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I. Preamble

By means of these policies and procedures, the University seeks to employ and maintain a staff of tenured and tenure-track faculty with superior qualifications to advance its mission and to nurture and support the work of those faculty members, while observing the principles of academic freedom and the tenets of the tenure system. Personnel decisions described in this policy statement will be made without regard to race, creed, color, marital status, sexual orientation, religion, sex, national origin, age, mental or physical disability, or veteran’s status.

Among personnel decisions, the decision to award tenure is of distinguished and central importance. The University will do so only through a rigorous, careful process of examination and deliberation. Accordingly, the decision to tenure entails the presumption of professional excellence. It implies the expectation of an academic career that will develop and grow in quality and value, and one that will be substantially self-supervised and self-directed.

Chapter II, Section 2-7 of the Regulations of the Board of Supervisors (BOS) provides in part “Tenure is not a guarantee of lifetime employment, particularly in the face of institutional change or financial exigency. It does assure that the employee will not be dismissed without adequate justification and without due process.” With tenure comes a steward's role in the University's governance and leadership. In particular, the tenured faculty will play a key role in the decisions to appoint new faculty and to promote continuing faculty.

II. Academic Freedom

LSU is committed to the principle of academic freedom, and faculty are encouraged to explore fully their fields of interest. This principle also includes the right of a member of the academic staff to exercise the ordinary rights of an American citizen in speaking, writing, and action outside the university. At the same time, faculty are expected to be knowledgeable about laws and regulations that increasingly are affecting universities and to operate within the guidelines of university policy and regulations. Among the many implicit responsibilities of academic freedom is that of refraining from insistence that students or others accept any controversial point of view as authoritative. Academic freedom does not extend to any kind of abuse or infringement of the rights of others.

Academic freedom is a cornerstone in the pursuit of answers to the many perplexing, sometimes controversial, questions that are asked, discussed, studied, and researched in an educational setting. The purpose of any policy on academic freedom is to clarify the conditions and parameters of that freedom. Broadly described, academic freedom allows faculty and other research professionals to express themselves through their research and to adopt pedagogy appropriate for their teaching goals.
II. A. Academic Freedom and Research and Publications:

Faculty and other researchers affiliated with the university are free to engage in inquiry, research, and scholarship as they see fit as long as faculty and other researchers are performing adequately in their other academic duties. In order to support the research and teaching curricula for the university, library faculty must be allowed the freedom to select and make available any materials for that support.

II. B. Academic Freedom and Instructional Roles:

Faculty are entitled to discuss all matters pertaining to their subject. However, faculty should avoid controversial matters that have no relation to their subject. All classroom discussion (face-to-face or online) must be conducted in a fair, non-abusive manner. Discussion must not infringe on the rights of others or be delivered in such a way as to coerce students to adopt the faculty member’s point-of-view as the only acceptable point-of-view.

II. C. Academic Freedom and Faculty as Members of the University Community and as Citizens:

In order to be fully engaged members of a university community and of society in general, faculty may express personal opinions; and these opinions need not always be in complete agreement with the positions of the university and its related institutions. In all instances of broadcasting a personal opinion, it is incumbent on the faculty member to clearly indicate that the opinion is personal and that he/she is not speaking as an institutional spokesperson.

Faculty are expected to be knowledgeable about laws and regulations that increasingly are affecting universities and to operate within the guidelines of university policy and regulations. The points made above do not supersede those guidelines. Rather, they work with them in order to provide an environment conducive to inquiring and learning in a respectful and collegial manner. These points also correspond to the “1940 Statement of Principles on Academic Freedom and Tenure, with 1970 Interpretive Comments” promulgated by the American Association of University Professors and the Association of American Colleges (now the Association of American Colleges and Universities), available at: http://www(aaup.org/report/1940-statement-principles-academic-freedom-and-tenure.

III. General Provisions

III.A. Applicability and Limitations

The present Policy Statement 36-T (PS-36-T) does not increase or diminish legally enforceable rights of the University or of its employees that may derive from applicable law, LSU policies and procedures, regulations, contracts, or written commitments.
PS-36-T applies to all persons holding an appointment as tenure-track or tenured faculty. Its provisions are stated for the professorial series, but apply equally to other series of tenure-track and tenured positions and titles, as named in the LSU Permanent Memorandum 23 entitled *Ranks, Provisions, and Policies Governing Appointments and Promotions of the Academic Staff*. In particular, provisions stated herein for assistant professors, associate professors, and professors apply also, respectively, to assistant librarians and assistant curators; associate librarians and associate curators; and librarians and curators. This policy also applies to persons who have not completed terminal degree requirements but whose employment contracts provide for tenure-track appointment upon completion of the degree requirements within a specified time period. This Policy Statement does not apply to those positions described in PS-36-NT.

### III.B. Joint Appointments

Tenured and tenure-track faculty may be jointly appointed to more than one department. In this case, the department providing the majority of funding for the position will be known as the **primary** department and tenure, if awarded, will be in that department. All personnel actions for joint appointments will be initiated in the primary department and appropriate forms and documentation forwarded to the chair of each **secondary** department for review and signature. The chair(s) of the secondary department(s) will be responsible for calling meetings of the appropriate faculty panel of the secondary department(s) to consider and vote on recommendations for appointment, reappointment, promotion and/or tenure, and annual performance evaluations; and forwarding the secondary departmental recommendation along with his or her recommendation to the chair of the primary department.

Tenured and tenure-track positions may likewise be shared by multiple campuses within the LSU. In this case, the campus providing the majority funding for the position will be known as the primary campus and tenure, if awarded, will be on that campus. All personnel actions for incumbents of positions shared by multiple campuses will be processed in accordance with the primary campus and LSU timelines and processes. Each campus administration will have input and, in accordance with LSU PM-23, a split recommendation for tenure of a faculty member with a multiple-campus appointment will result in the approving campus acquiring full financial responsibility for the individual and the split recommendation for promotion of a tenured individual will result in the approving campus assuming the responsibility for the additional percentage. Similar comments apply to other external appointments.

### III.C. Part-Time Appointments

Tenured and tenure-track faculty must be full-time. Leave without pay and/or a change to part-time status for a specified period of time will be handled in accordance with the request of the faculty member subject to approval by the provost. The conditions of such leave or change in status, including whether the time period of the leave or change in status will or will not count towards tenure, must be approved by the provost and confirmed in writing. If and when a faculty member requests and accepts a part-time appointment other than for a specified period of time,
then his or her tenured or tenure-track status will be revoked; the revocation will be confirmed by LSU in writing.

