3, 5, and 6, there is no opportunity for an informal response to a negative decision from the Dean. The candidate, in these cases, may file a formal appeal with the University RTP Appeals Board after a negative decision from the Dean.

However, in retention for year 4, tenure, or promotion to Professor, the Provost makes the decision, so the candidate may write an informal response to the negative recommendations of the college committee and the Dean. If the Provost's decision is negative, the candidate may file a formal appeal with the University RTP Appeals Board.

Q. What are some of the guidelines for a formal appeal to the University RTP Appeals Board?

- Faculty members may submit a formal appeal to the University RTP Appeals Board during retention for Years 3, 5, and 6 when the decision of the Dean is negative. Follow the APSU Calendar for Faculty Personnel Actions for deadlines.
- Faculty members may submit a formal appeal to the University RTP Appeals Board during retention for Year 4, tenure, or promotion to Professor when the decision of the Provost is negative. Follow the APSU Calendar for Faculty Personnel Actions for deadlines.
 - Recommendations from the University RTP Appeals Board in Year 4 and in the Tenure Year will go to the President. However, in the Tenure Year, the faculty member also has the opportunity to appeal a negative decision by the President to the APSU Board of Trustees.
 - Unless the application is withdrawn recommendations from the Appeals Board in Promotion to Professor will go to the President. Promotion decisions stop with the President. Faculty may not appeal promotion decisions to the APSU Board of Trustees.

Each faculty member shall have only one-time access to the University RTP Appeals Board during any one review action within a cycle. For example, a faculty member may not access the University RTP Appeals Board twice for a negative retention, tenure, or promotion decision. All actions related to appeals shall follow the timetable guidelines prescribed in the Calendar for Faculty Personnel Actions.

CALCULATING THE PROBATIONARY PERIOD

Approved Leave of Absence

A period of approved leave of absence shall be excluded from the requisite period for completion of the probationary period unless the Provost of the University specified in writing prior to the leave of absence that it shall be included in the probationary period.

However, articles that are published (online or in print) during the “leave of absence” period shall be accepted as items in Area 2 (Scholarly and Creative Achievement) during the probationary period. For example, if the faculty member receives notice of an acceptance of an article (submitted at a previous time) during the “leave of absence” period or receives notice of an invitation to submit a scholarly essay to a journal, the faculty member may count this as part of their publication achievements in Area 2.

When there is disagreement as to the admissibility of scholarly/creative activity in Area 2 during a “leave of absence” period, the faculty member shall consult with their Chair, Dean, and Provost to resolve the situation. This provision applies to tenure-track faculty only.

Leaves of absence may not be granted retroactively. A faculty member may apply for a maximum of two (2) extensions in one-year increments so long as the total probationary period does not exceed six years. Requests for a second extension follow the same procedure and are subject to the same considerations as the original extension.

Stopping the Tenure Clock

A faculty member in a tenure track appointment may request to “stop the clock” during their probationary period when circumstances exist that interrupt the faculty member’s normal progress toward building a case for tenure. Discretion for stopping the tenure clock rests on the institution and also requires supervisory approval. In such cases, the faculty member may request to “stop the tenure clock” for one-year if they demonstrate that circumstances reasonably warrant such interruption.

Reasons for approving a request to “stop the clock” will typically be related to a personal or family situation requiring attention and commitment that consumes the time and energy normally addressed to faculty duties and professional development. Examples may include, but are not limited to, childbirth or adoption, care of dependents, medical conditions or obligations, physical disasters or disruptions, or similar circumstances that require a fundamental alteration of one’s professional life. The intent of this policy is to serve the best interests of the University while providing neither preference to, nor adverse effect on, a faculty member’s process of developing a case for tenure. Once approved, the “stop the clock” year is not counted in the probationary period accrual.

However, articles that are published (online or in print) during the “stop the clock” year shall be accepted as items in Area 2 (Scholarly and Creative Achievement) during the probationary period. For example, if the faculty member receives notice of an acceptance of an article (submitted at a previous time) during the “stop the clock” year or receives notice of an invitation to submit a scholarly essay to a journal, the faculty member may count this as part of their publication achievements in Area 2. When there is disagreement as to the admissibility of scholarly/creative activity in Area 2 during a “stop the clock” year, the faculty member shall

consult with their Chair, Dean, and Provost to resolve the situation. This provision applies to tenure-track faculty only.

Clarification of evaluation procedures during leaves of absence and stopped tenure clocks

APSU further clarifies evaluation procedures during probationary period approved leaves of absence and periods of stopped tenure clocks.

There are two methods for extending the probationary period. The first (Outlined in Approved Leave of Absence above) occurs when a faculty member is on an approved leave of absence. Unless otherwise specified in writing by the Provost, such a leave of absence automatically extends the probationary period by one year. At APSU, the minimum leave of absence to apply under this policy is twenty (20) weeks in a given nine (9) month academic year as defined by faculty contract. The second method for extending the probationary period is Stopping the Tenure Clock, (Outlined in Stopping the Tenure Clock). Stopping the tenure clock is for situations that do not prevent a faculty member from fulfilling teaching, advising, and administrative duties. The faculty member must specifically request in writing to the Provost that the tenure clock be stopped. A request to stop the clock must be submitted no later than sixty (60) business days before the e-dossier is due. The phrase “building a case for tenure” is herein defined as referring to the accumulation of job-related accomplishments during the relevant performance review period. This is distinguished from the actual preparation of an e-dossier which is the assembly and presentation of evidence that accomplishments have occurred over the course of a performance review period.

The time period to which the “stop the clock” option is applied is the performance review period within which the request is made. The “stop the clock” option is only open to individuals who have not been able to make normal progress toward “building a case for tenure” as defined above. It is not open to an individual who has been unable to prepare an e-dossier, i.e., evidence of accomplishment, by the date stipulated in the governing Calendar for Faculty Personnel Actions.

PROCEDURES FOR REVISION OF DEPARTMENTAL RTP CRITERIA

Departments shall review and may consider revisions to their Retention, Tenure, and Promotion (RTP) criteria every 6 years. The current criteria, revised in Fall 2022, are in effect beginning in academic year 2023-24. Departments wishing to make any substantive changes within the six-year period must obtain written permission from the Provost. The Provost shall establish the timetable for the revision of departmental criteria. Procedures for this revision are as follows:

- b. Departments are encouraged to carefully review the criteria that they presently have and use APSU Policies 1:025, 2:063 and this RTP Procedures and Guidelines document to inform their discussions.
- c. Each department will establish a criteria-review committee. The committee will include members from all tenure-track and tenured ranks within a department. The review committee will review the criteria, propose changes, and discuss the revised criteria with the department.
- d. The review committee may incorporate suggested changes to the RTP criteria and forward the proposal in writing with brief rationales for those changes to the dean.

The dean will review the proposed changes and make suggestions with brief rationales to the departmental criteria review committee.

- e. The review committee shall reconvene and consider the dean's suggestions and may choose to modify the RTP criteria. Then, the review committee will prepare a final revision of the RTP criteria and present it to the department. All tenured and tenure-track faculty members of the department will vote on the proposed changes. For the proposal to move forward, a simple majority of the voting members must approve the proposed changes. If the vote fails, the review committee will reconvene and consider faculty members' suggestions and may choose to modify the RTP criteria to bring to the faculty members for a second vote. The chair will cast an independent vote. The approved proposal and vote tally shall be forwarded to the department's dean.
- f. The department's proposed RTP criteria will be reviewed and voted on by the College Promotion Committee, chaired by the dean. The dean and college promotion committee will send to the Provost the department's proposed changes (including any college-level or decanal comments) and votes of the College Promotion Committee and of the dean. The dean will forward the results of Dean's vote and College Promotion Committee's votes to the department chair for dissemination to all faculty members within the department.
- g. The Provost shall review each department's proposed RTP changes. The Provost may make suggestions in writing with brief rationales and send them back to the department chair, with a copy to the dean. The chair shall inform the department of the Provost's comments. The department review criteria committee will reconvene and consider the Provost's suggestions. The Provost may meet with the department to discuss revisions. The review criteria committee will prepare its final proposed criteria and send them to the Provost.
- h. After consultation with the dean, chair, and department criteria review committee, the Provost will approve final departmental criteria.
- i. Changes to a department's RTP criteria will take effect the following academic year. Faculty members who believe that the newly adopted criteria will negatively affect future retention or tenure actions may appeal their case to the Provost. The timeline shall be set by the provost.
- j. College Committees are not permitted to reinterpret and/or redefine departmental RTP criteria.