IV. The Rules of a Department or Other Unit

IV.A. Preamble

To establish the most effective faculty governance and to make due provision for the varying characteristics of departments and other units, their disciplines, and their circumstances, PS-36-T grants an important role to rules that a unit may adopt to further specify and regulate the policies and procedures dealt with by PS-36-T.

IV.B. Rulemaking Requirements

All unit rules pertinent to the subject matter of PS-36-T must meet the following requirements:

1. A unit’s rules may not conflict with the rules of its college or with any University policy statements. Unit rules may be made or amended by majority vote of the tenured faculty in the unit, including the chair or dean, who serves as the presiding officer. The tenure-track faculty will be included also for the purpose of adopting rules, if any, whereby a committee is designated to act as the panel for an initial appointment.

2. The provost may designate additional LSU faculty members to serve, on an ongoing basis, on a unit’s rulemaking body when there are fewer than six faculty with tenure in the unit.

IV.C. Approval Procedure

The chair or dean of each unit must promulgate the unit's rules, and in particular must provide the current version of the unit's rules to the dean, the provost, and the Faculty Senate Committee on Faculty Personnel Policies. The provost may require a change in the unit's rules, based on a finding that they are inconsistent with the rules of an administrative unit to whom it reports, inconsistent with a University policy, or contrary to the interests of the University.

V. Criteria for Evaluating Faculty Job Performance

These guidelines will govern every evaluation of a faculty member's job performance and every decision with regard to initial appointment, reappointment, promotion, or advancement to tenure.

The appropriate areas for consideration are the three traditional ones of scholarship, teaching, and service. The weight to be accorded each will be consistent with the department's mission and with the faculty member's job duties and work assignments. The extent and nature of expectations in the three areas may also be described in the rules of departments and other units.
The three areas are distinct, but they are also interdependent and mutually supportive. For example: A faculty member's scholarly engagement in an academic discipline should assure that he or she will bring current information and skills to the classroom, and will place students at the frontier of knowledge and practice. A faculty member's experience in scholarship and teaching should assure that he or she will bring intellectual and educational values to the performance of service to the University or the broader community.

Essential to every evaluation and decision are the fundamental expectations of intellectual honesty; cooperative, ethical, and professional conduct; respect for others' rights and safety; and the avoidance of disruptive or combative behavior that interferes with the work of the unit. A failure to meet these fundamental expectations must be considered, and will have a negative effect, whenever a faculty member is evaluated.

No provision in PS-36-T will be used or interpreted to suppress freedom of speech or the right to dissent.

**V.A. Scholarship**

Scholarship is an essential purpose of the University and of every unit. Every tenure-track or tenured faculty member must engage in scholarship. The term *scholarship* is used here in a broad sense to signify *contributions to knowledge, in the disciplines appropriate to the department, at a level of quality and significance that is competitive by national standards.*

Examples of scholarship that may be recognized, depending on the department, include the following. This list is not exhaustive.

1. Books, essays, articles, or bulletins reporting the results of original research
2. Novels, poetry, plays, exhibitions, or musical compositions
3. Participation in musical performances or theatrical productions
4. Creations in the visual arts, video, or other media
5. Development of patents, processes, or instruments
6. Membership on scientific expeditions
7. Designs and built works
8. The delivery or application of technology

In every case for appointment, reappointment, promotion, or advancement to tenure, achievement in scholarship is essential, and quality is of the essence. In every case it is the responsibility of the appropriate group of faculty to arrive at a judgment of the importance,
originality, influence, persistence, and future promise of the candidate's program of work. It shall be the general policy of the University to utilize evaluations by experts outside LSU in the formation of this judgment.

Examples of appropriate factors and evidence that may be used in judging the quality of scholarship include the following. The list is not exhaustive, and an item may or may not apply in a given department.

1. Publication by respected academic journals and publishing houses that accept work only after review and approval by experts
2. Published reviews by experts
3. Citations in research publications or other evidence of impact
4. Awards for excellence, especially from national or international academic organizations
5. Invitations to give performances, presentations, exhibitions, or lectures
6. Awards of grants and contracts that indicate recognition of research achievement or capability

V.B. Teaching

The University exists for the development and the dissemination of knowledge and understanding, and for the conduct of excellent instructional programs. Every faculty member is expected to be reliable, committed, and highly competent in the performance of his or her assigned teaching duties, to contribute to the teaching mission of the department, and to perform an appropriate role in the development of curricula and of educational policy.

Characteristics of an excellent teacher include intellectual honesty, command of the subject, organization of material for effective presentation, cogency and logic, ability to arouse students' curiosity, stimulation of independent learning and creative work, high standards, and thoughtful academic mentoring.

Contributions to the teaching mission that are valid and will be recognized, depending on the department, include, for example, the following. The list is not exhaustive.

1. Classroom instruction and the conduct of courses
2. Conduct of seminars, critiques, and practica
3. Direction of independent study
4. Direction of creative and artistic projects
5. Informal student seminars
6. Supervision of students in clinical work
7. Conduct of a course that integrates learning and community service
8. Involving students in research and publication
9. Multidisciplinary and interdepartmental teaching
10. Direction of a thesis or dissertation
11. Articles on pedagogy
12. Redesign of a course, or development of a new course
13. Innovation in teaching methods
14. Contributions to committees and other entities concerned with teaching, curricula, or educational policy
15. Publication of textbooks

If teaching is a part of the department's mission, then in every case for appointment, reappointment, promotion, or advancement to tenure, it is the responsibility of the appropriate group of faculty to arrive at a judgment as to the quality of the candidate's teaching. Examples of appropriate factors and evidence that may contribute to such a judgment are as follows. The list is not exhaustive.

1. Observation of classroom teaching or of other presentations
2. Statements by the candidate of his or her educational philosophy
3. Evaluations by peers of course syllabi or other instructional materials
4. Student performance on departmental examinations or standardized tests
5. Students' subsequent success or demonstration of mastery
6. Honors or special recognition for teaching excellence
7. Invitations to teach in programs at other educational institutions
8. Invited lectures and panel presentations that pertain to teaching
9. Evaluations of teaching and testimonials by present or former students. Any sampling of student opinion should be carried out in such a manner so that students can state their judgments freely and without fear of reprisal.

10. Publication by respected publishing houses

11. Textbook adoptions at other universities

12. Grants and contracts to fund teaching activities or provide student stipends, especially by national agencies or foundations

V.C. Service

The term service is used to mean other contributions to the department, the University, the academic profession, or the broader community that support the primary missions of scholarship and teaching. In some cases, specific service will be a substantial and explicit part of a faculty member's work, as specified in the rules of the department or as specified in the faculty member’s job duties and work assignments. Such is the case, for example, when the faculty member occupies an administrative position or when part of the mission of the department is to deliver benefits of its knowledge, disciplines, and skills to the community. In such a case, he or she is expected to be reliable, committed, and highly competent in the performance of the assigned duties.