CAVEATS

1. Any department, division, or unit that does not fit within the evaluative framework presented above will have its process designated by the Provost but must be consistent with the spirit of the above-described process.
2. When a catastrophic event such as a pandemic, a natural disaster, or other event disrupts normal campus operations, forcing campus operations to remote mode, the Retention, Tenure, and Promotion process will use the procedures outlined in Appendix A, Virtual RTP Process Training Guide.

LINKS

APSU Policy 5:020	Leave Policies https://apsu.navexone.com/content/docview/?docid=184
APSU Policy 1:025	Policy on Academic Tenure https://apsu.navexone.com/content/docview/?docid=29
APSU Policy 2:063	Policy on Academic Promotion https://apsu.navexone.com/content/docview/?docid=253
APSU Policy 2:052	Academic Freedom and Responsibility https://apsu.navexone.com/content/docview/?docid=114
APSU Policy 2:066	Faculty Discipline and Performance Improvement Policy https://apsu.navexone.com/content/docview/?docid=365
APSU e-Dossier Website	https://www.apsu.edu/academic-affairs/faculty/rtp/edossier.php
APSU QEP	https://www.apsu.edu/qep/index.php

Revision Dates

APSU RTP P&G --Rev: April 27, 2023
APSU RTP P&G – Rev: February 17, 2023
APSU RTP P&G – Rev: August 10, 2022
APSU Tenure P&G – Rev: May 7, 2021
APSU Tenure P&G – Rev: January 27, 2021
APSU Tenure P&G – Rev: April 30, 2020
APSU Tenure P&G – Rev.: June 3, 2019
APSU Tenure P&G – Rev.: April 27, 2018
APSU Tenure P&G – Issued: July 12, 2016

Guidelines for Online or Hybrid Active Participation Requirements

- Students simply logging into a learning management system and viewing an online or hybrid course will NOT qualify as active participation.
- Instructors in online and hybrid courses are responsible for providing students with clear instructions for how they are required to actively participate in the course (i.e., specify in the course syllabus, calendar, meeting dates/times, etc.)
- Online/hybrid Instructors should incorporate periodic mechanisms for documenting student's active participation in a course and a student's timely submission of graded assignments (weekly discussion, assessment, course activity, etc.).
- Students who fail to meet active participation requirements within the first 14 days of the course should be given an FN (Never Attended). If a student meets active participation requirements during the first week of class, and then subsequently fails to actively participate, students should be given an FA (Failure to Attend).

Active participation by a student in an instructional activity related to the student's course of study includes but is not limited to:

- Attending a synchronous class, lecture, recitation, or field or laboratory activity, physically or online, where there is an opportunity for interaction between the instructor and students
- Submitting an academic assignment
- Taking an assessment or an exam
- Participating in an interactive tutorial, webinar, or other interactive computer-assisted instruction
- Participating in a study group, group project, or an online discussion that is assigned by the instructor
- Interacting with an instructor about academic matters

Departments and programs governed by accreditation or certification standards may have different attendance policies. Instructors may further refine these requirements to fit a particular course. Such additional requirements should be clearly stated in the syllabus and should not contradict active participation requirements outlined above.

F, FA and FN Grades

The Department of Education and Veterans Affairs federally require the grades of FA and FN for the purpose of monitoring attendance and ensuring the accurate payment of federal funds by the Office of Student Financial Aid and Veterans Affairs. In addition, state programs such as the Tennessee Lottery scholarship also require attendance grade reporting. Failure to follow the procedure for FA and FN grades may result in a federal or state audit finding and financial penalties for the University for Overpayment of funds. Faculty are encouraged to read the section on ~~Dropping Courses, Grades Awarded, Withdrawals~~ [Drop and Withdrawal Standards and Grading System](#) in the current [APSU Undergraduate Bulletin](#) for more information. ~~More information related to FA/FN grades can be found here.~~²

Overview of Grades of FN/FA

The grades of FN and FA are required for Financial Aid reporting purposes. If the instructor allows the student to attend the course after receiving the FN or FA grade, the grade should be updated in Web Self-Service. In some cases, the Office of Student Financial Aid may require the student to obtain written confirmation of active participation from the instructor.

Giving a student a grade of FN or FA must occur in the 'Final Grades' area in Web Self-Service. Please be sure to list the last date of attendance when assigning these grades.

FN Example: A student registers, but never attends the class. The student's last recorded attendance

needs to be input as the first day of class for the FN grade.

FA Example: Student attends the class until 9/15/2024, but has not attended since. The student's last recorded attendance grade should be input as 9/15/2024 for the FA grade.

Grade of FN

A grade of FN is defined as "Failure: Never Attended". The grade of FN is awarded when the student has not attended the course within two weeks of the class start date. The student's last recorded attendance needs to be input as the first day of class for the FN grade.

Example: A student registers for the class before the term begins, but never attends the class. The student's last recorded attendance needs to be input as the first day of class for the FN grade.

Additional example: A student registers for the class halfway through the second week of classes, but never attends. In this case, a grade of FN should be entered by the end of the fourth week of class.

Grade of FA

A grade of FA is defined as "Failure: Absent". The grade of FA is awarded when the student has not attended the course for two consecutive weeks, but has previously attended class.

Example: Student was attending the class, but stops attending for two consecutive weeks. A grade of FA should be recorded.

Additional example: Student was attending the class, but stops attending intermittently. The student misses enough work to drop their earned grade to an F. The student does not miss class for two consecutive weeks, but they are not earning a passing grade. This student has *not* earned an FA; in this case the student should be assigned a grade of F. Their last date of attendance should be entered with the grade of F.

Awarding FA/FN in Online vs. On-ground Environments

Attendance in the online environment is not earned simply by signing into the learning management system, but requires students to complete assignments. Please review the above section "Guidelines for Online or Hybrid Active Participation Requirements" for detailed information on activities that count toward attendance in online courses. If a student has not completed any assignments in D2L for two consecutive weeks, that may warrant a grade of FA. If a student does not complete any assignments within the first two weeks, that may warrant a grade of FN. Attendance in the on-ground environment is earned by the student's physical presence in class.

Grade of F

All grades of "F" will require faculty to indicate the student's last date of attendance.

Grades Awarded for Dropped Courses

The grade awarded for a dropped course or for courses from which the student withdrew depends on the date the student withdrew from the course or from the University. The dates for awarding grades appear in the official University calendar.

- A grade of "W" is awarded when the student drops or withdraws within the time period the University has established for awarding an automatic "W." The grade has no impact on the student's cumulative GPA.

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- Students will request to drop using the 'Request to drop after W' on Self Service. The request will be routed to an Enrollment and Student Achievement committee to make a decision of awarding the student a W or F for the course. Students with an FN/FA will not be able to request to drop the course(s).
- ~~A grade of "F", "WFA", "WFN" or "W" will be awarded if the student drops or withdraws between the automatic "W" date and the automatic "F" date. A grade of "W" will only be awarded if the instructor determines the student is passing at the time of withdrawal.~~

*https://www.apsu.edu/financialaid/withdrawing_from_courses/failure_to_attend/attendance_reporting.php

Austin Peay State
University

Policy on Academic Tenure

POLICIES**Issued:** September 18, 2020**Responsible Official:** Provost and Senior Vice President for Academic Affairs**Responsible Office:** Academic Affairs

Policy Statement

The following policy of Austin Peay State University (APSU) on tenure is applicable to all tenure-track faculty within the University.

Faculty and administrators are also required to follow the [Tenure RTP](#) Procedures and Guidelines document, which comprises procedures and guidelines related to the retention, tenure, and promotion of all tenure-track and tenured faculty within the University. These procedures and guidelines embody and communicate all provisions, definitions, and stipulations of Austin Peay State University.

The quality of the faculty of any University is maintained primarily through support of a wide variety of professional development. It is monitored through the appraisal, by competent faculty and administrative officers, of each candidate for tenure. Tenure at Austin Peay State University provides certain full-time faculty with the assurance of continued employment during the academic year until retirement or dismissal for adequate cause, financial exigency, or curricular reasons, as further discussed herein.

Contents

Definitions

- Academic Tenure
- Adequate Cause
- Financial Exigency
- Faculty Member
- Probationary Employment
- Faculty Appointments
- The Evaluation Process

Procedures

- Consideration for Tenure
- Criteria to be considered in Tenure Recommendations
- Changes in Tenure/Tenure-Track Status

Links

- APSU [Tenure RTP](#) Procedures and Guidelines
- APSU Policy 2:051
- APSU Policy 1:012

Definitions

Academic Tenure	A personnel status in an academic department or academic program unit pursuant to which the academic or fiscal year appointments of full-time faculty who have been awarded tenure are continued at a University until the expiration or relinquishment of that status, subject to termination for adequate cause, for financial exigency, or for curricular reasons.
Adequate Cause	A basis upon which a faculty member, either with academic tenure or a tenure-track or temporary appointment prior to the end of the specified term of the appointment may be dismissed or terminated. The specific grounds that constitute adequate cause are set forth in Termination for Adequate Cause Section H herein.
Financial Exigency	The formal declaration by the APSU Board of Trustees that APSU faces an imminent financial crisis, that there is a current or projected absence of sufficient funds (appropriated or non-appropriated) for the campus as a whole to maintain current programs and activities at a level sufficient to fulfill its educational goals and priorities, and that the budget can only be balanced by extraordinary means which include the termination of existing and continuing academic and non-academic appointments. The purpose of the APSU financial exigency policy is to establish the criteria and process regarding financial exigency at the university.
Faculty Member	A full-time employee who holds academic rank as instructor, assistant professor, associate professor, or professor. APSU Policy 2:051 provides additional details about types of appointments.
Probationary Employment	Period of full-time professional service by a faculty member for whom an appointment letter denotes a tenure-track appointment

in which he/she does not have tenure and in which he/she is evaluated by the University for the purpose of determining his/her satisfaction of the criteria for a recommendation for tenure. Probationary employment provides an opportunity for the individual to assess his/her own commitment to the University and for the University to determine whether the individual meets its perception of quality and/or projected need.

Faculty Appointments

See APSU Policy No. 2:051.

Annual Evaluation

Annual evaluations conducted by the candidate's department chair or other appropriate head of an academic program unit are an important aspect of the criteria for tenure at APSU; therefore, university policy should include a clear statement as to the role of evaluation in measuring those criteria relevant to assessing the merit of the probationary candidate.

Procedures

Consideration for Tenure

A. Tenure Appointments

The awarding of tenure is recognition of the merit of a faculty member and of the assumption that he/she would meet the long-term staffing needs of the department or academic program unit and the University. Tenure is awarded only to those members of the faculty who have exhibited professional excellence and outstanding abilities sufficient to demonstrate that their future services and performances justify the degree of permanence afforded by academic tenure. The APSU Board of Trustees does not award tenure in non-faculty positions.

Tenure appointments reside in the departments and academic program units and are assurances of continued employment during the academic year subject to expiration, relinquishment, or terminations of tenure as set out in Sections IV (Criteria to Be Considered in Tenure Recommendations) and V (Changes in Tenure/Tenure-Track Status). Recommendations for or against tenure should originate from the department or academic program unit in which the faculty member is assigned and should include appropriate participation in the recommendation by tenured faculty in the department or academic program unit as specified in Policy.

Who Awards Tenure at APSU

Tenure is awarded only by positive action of the APSU Board of Trustees, pursuant to the requirements and procedures of this policy at APSU. No faculty member shall acquire or be entitled to any interest in a tenure appointment at APSU without a recommendation for tenure by the President of the University and an affirmative award of tenure by the APSU Board of Trustees. No other person shall have any authority to make any representation concerning tenure to any faculty member, and failure to give timely notice of non-renewal of a contract shall not result in the acquisition of a tenure appointment, but shall result in the right of the faculty member to another year of service at APSU, provided that no tenure appeals remain outstanding due to lack of cooperation and/or appropriate action on the part of the candidate in completing the appeal process.

The President has the authority to recommend tenure or to continue faculty members in probationary status in accord with the provisions elsewhere in this policy. The President shall base his/her determination upon consideration of the recommendations of departmental and college retention and tenure committees, and upon the recommendations of departmental Chairs*, college Deans*, and the Provost.

*(APSU Editorial Note: Some academic units of the University have directors instead of Chairs. If the job description of the director of an academic unit includes duties and responsibilities typically assigned to the Chair of a department, then the director shall be seen as the equivalent of a Chair and shall participate in all personnel processes including retention, tenure, and promotion.)

See *Tenure RTP Procedures and Guidelines* document for Calendar for Faculty Personnel Actions.

B. Tenure Process

All tenure-track faculty shall be reviewed for retention [beginning in their second year](#) on an annual basis until they attain tenure. The guidelines governing the criteria for retention are included within this policy (1:025) as well as in the *Tenure RTP Procedures and Guidelines* document.

Types of evidence relevant to evaluating effectiveness and contributions in teaching, research/scholarship, and

service/outreach are identified in this policy under “General Criteria for Evaluation of Faculty Members.”

1. Departmental Recommendations

- a. The departmental chair/director shall inform faculty members who are to be reviewed of the nature of materials required by the retention and tenure committee and the date by which these materials must be received for committee consideration.

Faculty members under review for retention, tenure, and promotion are responsible for submitting well-organized, up-to-date, and accurate e-dossiers. This responsibility shall end upon final submission of the e-dossier by the faculty member for the year under review.

Faculty members are encouraged to work closely with their directors/chairs, assigned mentors, and/or other senior faculty within and outside of their department (as necessary) to make sure that the e-dossier complies with ~~content and order~~ requirements as noted below. Faculty members should consider the preparation of e-dossiers as a year-round process, gathering and maintaining materials accordingly.

Faculty should consult the *Tenure RTP Procedures and Guidelines* document for developing their e-dossiers.

Confidentiality of Meetings

All retention, tenure, and promotion committee proceedings and deliberations are strictly confidential. Faculty members who serve on review committees may discuss the vote and specifics of a particular personnel meeting only with other members who are also part of that same personnel review committee. As the discussion of the review committees involves personnel issues, the personnel review committee members are encouraged to exercise appropriate discretion in any subsequent discussion of the meetings. Faculty may consult with the university ombudsman and the Office of Human Resources in this process.

C. Minimum Eligibility Requirements for Consideration for Academic Tenure

1. Academic tenure may be awarded only to full-time faculty members who: (a) hold academic rank as instructor, assistant professor, associate professor, or professor and meet the minimum rank criteria for the rank held under APSU Policy 2:063 (Faculty Promotion); (b) have been employed through tenure-track appointments and have completed not less than the minimum probationary period of service; and (c) have been determined by the institution to meet the criteria for recommendation for tenure and have been so recommended based upon this policy.
2. Faculty holding temporary appointments are not eligible for tenure.
3. Faculty members supported in whole or in part by funds available to the institution on a short-term basis, such as grants, contracts, or foundation-sponsored projects, shall not be eligible for tenure unless continuing support for such members can be clearly identified in the regular budget of the institution upon the recommendation of tenure to the APSU Board of Trustees.
4. No faculty member shall be eligible for tenure in an administrative position; however, when a faculty member with tenure is appointed to an administrative position, he/she will retain tenure in the former faculty position; and a faculty member otherwise eligible for tenure who holds an administrative position may be awarded tenure in the faculty position only, subject to the requirements of this policy.

D. Probationary Employment

Probationary faculty may be employed on annual tenure-track appointments for a probationary period, which may not exceed six (6) years; however, six (6) years is considered to be the normal length of time required to develop a substantial record in teaching, research and service. The faculty member may apply for tenure following a probationary period of not less than five years, provided that exceptions to the minimum probationary

period may be made under special circumstances upon recommendation by the President and approval of the APSU Board of Trustees. Upon approval of such an exception by the APSU Board of Trustees, the faculty member's recommendation for tenure will go forward to the Board as meeting the requirements for the probationary period, per APSU Policy 2:063.