The responsibilities of the faculty as a whole include determining educational policy, playing a central role in faculty personnel decisions, and participating in shared governance in other areas of University life. All faculty members are expected to remain informed, participate in meetings, and cast votes. Also, a faculty member's service to the community or to the profession beyond the campus may confirm his or her stature in scholarship and teaching, may enliven the intellectual climate on campus, and may improve opportunities for students and other faculty. High-quality contributions of these kinds will be valued whenever evaluations are made and may have weight in decisions on appointment, reappointment, promotion, and advancement to tenure. Civic and community service that is not based on a faculty member's professional or academic responsibility, though admirable, will not have weight.

Examples of service that are valid and may be recognized are as follows. The list is not exhaustive. Further, a faculty member's service is governed by the Bylaws and Regulations of the LSU Board of Supervisors; LSU permanent memoranda and campus policies, as well as the provisions of the Code of Ethics for Government Employees.

1. Clinical consultation, evaluation, assessment, treatment, patient management, specialty service, or diagnostic support, provided through University-affiliated hospitals and clinics

2. Service rendered to the community as a part of courses taught

3. Participation on a certification board
4. Expert advice to professions, businesses, or government
5. Holding office or other position of responsibility in a professional organization
6. Participating on a governmental body
7. Holding an administrative office in the University
8. Advisory role with a student organization
9. Committee work for the department, college, or LSU
10. Contributions toward faculty or staff training and development
11. Leadership in technology transfer, economic development, or job creation
12. Taking part in the organization of a conference
13. An editorship or editorial board membership
14. Refereeing or reviewing papers or grant proposals
15. Judging student or professional competitions
16. Consultation for industry, agriculture, or government
17. Administering grants

VI. General Procedural Provisions

VI.A. Confidentiality

Every effort should be made to ensure confidentiality in the processes of PS-36-T. The files generated in connection with these processes are governed by Policy Statement 40 entitled Employee Records Confidentiality as well as applicable law.

VI.B. Meetings

For each provision in PS-36-T that calls for one person to meet with another, or for a group to meet, a face-to-face conference is preferred when practical. However, a meeting by telephone or other means is acceptable as long as it allows discussion.

VI.C. The Role of Line Officers
The provost or his or her designee will assure that all policies and procedures are observed. The provost will also promulgate pertinent timetables and mandate the form and content of documents needed to comply with this policy.

It is the responsibility of the dean and chair to promulgate information regarding any deadlines and procedures required by the policies of a unit. This will include establishing deadlines to ensure that the applicable notice requirements of the Regulations of the LSU Board of Supervisors are satisfied.

The chair will ensure that with regard to each decision made pursuant to this policy, all appropriate members of the faculty, including those who are on leave and/or absent from campus, will be afforded the reasonable opportunity to be informed, to express views, and to cast votes.

**VI.D. Conflict of Interest, Recusals, Exclusions, and Other Restrictions**

A conflict of interest will require recusal from procedures described in this Policy Statement. A faculty member will be presumed to have a conflict of interest with regard to a decision affecting a candidate for appointment, reappointment, promotion, or advancement to tenure if the candidate is a member of the faculty member’s immediate family as defined in Policy Statement 25 entitled *Nepotism*, or is the faculty member himself/herself. In other cases, if there is a question as to whether a conflict of interest exists, the issue will be referred through the chair and dean to the provost, who will make the determination with the advice of HRM.

A line officer who has a conflict of interest with regard to a decision must recuse himself or herself from all involvement with that decision process. Whenever a line officer recuses himself or herself from a given decision, the officer to whom that person reports will designate a replacement for him or her, for the purposes of that decision.

A faculty member who makes a recommendation pursuant to this policy at some level above the department must recuse himself or herself from votes and deliberations on the issue at the department level.

A faculty member who serves in an advisory capacity on a decision at some level above the department will participate in the process at the department level but must, at the later stage, disclose the previous participation and refrain from any advisory vote.

A faculty member who has received notice of nonreappointment or termination is ineligible to vote on decisions made pursuant to this policy.

**VI.E. Peer Advisor**

When conferences are held as a part of the annual review process or for purposes of notifying the faculty member of a decision made pursuant to this policy, the faculty member may invite a
tenured LSU faculty member to serve in an advisory capacity to him/her and to attend the meeting. Conference attendees at the department level are the chair and the candidate (with peer advisor, if desired). The same group and the dean constitute the attendees at the college level.

VI.F. Provost's and Deans' Advisory Committees

To help assure rigorous and thorough reviews, advisory committees, established in advance and composed of senior faculty, will be employed by the provost and by the deans of departmentalized colleges when considering recommendations for (1) promotion and/or tenure or (2) tenure with an initial appointment.

1. The Graduate Council will annually appoint, subject to the provost’s approval, the Provost’s Advisory Committee from its membership.

2. In each departmentalized college, an advisory committee or committees will be established as determined by the dean unless the college rules provide otherwise.

While advisory committee recommendations will not become part of appointment or review files, the dean will incorporate the vote and comments by the advisory committee in his or her recommendation. Each dean (or line officer) is solely responsible for writing evaluations and making the recommendations at his or her level, using criteria consistent with the criteria for evaluating faculty job performance previously enumerated in this policy.

VI.G. Required Notice of Nonreappointment

A decision not to reappoint a faculty member may be reached through a reappointment review process (Section VIII of the present policy), tenure review process (Section IX of the present policy), or as otherwise authorized by the Regulations of the LSU Board of Supervisors (Chapter II, Section 2-7 and Chapter V, Section 5-13). Such a decision requires no further administrative or Board of Supervisors' approval. Except when the action is due to financial exigency, written notice of the decision will ordinarily be provided in accordance with the following schedule as provided in Chapter II, Section 2-7, of the Regulations of the LSU Board of Supervisors:

1. Not later than March 1 of the first academic year of service, if the appointment expires at the end of the year; or, if an initial one-year appointment terminates during an academic year, at least three months in advance of its termination

2. Not later than December 15 of the second academic year of service, if the appointment expires at the end of that year; or if an initial two-year appointment terminates during the academic year, at least six months in advance of its termination

3. At least 12 months before the expiration of an appointment after two or more years service on that campus
Once a faculty member is notified that he or she will not be reappointed, the decision will not be suspended during any appeal. Upon expiration of a term appointment, the employee is a free agent to whom LSU has no obligation.

VII. The Faculty Panel

VII.A. Faculty Panel Composition

1. For an initial appointment, the faculty panel shall include all tenured and tenure-track faculty of a department; except that the rules of the department may, for some or all such cases, define a committee, including only some of the said faculty to serve as the panel. For tenure with initial appointment, a separate vote on tenure must be taken with a faculty panel that includes only those tenured faculty with rank equal to or higher than the candidate under consideration.

2. For a decision regarding reappointment, the faculty panel will include the tenured faculty with rank equal to or higher than the candidate under consideration.

3. For a decision regarding promotion and/or tenure, the faculty panel will include the tenured faculty senior in rank to the candidate. Tenured associate professors are considered to be of higher rank than tenure-track associate professors.

See Appendix B for a table illustrating the composition of the faculty panel for various decisions.

VII.A.1. Members Added by the Department's Rules A department may determine that certain faculty members have suitable rank and expertise to participate in making a given kind of decision. Accordingly, the rules of the department may provide which categories of faculty will be enfranchised and for which decisions. For example, the rules may provide that faculty who hold secondary appointments in the department, and who otherwise qualify for the panel will also belong to the panel. If this provision results in a faculty member having membership on the faculty panel in more than one department on the same decision, he or she will not vote on that decision in more than one of the departments.

VII.A.2. The Chair as Member of the Faculty Panel The chair will be a member of the faculty panel regardless of his or her faculty rank or tenure status. As the presiding officer at meetings of the panel, the chair has the duty to be impartial. The chair does not take part in the Faculty Panel discussion other than providing requested factual information nor does the chair take part in the Faculty Panel voting because the chair must make an independent evaluation and written recommendation.

VII.A.3. Members Added by Appointment For a decision that is to be made in a primary or secondary department, the members of the faculty panel as determined by the provisions above will sometimes be fewer than six in number. In such a case, it may be desirable and practical to improve the range of expertise of the panel, for the decision in question, by adding members.
The chair, the faculty panel, or (in the case of a reappointment, promotion, or tenure review) the candidate may ask the line officer to whom the chair reports to appoint additional members. If and only if the line officer receives such a request, then after consulting the chair and the present members of the panel, he or she may elect to appoint additional members, bringing the total number up to as many as six. The appointees must hold rank and tenure status at LSU as required to vote on the particular action and may not already be a member of the faculty panel on the same decision in another department. The appointments will be subject to approval by the provost.

It is preferable to make such appointments well in advance. When such appointments are made for successive decisions affecting a tenure-track faculty member, it is preferable to have continuity in the make-up of the faculty panels for those decisions.

VII.B. The Manner of Voting

To establish a departmental decision or recommendation on a PS-36-T matter, ordinarily the chair must call a meeting of the faculty, hold a discussion, and take a vote by written ballot. A secure online system may be used for information, discussion, and/or voting. The chair will establish and carry out procedures and practices to assure that, with regard to each decision, and to the extent possible without excessive delays, all members of the faculty panel, including those who are on leave and/or not in residence, will be afforded a reasonable opportunity to be informed, to express views, and to cast votes. In so doing the chair will observe the pertinent regulations, if any, contained in the department's rules. Every count will be made and attested to by at least two members of the faculty panel. The tally, including separate counts when taken, will be reported to the faculty panel. The right of each person to have his or her ballot kept confidential, to the extent possible under the other requirements of PS-36-T and applicable law, will be respected.

VII.C. The Report of a Departmental Recommendation

Whenever the faculty panel arrives at a recommendation—with regard to initial appointment, reappointment, promotion, or tenure—the report of the recommendation will include:

1. A tally of the vote
2. The number of panel members who did not vote
3. An account of the important factors underlying the panel's recommendation, including minority views, with written statements by those supporting a minority viewpoint when they so choose
4. Analysis and explanations, as needed, with regard to letters from outside experts, in cases when those are included (All material in which the content of those letters is revealed or their authors identified will be presented separately and kept confidential.)
5. The chair's independent judgment and recommendation with regard to the decision
Unless the rules of the department or college require otherwise, the chair will assemble the report. A representative of the faculty panel other than the chair will either sign the chair's report, confirming its accuracy and completeness or, if he or she prefers, prepare and sign a supplementary report on behalf of the panel, which will be attached to the chair's report.

VIII. Initial Appointments

VIII.A. Procedure

The following provisions govern the steps leading to the initial appointment of a tenure-track or tenured faculty member, including the recruitment and evaluation of candidates by the department. In special cases, a person may be proposed for an appointment from outside the department; for example, as a result of a search for an administrative officer. For such an appointment, the faculty panel recommendation, documentation of the candidate's academic credentials, and the approval process are still required.

VIII.A.1. The Chair's Responsibility  The chair is responsible for developing hiring strategy in consultation with the faculty, securing budgetary commitments from the dean, determining job descriptions and qualifications, advertising positions, recruiting qualified persons to apply, screening applicants, ensuring compliance with Policy Statement 1 entitled Equal Opportunity and with PS-25, and carrying out other steps in the process of making an appointment. To perform these tasks, the chair may delegate responsibilities, establish procedures, and appoint committees.

The chair shall carry out his or her responsibilities in a manner that recognizes all tenured and tenure-track faculty are entitled to information about the processes; to have access to the application files; and to provide their written evaluations of applicants for inclusion in the application files.

VIII.A.2. A Recommendation to Appoint  When the chair calls a meeting of the faculty panel and takes a vote, the panel is not limited to approving the appointment of a given candidate for a position, but may adopt a motion to give more complex instructions to the chair. For example, in consideration of possible rapid changes in the availability of candidates under discussion, the panel may approve more than one candidate for a position, ordering the list by preference and/or allowing the chair to exercise discretion.

VIII.A.3. Documentation of Academic Credentials  For every appointment, the required academic credentials must be documented. If a degree is required, then there must be written certification, by the appropriate office of the degree-granting institution, that all requirements for the degree have been completed. At the discretion of LSU, official transcripts of the academic record may be required.
VIII.A.4. Approval Procedure; Official Offer  The chair of the department will forward to the dean an appointment file, comprising the following items:

1. The candidate's Curriculum Vitae (C.V.) and appropriate supporting material, including all letters of evaluation. If an initial appointment with tenure is proposed, the outside letters of evaluation must satisfy the criteria listed in IX.B.4.

2. The report of the departmental recommendation

3. The proposed employment contract (Per-25 form) signed by the chair of the department

4. The chair's recommendation, explaining as necessary the terms of the contract

For an offer of appointment at the rank of assistant professor, except when the annual salary exceeds limits set by the BOS, the dean will make the final decision to tender an offer. For all other offers supported by the dean, he or she will sign the proposed contract and forward it with the candidate's C.V. and documentation of academic credentials to HRM for review and routing for further approval. In the event the dean does not support the offer, he or she will include a statement with explanation to that effect.