1. Approved Leave of Absence

A period of approved leave of absence shall be excluded from the requisite period for completion of the probationary period unless the Provost of the University specified in writing prior to the leave of absence that it shall be included in the probationary period. However, articles that are published (online or in print) during the "leave of absence" period shall be accepted as items in Area 2 (Scholarly and Creative Achievement) during the probationary period.

For example, if the faculty member receives notice of an acceptance of an article (submitted at a previous time) during the "leave of absence" period or receives notice of an invitation to submit a scholarly essay to a journal, the faculty member may count this as part of his/her publication achievements in Area 2. When there is disagreement as to the admissibility of scholarly/creative activity in Area 2 during a "leave of absence" period, the faculty member shall consult with his/her Chair, Dean, and Provost to resolve the situation. This provision applies to tenure-track faculty only.

Leaves of absence may not be granted retroactively. A faculty member may apply for a maximum of two (2) extensions in one-year increments so long as the total probationary period does not exceed six years. Requests for a second extension follow the same procedure and are subject to the same considerations as the original extension.

2. Stopping the Tenure Clock

A faculty member in a tenure track appointment may request to "stop the clock" during his/her probationary period when circumstances exist that interrupt the

faculty member's normal progress toward building a case for tenure. Discretion for stopping the tenure clock rests on the institution and requires supervisory approval. In such cases, the faculty member may request to "stop the tenure clock" for one-year if he/she demonstrates that circumstances reasonably warrant such interruption. Reasons for approving a request to "stop the clock" will typically be related to a personal or family situation requiring attention and commitment that consumes the time and energy normally addressed to faculty duties and professional development. Examples may include, but are not limited to, childbirth or adoption, care of dependents, medical conditions or obligations, physical disasters or disruptions, or similar circumstances that require a fundamental alteration of one's professional life. The intent of this policy is to serve the best interests of the University while providing neither preference to, nor adverse effect on, a faculty member's process of developing a case for tenure. Once approved, the "stop the clock" year is not counted in the probationary period accrual.

However, articles that are published (online or in print) during the "stop the clock" year shall be accepted as items in Area 2 (Scholarly and Creative Achievement) during the probationary period. For example, if the faculty member receives notice of an acceptance of an article (submitted at a previous time) during the "stop the clock" year or receives notice of an invitation to submit a scholarly essay to a journal, the faculty member may count this as part of his/her publication achievements in Area 2. When there is disagreement as to the admissibility of scholarly/creative activity in Area 2 during a "stop the clock" year, the faculty member shall consult with his/her Chair, Dean, and Provost to resolve the situation. This provision applies to tenure-track faculty only.

3. Procedure for Modifying the Probationary Period

A faculty member seeking a modification of his/her probationary period must submit his/her request, in writing, addressing the considerations described above. The request is to be submitted to the department chair/director for consideration and recommendation.

The chair/director’s recommendation is forwarded to the Dean of the faculty member’s college for consideration and recommendation; thence to the Provost for consideration and approval or denial. The Provost will notify the faculty member, in writing, of such exceptions within one month of submission. Requests for modification of the probationary period that are based on a faculty member’s health or care for an immediate family member should also be submitted to the APSU Office of Legal Affairs.

A faculty member who is appointed to an administrative position prior to a tenure award remains eligible for tenure under two conditions: 1) the faculty member must qualify for tenure under departmental or academic program unit, college and University guidelines; and 2) the faculty member must maintain a significant involvement in academic pursuits including teaching, scholarship and service. The time (or prorated portion of time) spent in the administrative position may be credited toward completion of the probationary period.

Where a faculty member is serving a probationary period in a department or academic program unit and is subsequently transferred to another department or academic program unit, the faculty member may – with the approval of the Provost– elect to begin a new probationary period on the date that the transfer occurs. If he/she does not so elect (and confirm in writing to the President), time spent in the first appointment shall count toward establishing the minimum and maximum probationary period.

Criteria to be Considered in Tenure Recommendations

Overview

Faculty members shall be evaluated for retention, tenure, and promotion in the areas listed below and according to the standards indicated for the particular personnel action being considered. Time periods for particular personnel actions and supporting e-dossier material relevant to each action are as follows:

- Retention: since initial appointment;
- Tenure: since initial appointment; and
- Promotion: since initial appointment or date of last promotion whichever is the more recent.

General Criteria for Evaluation of Faculty Members

The following are general criteria to be used in evaluating faculty members for any personnel action. This list is not exhaustive, and the selection and relative importance of each of these criteria will vary with the type of action contemplated as well as the nature and mission of the department to which the faculty member is assigned. It should also be recognized that common sense and flexibility need to be used in the application of criteria. Faculty members truly outstanding in one (1) area but less active or successful in others may well be contributing more to the well-being of the University than someone adequate in all areas but outstanding in none. Reasonable expectations for the following evaluative criteria for retention, tenure, promotion and merit shall be established in writing at the departmental and college levels as a standard or basis for personnel actions.

1. Teaching effectiveness;
2. Effectiveness in other academic assignments, including student advisement, as well as departmental and program administrative assignments;
3. Research, scholarly and creative activity;
4. Professional degrees, awards, and achievements;
5. Professional service (may include institutional committee assignments) to the University, the community, and the State or Nation;
6. Activities, memberships, and leadership in professional organizations;
7. Evidence of continuing professional development and growth; and potential for contributions to the objectives of the department and the University and
8. Demonstrated willingness and ability to work effectively with colleagues to support the mission of the institution and the common goals both of the institution and of the academic organizational unit;

and evidence of, regard for, and performance consistent with, accepted standards of professional conduct.

For convenience and further clarification, APSU groups these criteria into three general areas of evaluation: Effectiveness in Academic Assignment; Scholarly and Creative Achievement; and Professional Contributions and Activity.

A. Effectiveness in Academic Assignment

Effective teaching is an essential qualification for tenure, and tenure should not be granted in the absence of clear evidence of a candidate's teaching ability and potential for continued development. Excellence in teaching is a strong recommendation for both tenure and promotion though it cannot be considered in isolation from scholarship and service. Although it is difficult to establish evidence of teaching excellence, each department must develop a procedure to ensure that factual information relative to a candidate's teaching is available at the time he/she is considered for tenure. It is expected that a component of teaching is effective student advisement.

The teaching portfolio should include, but is not limited to, evidence of teaching excellence as follows: ability to organize and present subject matter in a logical and meaningful way; ability to motivate and stimulate creativity, intellectual curiosity, and interest in writing and inquiry in undergraduates and/or graduate students; and evidence of peer evaluation. Documentation of teaching should routinely include: statement of teaching philosophy; course materials; student evaluations for every course evaluated during the probationary period; and evidence of supervision of student projects and other forms of student mentorship. A candidate for tenure may choose to include other types of evidence that support his/her application for tenure such as additional student input; student products; teaching recognition; teaching scholarship; peer input; evidence of professional development in teaching; evidence of disciplinary or interdisciplinary program or curricular development; alumni surveys and student exit interviews; and other evidence of excellence in teaching or mentoring, or both.

Candidates should be evaluated within the scope of their

defined academic assignment. For most faculty members, judgment of “Effectiveness in Academic Assignment” will involve evaluation primarily of teaching, student advising, and related instructional activities.

Positive evaluation in the area “Effectiveness in Academic Assignment” is the prime, but not sole, condition for retention, tenure, or promotion.

- 1. Teaching Effectiveness.** Evidence for teaching effectiveness shall include a list of courses taught, a sample of relevant course materials, and student evaluations since the most recent similar action was taken. Evidence may also include letters from present and former students solicited on a statistically random basis by the department chair/director and returned to him/her and all included in the dossier; reviews of public talks or lectures; evaluations by the faculty member's colleagues and Deans and directors supervising special programs in which the faculty member participates.