Except when the annual salary exceeds limits set by the BOS, the provost will make the final decision on recommendations for tenure-track appointments of associate professors and professors. In the case of a recommendation of appointment at any rank with tenure, advisory committees will provide input at the levels of dean and provost review.

When a recommendation reaches the provost, he or she may always make a final decision against the appointment. An appointment with a modified title such as endowed chair that is supported by the provost requires the further approval of the president or his or her designee. An appointment with tenure or a proposed annual salary that exceeds limits set by the BOS requires approval of the president or his or her designee.

When final approval has been secured, the signed contract will be returned to the chair. Only then will the position be offered to the candidate and the contract sent for his or her consideration. Only then will any University officer make any written or oral commitment regarding any aspect or condition of the appointment. A line officer may have preliminary discussions with the candidate prior to this time.

VIII.A.5. Background Check  An offer of employment is contingent upon completion of a background check deemed satisfactory by HRM. The background check must be complete before the date of employment. Exceptions will be considered by HRM on a case-by-case basis. However, advance approval by HRM is required and employment is contingent upon a satisfactory report. “Employment is contingent upon the completion of a background check and may be terminated upon receipt of the results of a background check deemed unsatisfactory by the Office of Human Resource Management” statement must be added to the employment contract and PAF-2 if the background check is not completed by the date of employment.
Background checks revealing misrepresentations may be grounds for immediate rejection of the application.

**VIII.B. Minimum Qualifications for Appointments**

In every case, the qualifications applied must be consistent with LSU PM-23 and the criteria for evaluating faculty job performance in Section IV of this policy; must be appropriate to the mission of the department and to the job duties and work assignments anticipated; and must be in keeping with the standards of the department and University for the rank of the position. For an associate professor or professor, the granting of tenure with the initial appointment is allowed if said qualifications are especially distinguished and in keeping with the tenure standards of the department and University. The granting of tenure may be considered, for example, if the candidate holds tenure at a comparable university.

The person appointed must hold the terminal degree in an academic discipline and/or suitable professional experience and achievements, as appropriate to the department, the rank, and the job duties and work assignments. In a case when a degree is required but has not been awarded, the University may, at its discretion, extend the offer of the position, but only on this condition: the appointment will be made only if the appropriate office of the degree-granting institution has, by a specified date, provided written certification that all requirements for the degree have been completed. When a degree is required for a position, but LSU has not received the certification that the requirements for said degree have been completed, the University may still, at its discretion, make the appointment, under conditions that will be stated in the contract. The individual will be appointed at the rank of instructor. If LSU receives the certification by the date specified in the contract the person's title will be changed to assistant professor; the appointment will be amended to effect this change, and the faculty member will be notified in writing of the begin date for service credit toward tenure.

**VIII.C. Requirement of an Interview**

Except in extraordinary cases, every candidate recommended for appointment must have been interviewed at LSU to allow interaction between the candidate and the faculty panel members who are available on campus. If there is no on-campus interview, there must be an off-campus interview, teleconference, or some other provision for interaction that is satisfactory to the faculty panel.

**VIII.D. Inbreeding**

An appointment will not ordinarily be offered to a person whose terminal degree is from LSU unless the department has an exceptional need for a candidate with the person’s qualifications, or unless the candidate is one of exceptional merit; for example, having achieved an excellent record elsewhere since completing the terminal degree.
VIII.E. Initial Appointments and Years of Service toward Tenure

Sections VII E.1. and VII E.2. define how a tenure-track faculty member’s years of service toward tenure will be counted from the time of the initial appointment. They also define the year of mandatory tenure review. In that year, there must be a tenure review and decision on reappointment if tenure is not granted unless when the year begins, the faculty member is either already tenured or has been given notice of nonreappointment.

VIII.E.1. Assistant Professors  The initial appointment of an assistant professor will be for a term of up to three years. At the University's discretion, if the person has suitable qualifications and achievements and/or a period of service at another university, then the appointment contract may define the first year of service as an assistant professor at LSU to be year two, three, four, or five in service toward tenure. Otherwise, that first year will be year one in service toward tenure. The number of years credit will be recommended on the proposed employment contract and requires review/approval through channels by the president or his or her designee.

The sixth year of service toward tenure will be the year of the mandatory tenure review unless the faculty member was given notice of nonreappointment. The appointment of a tenure-track assistant professor will not be continued after year seven if tenure has not been granted and the faculty member will be given notice of nonreappointment in accordance with LSU By-Laws/Regulations if tenure is denied.

VIII.E.2. Associate Professors and Professors  The initial appointment of a tenure-track associate professor or professor will be for a term of three, four, or five years. If a person has suitable qualifications and achievements and/or a period of service in the rank at another university, then that person can be given years of service credit for tenure review purposes. The number of years credit will be recommended on the proposed employment contract and requires review/approval through channels by the president or his or her designee.

The fourth year of service toward tenure will be the year of the mandatory tenure review unless the faculty member received notice of nonreappointment in the third year. The appointment of a tenure-track associate professor or professor will not be continued after year five if tenure has not been granted and the faculty member will be given notice of nonreappointment in accordance with LSU By-Laws/Regulations if tenure is denied.

IX. Reappointment Reviews

IX.A. Preamble

A tenure-track appointment or a series of tenure-track appointments carries no assurance of reappointment, promotion, or tenure. Reappointment is made solely at the initiative of the University. It is expected that tenure-track candidates who are recommended for reappointment will have demonstrated reasonable progress toward meeting the criteria for the award of tenure.
IX.B. Timetable Provisions for Reappointments

Reappointment reviews are normally conducted in a time frame that allows for timely notice of nonreappointment as provided in the LSU Board Regulations. A reappointment review may be undertaken based on the expiration date of the faculty member’s current appointment, pertinent college or department rule, instruction from the line officer to whom the chair reports, or at the discretion of the review committee, provided one is allowed by pertinent policy or rules.

1. If a faculty member’s first year of service as an assistant professor at LSU was year one or year two of service toward tenure, then these two regulations apply:
   - There must be a reappointment review no later than the third year of service.
   - A decision to continue an appointment into year five of service toward tenure can be reached only as a result of a reappointment review entailing a faculty panel recommendation for reappointment.

2. When an assistant professor has begun year five of service toward tenure and has not been given notice of nonreappointment, the term of his or her appointment will extend through year six toward tenure, which will be the year of the mandatory tenure review. Year seven will then be the last year of the appointment unless the person is advanced to tenure.