Faculty members may present their own analyses of their student evaluations, teaching materials, and teaching methods. Contributions such as the direction of student research and special studies, student advisement, the development or initiation of new courses, involvement in Continuing Education programs, and carefully evaluated and properly supervised experimentation in instruction should also be included.

- 2. Non-Teaching and Teaching Chairs, Directors, and Coordinators.** Academic program directors and department chairs who do not teach will be evaluated for retention and tenure in Category A (“Academic Assignment”) on the basis of their effectiveness in their administrative position. Department chairs who teach will be evaluated for retention and tenure on their teaching effectiveness as well as their effectiveness in their administrative position.

B. Research/Scholarship/Creative Activities

A candidate for tenure must present evidence of his/her research, scholarship and/or creative activities when he/she applies for tenure. Such evidence should cite books,

journal articles, monographs, creative activities, performances, or exhibitions that have undergone appropriate peer review. Research publications in refereed journals or media of similar quality are considered reliable indicators of research/scholarly ability. Written reviews and evaluations by qualified peers, either in person or aided by other forms of reports, or both, are appropriate for performances, compositions, and other artistic creations. Books published by reputable firms and articles in refereed journals, reviewed by recognized scholars, are more significant than those that are not subjected to such rigorous examination. It should be emphasized that quality is more important than quantity.

The tenure dossier/application must include evidence of peer review of the candidate's record of research/scholarly activity by qualified peers. The scholarship of teaching is a valid measure of research capability. It goes beyond doing a good job in the classroom; creative teachers should organize, record, and document their efforts in such a way that their colleagues may share their contributions to the art of teaching. Appropriate textbooks or educational articles in one's own discipline and innovative contributions to teaching, if published or presented in a peer-reviewed forum, constitute scholarship of teaching.

Research and scholarly and creative activities are important to the University's role in society. Clear evidence of the quality of work shall be a part of every evaluation, including evaluations from Deans and directors supervising special programs in which the faculty member participates. Evidence supplied by the candidate or others might include the following:

- 1. Publications.** These include books or chapters in books, textbooks, articles in refereed journals, articles in non-refereed journals, monographs, refereed and non-refereed conference proceedings, book reviews, and other similar published materials.
- 2. Papers Presented.** These include those papers presented at local, state, regional, national, and international professional meetings. The significance of content and selection process should be considered in reviewing such presentations.

3. **Performance or Exhibitions.** These include performances or exhibitions that are invited or juried by nationally or regionally recognized members or groups within that area of expertise.
4. **Research or Arts in Progress.** Verification of stages of development is mandatory.
5. **Other Items.** These include funded or unfunded research proposals, grant applications, computer software development, audio-visual media, and other similar material.

C. Professional Contributions and Activities

Part of every faculty member's expected performance in Professional Contributions and Activities is regular participation in the governing and policy-making processes of the University, and such participation should be included in this area of evaluation. Evidence of a faculty member's contributions in the area of professional service might include examples of assistance to the faculty member's discipline, the local community, and to the larger society. The faculty member should also include evidence of continuing professional development and growth. The documentation of all service activities is required and may include evaluations from colleagues, Deans and directors supervising special programs in which the faculty member participates. Service should include participation in organizations and on committees, although more significance will be attached to formal and informal leadership than to mere membership. Evidence might involve the following:

1. **Service to Campus.** University service refers to work other than teaching and scholarship done at the department, college, or University level. A certain amount of such service is expected of every faculty member; indeed, universities could hardly function without conscientious faculty who perform committee work and other administrative responsibilities. University service includes, but is not limited to, serving on departmental committees and participating in college and University committees. Some faculty members may accept more extensive citizenship

functions, such as a leadership role in the Faculty Senate, membership on a specially appointed task force, service as advisor to a University-wide student organization, and membership on a University search committee.

2. **Service to One's Discipline.** This category includes memberships and leadership positions in professional organizations at state, regional, or national levels and includes service as track chair, session chair, discussant, paper reviewer, editorial staff, etc.
3. **Service to the Community.** This category includes presentations related to one's discipline; providing professional advice or consultations to groups or individuals; and providing other types of service related to the discipline, particularly in the University's service area.
4. **Professional Development.** This category includes training, workshops, seminars, continuing education, conference attendance, online training, or similar activities related to professional growth.

D. Criteria for Assessing the Long-Term Staffing Needs

The long-term staffing needs of the department/division and the University are taken into account at each level in the review process when candidates are evaluated for retention and tenure. Criteria to be considered may include the following:

1. University mission;
2. Enrollment patterns;
3. Program changes;
4. Potential resources for staff additions;
5. Prospective retirements and resignations; and
6. Maintenance of adequate faculty to support essential curricula.

Changes in Tenure/ Tenure-Track Status

A. Non-renewal of Probationary Tenure-Track

1. When tenure-track appointments of faculty are not to be renewed for further service, the faculty member shall receive notice of his/her non-retention for the ensuing academic year as follows:

- ~~a. Not later than April 1 of the first academic year of service, if the appointment expires at the end of that year; or, if the appointment terminates during an academic year, at least two months in advance of its termination;~~
- b. Not later than January 1 of the second year of service, if the appointment expires at the end of that year; or, if the appointment terminates during an academic year, at least five months in advance of its termination or
- c. Not later than the close of the academic year preceding the third or subsequent year of service, if the appointment expires at the end of that year; or, if the appointment terminates during an academic year, at least twelve months in advance of its termination.

The above stated dates are the latest dates for notice of non-renewal of faculty on tenure- track appointments. Notice of non-renewal shall be effective upon personal delivery of the notice to the faculty member, or upon the date the notice is mailed, postage prepaid, to the faculty member at his/her current home address of record at the University.

Applicable dates for notice of non-renewal are based upon actual years of service at APSU and in no way affected by any credit for prior service. When a faculty member on a tenure-track appointment completes his/her probationary period, the faculty member will be recommended for tenure by the President or will be given notice of non-renewal of the appointment during the spring term following application for such status.

NOTE: Those faculty who are on a customized personnel calendar and apply for tenure in the spring term will be recommended for tenure or given notice of non-renewal during the same spring term in which they apply for tenure.

Such notice of non-renewal should be given no later than the final day of the academic year. The faculty member's right in an instance where timely notice is not given is described in the section titled Changes in

Tenure/Tenure-Track Status, Procedures for Termination for Adequate Cause.

2. Faculty members on tenure-track appointments shall not be terminated during the term of the annual appointment as stated in the employment contract except for reasons that would be sufficient for the termination of tenured faculty.
3. The non-renewal or non-reappointment of any faculty member on a tenure-track appointment does not necessarily carry an implication that his/her work or conduct has been unsatisfactory.

Unless there is a violation of state or federal law under the limitations described in the APSU Policy 1:010 (Appeals and Appearances Before the Board) decisions that are not subject to appeal to the APSU Board include (a) non-renewal of a tenure-track faculty appointment during the first five years of the probationary period and (b) denial of early tenure unaccompanied by notice of termination. ~~B. Transfer of Tenure~~

B. Transfer of Tenure

Where a faculty member is tenured in an academic program unit (e.g., a department or division), he/she may be transferred to another academic program unit. In such cases, the transfer will be made with tenure; moreover, the tenure appointment will be transferred to the new academic program unit. In no instance may the faculty member be compelled to relinquish tenure as a condition for effecting the transfer.

C. Expiration of Tenure

Tenure status shall expire upon retirement of the faculty member. Tenure shall also expire upon the event of permanent physical or mental inability of a faculty member, as established by an appropriate medical authority, to continue to perform his/her assigned duties.

D. Relinquishment of Tenure

A faculty member shall relinquish or waive his/her right to tenure upon resignation from the University or upon failure to report for service at the designated date of the beginning

of any academic term, which shall be deemed to be a resignation unless, in the opinion of the President, the faculty member has shown good cause for such failure to report. Where a tenured faculty member is transferred or reclassified to another department or academic program unit by the University, the transfer or reassignment shall be with tenure. Tenure is not relinquished during administrative assignments at the University.

E. Termination of Tenure for Reasons of Financial Exigency

A tenured faculty member may be terminated as a result of financial exigency at APSU subject to the APSU Board of Trustees declaration that such financial conditions exist. Personnel decisions (including those pertaining to tenured faculty) that result from a declaration of financial exigency at APSU will comply with the APSU Board of Trustees' policy 5:025 (APSU Policy on Financial Exigency).

F. Termination of Tenure for Curricular Reasons

The employment of a tenured faculty member may be terminated because 1) an academic program is deleted from the curriculum or 2) because of substantial and continued reduction of student enrollment in a field or discipline. Before declaring that curricular reasons exist, the President will ensure meaningful participation by the University's representative faculty body in identifying the specific curricular reasons, evaluating the long-term effect on the University's curriculum and its strategic planning goals, and the advisability of initiating further action. Prior to initiating the process described below, the President will present- either verbally or in writing - a description of curricular reasons that may warrant the termination of tenured faculty member(s).

The procedures whereby this presentation is made to a representative faculty body is provided below in item G. That body will have the opportunity to respond in writing to the President before action described below is initiated. Each of these reasons for termination of tenure for curricular reasons must denote shifts in staffing needs that warrant greater reductions than those that are accommodated annually in light of shifting positions from one department to another or among colleges to handle changing enrollment

patterns.

1. Part-time faculty within a department or division should not be hired or renewed before tenured faculty are terminated.
2. Temporary faculty should not be renewed before tenured faculty are terminated.
3. Tenure-track faculty in the probationary period should not be renewed before tenured faculty are terminated.
4. Among tenured faculty, those with higher rank should have priority over those with lower rank.
5. Among tenured faculty with comparable rank, those with appropriate higher academic degree(s) should have priority over those with lower academic degree (s).
6. Among tenured faculty with comparable rank and degrees, those with greater seniority in rank should normally have priority over those with less seniority.

G. Procedures for Termination of Tenure

1. Upon determining that termination of one or more tenured faculty members is required for one or more of the two reasons cited above, the President shall furnish each faculty member to be terminated a written statement of the reasons for the termination. Those reasons shall address fully the curricular circumstances that warranted the termination and shall indicate the manner and the information upon which the decision of which faculty members were to be terminated was reached. The President's written statement shall also indicate that the faculty member has the opportunity to respond in writing stating any objections to the decision.
2. If the faculty member(s) to be terminated indicate(s) objections to the President's written statement(s) and request(s) a review, the President will appoint a faculty committee consisting of a minimum of five tenured faculty members from a slate of ten tenured faculty

members proposed by the representative faculty body. The committee shall conduct a hearing on the proposed termination(s). The committee shall report its findings and recommendations to the President, who shall in a reasonable time inform the faculty member(s) proposed for termination in writing either that the decision for termination stands or that it has been altered.

3. The President's decision to terminate a tenured faculty member for curricular reasons is subject to appeal to the APSU Board of Trustees as provided in APSU Policy 1:010 (Appeals and Appearances Before the Board).
4. When a tenured faculty member is terminated for curricular reasons, the position will not be filled by a new appointee with the same areas of specialization as the terminated faculty member within a period of three years unless the terminated faculty member has been offered, in writing, reappointment to the position at his/her previous rank and salary (with the addition of an appropriate increase which, in the opinion of the President, would constitute the raise(s) that would have been awarded during the period that he/she was not employed).
5. Upon determining that termination of one or more tenured faculty members is warranted for curricular reasons, the President shall base his/her decision about which faculty member(s) should be terminated upon his/her assessment as to what action would least seriously compromise the educational programs in a department or division. Termination for curricular reasons presumes a staffing pattern in a department or academic program unit that cannot be warranted either by comparison with general load practices within the University or by comparison with faculty loads in comparable departments or academic program units at similar universities. In that light, the President shall also, at his/her discretion, base his/her decision on a careful assessment of the impact of the curricular reason on staffing requirements in the department or academic program unit as compared to overall patterns in the University and to comparable departments or academic program units which, in his/her judgment, are in universities similar enough to warrant assessment.

6. Definitions

- a. “Program is deleted from the curriculum” means that the Board takes formal action to terminate a degree major, concentration, or other curricular component and that such termination eliminates or reduces need for faculty qualified in that discipline or area of specialization.
 - b. “Substantive and continued reduction of student enrollment in a field” means that over a period of at least three (3) years student enrollment in a field has decreased at a rate in considerable excess of that of the University as a whole and that such reduction has resulted in faculty-student ratios that, in the opinion of the President, cannot be warranted either by comparison with equivalent faculty load practices within the University or by comparisons with faculty loads in comparable departments or academic program units at similar universities which the President would deem to be appropriate for comparison.
7. When a tenured faculty member is to be terminated for curricular reasons, the President will make every possible effort to relocate the tenured faculty member in another existing vacant position for which he/she is qualified. In instances where (in the opinion of the President) relocation within the University is a viable alternative, the University has an obligation to make significant effort to relocate the faculty member, including the bearing of reasonable retraining costs. The final decision on relocation is within the discretion of the President.

H. Termination for Adequate Cause

A faculty member with tenure or a faculty member on a tenure-track appointment prior to the end of the term of appointment may be terminated for adequate cause, which includes the following:

1. Incompetence or dishonesty in teaching or research;
2. Willful failure to perform the duties and

responsibilities for which the faculty member was employed or refusal or continued failure to comply with the policies of the Board, the University or the department, or to carry out specific assignments, when such policies or assignments are reasonable and non-discriminatory;

3. Conviction of a felony or a crime involving moral turpitude;
4. Improper use of narcotics or intoxicants, which substantially impairs the faculty member's fulfillment of his/her departmental and University duties and responsibilities;
5. Capricious disregard of accepted standards of professional conduct;
6. Falsification of information on an employment application or other information concerning qualifications for a position; and
7. Failure to maintain the level of professional excellence and ability demonstrated by other members of the faculty in the department or academic program unit of the University.

I. Procedures for Termination for Adequate Cause

Termination of a faculty member with a tenure appointment, or with a tenure-track or temporary appointment prior to the annual specified term of the appointment, shall be subject to the following procedures:

1. No termination shall be effective until steps 4 through 9 below have been completed.
2. Suspensions pending termination shall be governed by the following procedure:
 - a. A faculty member may not be suspended pending completion of steps 4 through 9 unless it is determined by the University that the faculty member's presence poses a danger to persons or property or a threat of destruction to the academic or operational processes of the University.

Reassignment of responsibilities is not considered suspension; however, the faculty member must be reassigned responsibilities for which he/she is qualified.

- b.** In any case of suspension, the faculty member shall be given an opportunity at the time of the decision or immediately thereafter to contest the suspension; and, if there are disputed issues of fact or cause and effect, the faculty member shall be provided the opportunity for a hearing on the suspension as soon as possible at which time the faculty member may cross-examine his/her accuser, present witnesses on his/her behalf, and be represented by an attorney. Thereafter, whether the suspension is upheld or revoked, the matter shall proceed pursuant to these procedures.
- 3.** Except for such simple announcements as may be required concerning the time of proceedings and similar matters, public statements and publicity about these proceedings by either the faculty member or administrative officers will be avoided so far as possible until the proceedings have been completed, including consideration by the APSU Board of Trustees.
- 4.** Upon a recommendation by the chief academic officer of the University to the President or upon a decision by the President that these procedures should be undertaken in consideration of the termination of a tenured faculty member, one or more appropriate administrators shall meet privately with the faculty member for purposes of attempting to reach a mutually acceptable resolution of the problems giving rise to the proposed termination proceedings.
- 5.** If no mutually acceptable resolution is reached through step 4, the following steps shall be taken.
 - a.** The faculty member shall be provided with a written statement of the specific charges alleged by the University that constitutes grounds for termination and a notice of hearing specifying the time, date, and place of the hearing. The statement and notice must be provided at least twenty (20)

days prior to the hearing. The faculty member shall respond to the charges in writing at least five (5) days prior to the hearing. The faculty member may waive the hearing by execution of a written waiver.