3. When an associate professor or professor has begun year three of service toward tenure and has not been given notice of nonreappointment, the term of his or her appointment will extend through year four of service toward tenure, which will be the year of the mandatory tenure review. Year five will then be the last year of the appointment unless the person is tenured.

IX.C. Procedure for a Reappointment Review

Reappointment reviews will be conducted by the faculty panel for reappointment. Prior to the review, the chair will meet with the faculty panel and inform the members of the faculty member’s number of years of service toward tenure, and of the end date of his or her current term.

Note that the composition of the faculty panel depends on the rank of the person being reviewed.

1. When the chair, giving appropriate notice, asks the faculty member to do so, he or she will bring the C.V. and supporting documentation in the faculty member’s file up-to-date, and will prepare an annual report on his or her activities. The faculty member may include a self-evaluation.

2. The chair will assure that the faculty member’s file contains the reports from all formal evaluations that have been completed.
3. The chair will make the file available to the members of the faculty panel for their review. The file will be maintained in a location which safeguards its contents and that is reasonably accessible to the faculty panel. The chair will establish a date to convene the faculty panel to consider the file, discuss the faculty member’s job performance, and vote on whether to recommend reappointment. The length of reappointment shall be consistent with Bylaws and Regulations of the LSU Board of Supervisors. The report of the departmental recommendation will be placed in the faculty member’s file.

4. The chair will meet with the faculty member to advise him or her of the recommendation, provide copies of the departmental reports, and explain the procedural steps that will follow.

5. The faculty member will be asked to sign a statement that includes the following: My signature indicates that:

   (a) I am aware of the contents of my file and have had the opportunity to provide my annual report and up-to-date documentation;

   (b) I have been notified of the recommendation with regard to my reappointment;

   (c) I have exercised, or else waived, my rights to discuss the recommendation with the chair and/or with the chair of each secondary department in which I am employed; and

   (d) I understand that I have the right to attach a formal letter of response or rebuttal, with materials in support thereof, for inclusion in the file, provided I send it to the chair and to the dean no later than seven calendar days after the date when I was advised of the recommendation.

**IX.C.1. Approval Process** The chair will send a copy of the file to the dean.

With regard to an assistant professor's reappointment, the dean will make the decision. He or she will prepare a written statement, provide it to the chair and to the faculty member, and place it in the file. If the decision is not to reappoint, the dean will in timely fashion meet with the faculty member to notify him or her of the nonreappointment decision.

With regard to an associate professor's or professor's reappointment, the dean will make a recommendation to the provost. The dean will prepare a written statement, provide it to the chair and to the faculty member, and place it in the file. If the recommendation is not to reappoint, the dean will in timely fashion meet with the faculty member to notify him or her of the nonreappointment recommendation. The provost will make the decision. If the decision is negative and contrary to the dean's recommendation, then the provost will in timely fashion meet with the faculty member to notify him or her of the nonreappointment decision. The chair will inform the faculty panel of the decision.
In all cases, the chair will send to the dean, along with the file, a Personnel Action Form to carry out the recommended action, to reappoint or not to reappoint. The dean, HRM, and the provost will coordinate finalizing the personnel action form as appropriate and, in the case of nonreappointment, the dean or chair will provide the faculty member with written notice in accordance with the Bylaws and Regulations of the LSU Board of Supervisors.

IX.D. Adjustments to Counting Service toward Tenure

A tenure-track faculty member who has not been given notice of nonreappointment, and for whom the year of the mandatory tenure review has not begun may request temporary departure from the tenure track under the following circumstances:

1. While on approved leave without pay;
2. During a temporary part-time assignment;
3. During a time period in which, at the request of the faculty member, he/she has been assigned duties that do not contribute to a case for advancement to tenure; or
4. During a period of time when the faculty member’s personal obligations or situation can reasonably be anticipated to impede progress towards tenure.

If approved, the faculty member will enter into a written agreement which sets out the specific period of service which will not be counted towards tenure and which establishes the year of the faculty member’s mandatory tenure review. The term appointment will be automatically extended by the approved period in order for the faculty member to have equivalent time to build a case toward tenure and to be evaluated. Final approval of temporary departure from the tenure track is in the sole discretion of the president or his or her designee.

X. Promotion and Tenure Reviews

X.A. General Provisions

The present section describes the formal process for reaching a decision on one or more of the following actions: (1) tenure, (2) promotion to associate professor, or (3) promotion to professor. For an assistant professor, advancement to tenure and promotion to associate professor are always done in combination.

X.A.1. When a Review Will Be Conducted The review procedure requires the better part of a year for completion. All activities related to a review must be timed to conform with the current timetable set by the provost and communicated through HRM, and with the timetables set in colleges and departments for their parts in the process.
The chair will call a meeting of the appropriate faculty panel whenever a mandatory tenure review is at hand for an assistant professor or a tenure-track associate professor or professor, and whenever it is time to decide whether to conduct reviews in other cases, and will advise the panel of the procedures to be followed. The panel will consider initiating a non-mandatory review if a member of the panel proposes it, or if the candidate has requested a review. If the panel decides by majority vote that a review is warranted, one will be conducted. If a candidate requests a review but the panel decides against it, then the chair will immediately advise him or her of the decision. The candidate may then ask the line officer to whom the chair reports to consider the matter. Said officer may either uphold the faculty panel's decision or order that a review will be conducted.

X.A.2. The Decision on Reappointment  A non-mandatory tenure review may be undertaken at the same time as a reappointment review. The decision on reappointment may of course be positive even when the tenure decision is negative. Accordingly, the review committee will make a report and recommendation on all decisions being considered, and the decision procedures (on reappointment, tenure, and/or promotion, as the case may be) will proceed together, with a vote on each decision by the appropriate faculty panel. The final decision on the reappointment and notification to the candidate will not in any event be delayed by reason of the promotion or tenure review procedures. If the final decision on the reappointment, is negative, then the consideration of the promotion or tenure will proceed no further.

X.A.3. Withdrawal from a Mandated Review  A mandatory tenure review will lead either to tenure or to nonreappointment. Such a review will be completed unless the faculty member declines to be reviewed or withdraws from consideration after the review is under way. He or she may do so by means of a written request to the provost through the chair and dean. Such a request must include a letter of resignation and will result in nonreappointment at the end of the person's current term. If the faculty member does not resign he or she will be given notice of nonreappointment.

X.A.4. An Early Review  An early review is unusual, and should proceed only when merit is well-established and clearly meets or exceeds the expectations applied in other reviews.

The candidate may withdraw from an early review by means of a written request to the dean through the chair.