- b.** A committee consisting of tenured faculty or tenured faculty and administrators shall be appointed to hear the case and to determine if adequate cause for termination exists according to the procedure herein described. The committee shall be appointed by the President and the officially recognized faculty senate, assembly or advisory committee, with each appointing the number of members designated by the policy of the University. The committee may not include any member of the faculty committee referred to in section 4 above. Members deeming themselves disqualified for bias or interest shall remove themselves from the case, either at the request of a party or on their own initiative. Members of the committee shall not discuss the case outside committee deliberations and shall report any ex-parte communication pertaining to the hearing to the President who shall notify all parties of the communication.
- 6.** The hearing committee shall elect a Chair who shall direct the proceedings and rule on procedural matters, including the granting of reasonable extensions of time at the request of any party and upon the showing of good cause for the extension.
- 7.** The Chair of the hearing committee may, at his/her discretion, require a joint pre-hearing conference with the parties that may be held in person or by a conference telephone call. The purpose of the pre-hearing conference should include but is not limited to one or more of the following:
 - a.** Notification as to procedure for conduct of the hearing;
 - b.** Exchange of witness lists, documentary evidence, and affidavits;
 - c.** Definition and clarification of issues and

at least ten (10) days prior to the hearing and the opposing party has not objected to the admission of the affidavit in writing within seven (7) days after delivery of the affidavit or if the committee Chair determines that the admission of the affidavit is necessary to ensure a just and fair decision.

- f.** In a hearing on charges of incompetence, the testimony shall include that of qualified faculty members from the University or other universities of higher education.
 - g.** The hearing committee will not be bound by strict rules of legal evidence and may admit any evidence which is of probative value in determining the issues involved. Every possible effort will be made to obtain the most reliable evidence available.
 - h.** The findings of fact and the report will be based solely on the hearing record.
 - i.** The President and the faculty member will be provided a copy of the written committee report. The committee's written report shall specify findings of fact and shall state whether the committee has determined that adequate cause for termination exists and, if so, the specific grounds for termination found. In addition, the committee may recommend action less than dismissal. The report shall also specify any applicable policy the committee considered.
- 9.** After consideration of the committee's report and the record, the President may at his/her discretion consult with the faculty member prior to reaching a final decision regarding termination. Following his/her review, the President shall notify the faculty member of his/her decision, which, if contrary to the committee's recommendation shall be accompanied by a statement of the reasons. If the faculty member is terminated or suspended as a result of the President's decision, the faculty member may appeal the President's action to the APSU Board of Trustees pursuant to APSU Policy 1:010 (Appearances and Appeals Before the Board) Review of the appeal shall be based upon the

record of hearing. If upon review of the record, the APSU Board of Trustees notes objections regarding the termination and/or its proceedings, the matter will be returned to the President for reconsideration, taking into account the stated objections, and, at the discretion of the President, the case may be returned to the hearing committee for further proceedings.

Links

- APSU ~~Tenure~~ RTP Procedures and Guidelines** https://www.apsu.edu/academic-affairs/faculty/faculty_resources/Tenure_PG_Revised_05-09-2019.pdf
https://www.apsu.edu/academic-affairs/faculty/rtp/RTP_Procedures_and_Guidelines.pdf
- APSU Policy 2:051** https://www.apsu.edu/policy/2s_academic_policies/2051-faculty-appointments.php
- APSU Policy 1:012** https://www.apsu.edu/policy/1s_governance_organization_and_general_policies/1012-inspecting-and-copying-public-records-and-related-charges-producing-copies-public-records.php

Revision Dates

APSU Policy 1:025 – Rev.: September 18, 2020
 APSU Policy 1:025 (previously 5:060) – Rev.: May 19, 2017
 APSU Policy 1:025 – Rev.: July 26, 2016
 APSU Policy 1:025 – Rev.: May 12, 2015
 APSU Policy 1:025– Issued: April 29, 2014

Subject Areas:

Academic	Finance	General	Human Resources	Information Technology	Student Affairs
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Approved

President: signature on file

Austin Peay State
University

Faculty Discipline and Performance Improvement Policy

POLICIES

Issued: April 11, 2022

Responsible Official: Provost and Senior Vice President for

Office: Academic Affairs

Responsible Office: Academic Affairs

Policy Statement

It is the policy of Austin Peay State University to apply appropriate progressive disciplinary measures (based on individual situations) to faculty members whose behavior fails to meet these expectations through neglect of, or failure to perform, their responsibilities by imposing a variety of sanctions in a manner that assists the faculty member to remediate their behavior. This policy applies to all full-time instructors, full-time tenured or tenure-track faculty, directors, coordinators, chairs, and deans.

This policy applies to all levels of disciplinary matters as part of an appropriate progressive discipline framework. Recommendations for termination must occur in accordance with relevant state law and applicable APSU policy.

Purpose

The purpose of this policy is to (a) facilitate a productive and harmonious working environment; (b) protect faculty from the subjective and arbitrary application of disciplinary sanctions; and (c) assure the ultimate and enduring success of Austin Peay State University (APSU) through adherence to the core values of the university.

Definitions

Progressive Discipline

“Progressive Discipline” is the process of imposing sanctions in a gradual manner that corresponds to the nature, seriousness, and impact of the behavior on the university. However, a faculty member’s sanction or recommended corrective action plan may immediately escalate to a higher-level dependent on the severity

of the misconduct. Faculty should not expect a linear application of sanctions in all situations and circumstances.

Sanctions

“Sanctions” refers to corrective measures imposed on a faculty member for disciplinary purposes. Sanctions may range from mild to severe and from informal to formal. However, the imposition of any sanction must be regarded as a serious disciplinary step and even a first offense may warrant a higher-level penalty.

Misconduct

“Misconduct” is a violation of standards of conduct, behavior, attendance, and job performance consistent with the requirements of the position.

Procedures

Expectations of Faculty Members

Faculty members shall perform the following duties including, but not limited to:

1. Maintain and exhibit competence and professionalism in their capacity as faculty
2. Exercise professional and personal integrity and behavior
3. Engage in fair professional practices in the exercise of their duties in and outside of the classroom
4. Faithfully execute their responsibilities in Areas 1, 2, and 3 as outlined in the Tenure Policy (1:025) and the P & G document
5. Carry out their responsibilities as expected and outlined in the faculty member’s contract
6. Follow the ethical principles of the academic profession as expressed in the AAUP Statement of Professional Ethics and the APSU Code of Ethical Conduct
7. Adhere to federal and state laws and the rules and policies adopted by the APSU Board of Trustees and the university
8. Follow the Faculty Responsibilities section in the most updated Faculty Handbook.

Faculty Disciplinary Procedures & Responsibilities

The department chair or dean shall be responsible for completing a diligent and fair investigation of any allegation of misconduct. Following established policies, the chair shall be the first point of contact in the investigation of the misconduct. The chair may consult with the dean of the college and/or Human Resources to determine the nature of the misconduct and for advice throughout the process. This remediation approach is meant to solve problems and improve

performance.

In applying this policy, the chair and/or dean shall investigate the faculty member's misconduct to explore whether there are opportunities for professional development workshops, continuing educational opportunities, sensitivity training, or matters that should be referred to other entities, such as the Office of Disability Services, the Employee Assistance Program, or others.

Note: Offenses related to discrimination and/or harassment made against faculty members must be referred to the Office of Human Resources or the Office of Equity, Access, and Inclusion, as applicable. Allegations of discrimination, illegal conduct, or harassment will be resolved by other appropriate university policies that may rest outside of this policy.

The following general procedures must be followed when a faculty member fails to achieve and maintain standards of conduct, behavior, attendance, and job performance consistent with the requirements of the position. Progressive discipline levels are described below.

A. Level 1 Misconduct: Informal Discussion

Chairs are strongly encouraged to resolve most lower-level misconduct via an in-person discussion. In cases of minor misconduct or performance issues, the chair should discuss the misconduct and/or performance problems with the faculty member and develop solutions. If the problem persists, or the nature of the problem warrants more stringent action, the department chair or dean may impose a higher level of sanction as described below. The individual parties are encouraged to maintain notes of the interaction.

B. Level 2 Misconduct: Departmental Warning

The department chair and/or dean shall provide the faculty member with a *written warning* that their conduct does not meet acceptable standards. The chair and/or dean shall send an email containing the *written warning* letter as an attachment along with a meeting request to discuss the warning. The faculty member is required to acknowledge receipt of the email and the warning. This *written warning*

should be specific and should include a description of a recommended performance improvement plan.