If an early review ends with a negative decision on the promotion or tenure question, or if the candidate withdraws from the review, such a result will be without prejudice to future reviews of the candidate. An early review does not result in a change to the timing of the normal tenure review process. Early tenure review will not substitute for a reappointment review.

X.A.5. The Review Committee  The review committee for a faculty member under review may be the entire faculty panel or a subset thereof, chaired by someone other than the department chair, and appointed by the chair unless otherwise provided by the department’s rules. The review committee will take part in the selection of the outside experts to be asked for letters of evaluation. After those letters have been obtained, the committee will consider the material in the review file, including the letters, and will prepare a report, which will be a comprehensive
statement on the case, observing the criteria for evaluating faculty job performance. Their report will be placed in the review file.

**X.B. Stage 1: Evaluation by Experts Outside LSU**

As a matter of courtesy to those who are asked to write letters of evaluation, ample time should be allowed for this process.

**X.B.1. Confidentiality** The identity of every outside expert who is asked to write an evaluation will be kept confidential to the extent possible. In particular, the candidate will not be informed as to the identity of the evaluators. During the review, the candidate should not communicate on the subject of the review with anyone who he or she knows may be an evaluator.

The content of every letter will be kept confidential to the extent possible, as required by PS-40 and applicable law. Access to the letters will be limited to the faculty panel members, the chair, and staff members as necessary, and to other persons beyond the department who are authorized participants in the review process.

**X.B.2. The Use of Letters of Evaluation** Every letter of evaluation obtained during the current review or during previous reviews of the candidate must be included in the review file, with the following exceptions. The age of a letter will be measured from the date on the letter to the date of the deadline for submission of the review file by the department.

1. A letter that is more than two years old will be excluded unless the letter is current on all aspects of the faculty member’s record and the review committee concurs that its inclusion is appropriate.

2. A letter that is two years old or less may be excluded provided the evaluator has written a more recent letter to replace it.

**X.B.3. Choosing Evaluators: Procedure** The review committee will ask the candidate, the chair, and the faculty panel members to suggest outside evaluators, and also to list potential outside evaluators who, by reason of a bias or conflict of interest, should not be chosen. The review committee and the chair will jointly select a list of evaluators to ask for letters, and subsequently may make changes in the list. Each evaluator must be approved by the dean before a contact is made with him or her.

**X.B.4. Choosing Evaluators: Requirements** The following standards and objectives must be observed. Exceptions require approval of the line officer to whom the chair reports.

1. The evaluators from whom letters are obtained must, taken together, have expertise that covers the areas of the candidate's work.

2. Each evaluator with a university faculty position must hold the equivalent of the rank of professor or a rank higher than that of the candidate.
3. Each evaluator must have appropriate professional standing. Examples:
   - A faculty position at a U.S. university whose Carnegie Classification, with regard to research and advanced study, is at least that of LSU
   - A research position at a government or private-sector research agency, institute, or laboratory

4. A person known to have a bias or conflict of interest will not be asked to serve as an evaluator.

5. Letters of evaluation obtained must be from persons from at least three different institutions.

6. Letters of evaluation obtained must be from at least three persons other than the candidate's major professor for the terminal degree or postdoctoral advisor.

X.B.5. Communications with Evaluators

The chair—or, if so provided by the department's rules, the review committee's designee—will manage communications with the evaluators. He or she may make preliminary contacts with evaluators to determine their ability and willingness to serve, and may request a C.V. or other information, if needed, to provide an accurate and appropriate description of an evaluator's qualifications. The letter requesting a letter of evaluation must comply with the model provided in Appendix C, except for variations approved by the line officer to whom the chair reports. The candidate's C.V. will be enclosed. The candidate, in consultation with the chair (or the review committee's designee), may select supporting material to be enclosed also.

X.C. Stage 2: Recommendation by the Department

1. The composition of the faculty panel depends on the action being considered and the status of the person under review. The chair will make the review file available to the faculty panel members for their study when the following items have been compiled:
   (a) the candidate’s C.V. and other documentation, as required by the university, college, or department;
   (b) copies of the chair's evaluation, together with attachments, if any, by the faculty member, from each annual review process that has taken place;
   (c) outside evaluations together with:
      (a) Name and address of everyone asked to write an evaluation
      (b) For each evaluator, a brief statement of his or her qualifications, including academic rank and institution of employment
      (c) A sample letter used to request the evaluations
(d) Explanatory notes as needed, at the discretion of the chair or review committee

- the preliminary report of the review committee (Chairs will take appropriate measures to assure that confidentiality is maintained.)

2. The chair will convene the faculty panel to consider the case and to vote on their recommendation on the decision to be made. As per section VI.A.2., the chair does not take part in the discussion or voting, but provides factual information when requested by the faculty panel.

3. The chair will write his or her own statement indicating his or her recommendation.

4. The report of the department’s recommendation will be prepared and placed in the review file. The report will incorporate the report of the review committee, revised as appropriate to reflect the deliberations of the faculty panel as per section VI.C. In cases when more than one candidate is being considered for the same action, the report will not rank the faculty members.

5. The chair will meet with the candidate to advise him or her of the recommendation unless the candidate elects not to do so. The chair will provide copies of the reports written under the provisions of items 2 and 3 to the candidate, excluding the part that must be kept confidential, and will advise the candidate of his or her right to write a formal response for inclusion in the file. If the review file is being forwarded to the next administrative level, then the response must be sent to the chair, and also to the officer to whom the chair reports, no later than seven calendar days after the date when the candidate is advised of the recommendation.

6. In any case when the department's recommendation is positive, and in the case of a mandatory tenure review, the chair will forward the review file to the line officer to whom he or she reports for consideration. In any case other than a mandatory tenure review, if the department's recommendation is negative, then the final decision will be that the promotion or tenure will not be granted—unless the candidate requests in writing that the review file be forwarded to the line officer to whom the chair reports for consideration. The report will also include a recommendation regarding reappointment where applicable.

X.D. Stage 3: Consideration at Additional Administrative Levels

The provost and deans will employ faculty advisory committees to consider promotion and tenure. No officer will make rankings of candidates. The steps of Stage 3 will be as follows: If the candidate withdraws from the promotion or tenure review at any point by means of a written request to the line officer currently holding the review file, consideration of the action will proceed no further.

1. In any case other than a mandatory tenure review, if the department makes a negative recommendation, and if the dean (or the provost, if the department reports directly to
the provost) upholds the department's position, then the dean's (or provost's) decision will be final as delegated by the president. He or she will notify the chair and the candidate, and will meet with the candidate.