A meeting between the faculty member and the chair and/or dean shall take place within seven (7) business days from the issue date on the *written warning*. At this meeting, the performance improvement plan that the faculty member is required to follow will be discussed and developed.

The faculty member shall be permitted to prepare a written rebuttal to the allegations contained in the *written warning*, including any evidence or information the faculty member wants the chair and/or dean to add to the record. The written rebuttal shall be provided to the chair within seven (7) business days from receipt of the *written warning*. A copy of the *written warning* and any additional documentation shall be kept in the chair's departmental files.

All *written warnings* shall expire one year after the issue date as long as an additional situation similar to the original misconduct has not arisen. The faculty member shall be provided with a copy of such documentation as well. This second-level *written warning* shall not be included in a faculty member's RTP e-dossier and will not be considered part of the RTP process or the Annual Faculty Evaluation.

In the *written warning*, the chair should clearly state that future incidents or failure to improve job performance, conduct, or attendance may result in a higher level of discipline, such as an official written reprimand and/or other sanctions.

C. Level 3 Misconduct: Official Written Reprimand

The chair and the dean shall consult on the need for an *official written reprimand*. If the chair and dean concur on the need for an *official written reprimand*, the chair and/or the dean shall provide this reprimand noting that the faculty member's performance or conduct has violated acceptable standards.

The faculty member shall be permitted to prepare a written rebuttal to the allegations contained in the *official written reprimand*, including any evidence or information the faculty member wants the chair and/or dean to add to the record which shall be received within seven (7) business days of the *official written reprimand*. The *official written reprimand* and any written responses shall be placed in the faculty

member's official personnel file maintained in the university's Office of Human Resources.

This *official written reprimand* should be specific and should include a description of a corrective improvement plan that the faculty member should follow. This meeting between the faculty member and the chair and/or dean shall take place within seven (7) business days from the issue date on the *official written reprimand*.

An *official written reprimand* will remain in place for one calendar year, or for a length of time as specified in the corrective improvement plan. At the end of that period, the chair, dean, and provost will meet with the faculty member to determine if improvement or resolution of the misconduct has occurred. If so, the *official written reprimand* will expire.

If the chair and the dean believe that the *official written reprimand* is not sufficient to rectify the faculty member's misconduct, or if the misconduct is more severe, the disciplinary process will rise to a higher-level sanction as defined below.

Note: Level-3 misconduct information may be included in the faculty member's RTP e-dossier. The instructions within the section titled "*Documents Not Ordinarily Part of e-Dossier Content and Order Requirements*" in the P & G document must be followed to introduce such materials. Level-3 information are also included in the Annual Faculty Evaluation.

D. Level 4 Misconduct: Higher-level Sanction

If the behavior extends beyond the level of the official written reprimand, the chair, the dean, and the provost shall discuss all facts related to the allegation and the rules, policies, procedures, and laws that may have been violated.

If the provost determines further action is necessary, the provost shall inform The Office of Human Resources and the Office of Legal Affairs before taking any further action. The president's office shall be notified that the issue has been referred to the Office of Legal Affairs. The chair, the dean, a Human Resources representative, a representative from the Office of Legal Affairs, and the provost will consider the nature of the behavior and its impact on the

university, and the faculty member's employment history, including any past disciplinary actions still in effect, to determine the appropriate sanction(s).

If chairs and/or deans engage in behavior that meets criteria for Levels 1-3 misconduct, the provost shall determine their corrective actions. If chairs and/or deans engage in behavior that meets criteria for Level-4 sanctions, they may be subject to being released from their professional administrative responsibilities. The provost shall determine the appropriate sanctions.

Note: Level-4 misconduct information may be included in the faculty member's RTP e-dossier. The instructions within the section titled "*Documents Not Ordinarily Part of e-Dossier Content ~~and Order~~ Requirements*" in the P & G document must be followed to introduce such materials. Level-4 information are also included in the Annual Faculty Evaluation.

Faculty Members' Rights

A. Rebuttals

The faculty member may submit a written rebuttal to any Level-2 or Level-3 misconduct disciplinary action.

B. Appeals Process

The faculty shall have access to the appeals process via the Discipline and Performance Improvement Policy Appeals Committee in any cases of Level-4 sanctions for misconduct. The faculty member shall be given seven (7) business days from receipt of notification of the sanction to appeal the sanction(s).

Discipline & Performance Improvement Policy Appeals Committee

Composition of the Discipline and Performance Improvement Policy Appeals Committee (standing committee)

1. One faculty member from each college and the library shall be represented on this committee. The Faculty Senate shall be responsible for selecting the faculty members to serve on the Discipline and Performance Improvement Policy Appeals Committee.
2. No individuals who serve on this appeals committee should have any real or perceived conflicts of interest with the faculty member under sanction.

3. The provost shall appoint one dean and one chair to serve on this committee.
4. Neither the chair nor the dean who is appointed shall represent the college of the faculty member under sanction. In such cases, an alternate dean or chair shall be appointed by the provost on a case-by-case basis.
5. The presiding officer of the committee shall be selected by a vote of the members of this committee. The presiding officer of this committee cannot be from the same college as the faculty member who is under sanction. In these cases, the committee will elect another individual to serve as the presiding officer to avoid any real or perceived conflicts of interest.
6. All members of the committee, as well as the chair, dean, and faculty member being sanctioned will maintain confidentiality of the appeals process.
7. The faculty member receiving the sanction may present their case to the committee (via documents attached through email and/or a personal appearance before the appeals committee). The chair and dean may also appear before the committee to answer questions and provide evidence.
8. Each member of the committee shall vote on the sanction(s) to be imposed for a Level-4 misconduct. If the voting member belongs to the same department as the faculty member receiving sanctions, that individual should recuse themselves. *Abstain votes are not permitted* within the committee process to maintain consistency with the faculty RTP process.
9. The committee will review the provost's proposed sanction(s) and present its findings.
10. The provost will meet with the faculty member and notify them in writing of final sanctions. Sanctions begin immediately.

Examples of Level 4 Sanctions

One or more types of sanctions may be imposed as necessary to address the nature and seriousness of the misconduct. Sanctions will remain in place for one calendar year. At the end of that period, the chair, dean, and provost will meet with the faculty member to determine if improvement or resolution of the misconduct has occurred. If so, sanctions will end. If remediation is not satisfactory, additional sanctions or continuation of a sanction will be determined by the chair, dean, and provost as appropriate.

Sanctions may include, but are not limited to, the following:

- Reduction in additional duties (program director, administrative duties or appointments, etc.) with an associated reduction in compensation
- Loss of reassigned time
- Loss of eligibility for merit pay
- Loss of privileges to interact with the community as a representative of APSU (community activities requiring an absence from teaching or other Area 1 or Area 3 responsibilities)
- Loss of Summer and Wintermester teaching employment for those on less than twelve- month contracts
- Loss of financial support for travel and professional development
- Loss of teaching upper-level/graduate courses in the faculty members' specialty area
- Suspensions with or without pay. However, prior to the imposition of suspension without pay, the faculty member shall be provided the opportunity for a hearing before the Discipline Policy Appeals Committee at which time the faculty member may call witnesses, cross-examine accusers, and be represented by an attorney.

Links

APSU Policy 1:025	https://apsu.policytech.com/dotNet/documents/?docid=29&public=true
APSU Policy 2:043	https://apsu.policytech.com/dotNet/documents/?docid=102&public=true
Tenure P and G Document	https://www.apsu.edu/academic-affairs/faculty/rtp/tenure_p_and_g_final_approved_rev.05.07.2021.pdf
	https://www.apsu.edu/academic-affairs/faculty/rtp/RTP_Procedures_and_Guidelines.pdf
AAUP Statement of Professional Ethics	https://www.aaup.org/report/statement-professional-ethics

Revision Dates

APSU Policy 2:066 – Issued: April 11, 2022

Subject Areas:

Academic	Finance	General	Human Resources	Information Technology	Student Affairs
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Approved

President: signature on file