2. Except as provided in item 1 of this subsection, the dean will send his or her recommendation and the review file to the provost. A copy of the dean’s letter will be provided to the candidate and the chair. If the dean’s recommendation is negative, the dean will meet with the candidate within seven calendar days unless the candidate elects not to do so. The dean will advise the candidate of his or her right to write a formal response for inclusion in the file. If a meeting with the dean occurs, the candidate will have an additional 10 days after the meeting to submit a formal response to the chair and the dean for inclusion in the file. If the candidate elects not to meet with the dean, the candidate will have 10 calendar days from the issuance of the dean’s letter to submit a formal response for inclusion in the file.

The provost will forward a recommendation and the review file to the president. The provost will notify the candidate of the recommendation. The president or his or her designee will notify the candidate of the president’s decision.

3. The chair will in timely fashion provide notice of nonreappointment to a candidate when the outcome of a mandatory tenure review is negative or when a recommendation of nonreappointment, approved by the appropriate level, has been made. A copy of the notice will be provided to HRM.

**X.E. Late Events and Evidence**

After the chair has forwarded the review file, evidence may appear or events may occur that are substantial and pertinent to the decision being made. Either the candidate or any one of the line officers involved may send such information to the line officer currently holding the file, and it will then be added to the file. The candidate and all the line officers will be advised of such an addition to the file.

**X.F. Disposition of Supporting Material**

Supporting material remains in the department until the review process is finalized but may be requested by a reviewer at any subsequent stage of the review process. Supporting material provided by the faculty member should be returned to those faculty members who are recommended for promotion and/or tenure after final approval by the president. Supporting material for candidates who are not recommended for promotion and/or tenure should be retained at the department level for at least five years after the final decision. In cases involving grievances, administrative review, or litigation, the review file should be retained until such actions are resolved.
XI. Appeals

XI.A. Procedures

After the completion of a decision at the final approval level regarding a reappointment, promotion, or tenure, a faculty member may appeal the decision seeking the reversal or other modification of the decision in question. The following procedure will be followed:

1. Within 30 calendar days of receipt of a decision under this policy, the faculty member will submit a written appeal to the chair and the dean describing the basis for appeal and the requested resolution. The dean, in consultation with the chair, will consider the appeal and submit a written response to the faculty member within two weeks. If the dean agrees with the appeal but lacks the authority to grant the request, he or she may forward the appeal and his response to the provost, and notify the faculty member of this action. If the dean denies the appeal or agrees with the appeal and has authority to implement the decision, the dean will give the faculty member notice of his or her intent to do so. Within five working days of receipt of this notice the faculty member shall notify the dean of his or her acceptance or rejection of the decision. If the faculty member rejects the dean’s decision, he or she may appeal to the provost.

2. The provost may, in his or her discretion, opt not to consider the appeal. In this case, he or she will, within two weeks, refer the matter to the president for decision.

3. If the provost reviews the appeal, he or she may choose to submit the matter to the Faculty Senate Grievance Committee for an advisory opinion. With or without submitting the appeal to the Faculty Senate Grievance Committee, the provost will make a written response to the appeal. If the provost agrees with the appeal but lacks the authority to grant the request, he or she may forward the appeal and his or her response to the president and notify the faculty member of this action. If the provost denies the appeal or if he or she agrees with the appeal and has authority to implement his or her decision, the provost will give the faculty member notice of his or her intent to do so. Within five working days of receipt of this notice, the faculty member shall notify the provost of his or her acceptance or rejection of the decision.

4. Upon receipt of notice that the appeal was not resolved to the satisfaction of the faculty member at the provost’s level, the provost will forward the appeal to the president for final review and action.

5. The faculty member may pursue the faculty grievance process in lieu of following the procedure set out in this policy. If the faculty member opts to use the process described by the Faculty Grievance Committee, then he/she is not entitled to use this policy’s procedure until the Faculty Senate Grievance Committee process is complete.
XI.B. Grounds

In submitting an appeal, a faculty member is free to present whatever information and evidence he or she considers to be pertinent. The following principles will be observed.

1. The only procedural errors which can form the basis of an appeal are those which affect the faculty member’s due process rights.

2. The purview of the Faculty Grievance Committee is restricted. The LSU Faculty Senate Bylaws state in part that the Committee "cannot substitute its judgment for an academic judgment made in a fair and reasonable manner, according to University evaluative procedures."

XII. Annual Departmental Reviews for Faculty

XII.A. Preamble

All faculty are subject to reporting requirements, and are entitled to regular and accurate reviews and evaluations.

The annual review process should be understood and carried out in keeping with the principles of academic freedom, and with the awareness that faculty work is in large part a matter of multi-year projects and commitments. The import of a single year's report or evaluation will often be incremental in nature. The process is a framework for businesslike and collegial communication. The process will disclose and identify the strengths and weaknesses in job performance that may have a bearing on rewards or other decisions affecting the faculty member. The chair will offer advice and assistance for the remediation of negative factors, if any.

PS-36-T does not prescribe the procedure to be used in complete detail. The rules of the department or college may (and should) further specify and regulate the criteria, the process, and the timetable; and may provide additional formal reviews, of various kinds and frequencies that fit around this framework.

XII.B. The Annual Review Process

In each annual review process for a faculty member, there will be only one reviewing officer, the department chair. When the faculty member is serving as an administrator—for example, as the chair—the line officer to whom he/she reports will be the reviewing officer. The reviewing officer will have primary responsibility for the process, but will incorporate evaluations by others as appropriate, for example when the faculty member has duties in more than one unit. Sampling of student opinions should be carried out in such a manner as to assure that students are free to convey honest opinions without fear of reprisal and that ratings are both reliable and valid.
The process will occur every year for every faculty member, except when he or she is being
reviewed for reappointment, promotion, or tenure, or has been given notice of nonreappointment
or termination. Other exceptions: He or she may suffer from physical, mental, or emotional
illness, or other condition, to such a degree that a job performance evaluation cannot reasonably
proceed in disregard thereof. In such a case the reviewing officer, acting under the guidance of
HRM and with approval by the line officer to whom he or she reports, may suspend or modify
the annual review process. See Policy Statement 59 entitled Employee Assistance Program.

XII.B.1. Preliminary Steps

1. When the chair, giving appropriate notice, asks the faculty member to do so, he or she
will bring the C.V. and supporting documentation in the file up-to-date, and will prepare
an annual report on his or her activities. The faculty member may include a self-
evaluation.
2. The chair will assure that the file contains the reports from all formal evaluations that
have been completed.

XII.B.2. Further Steps for Evaluation of Tenure-Track Faculty

The chair will make the file available to the review committee comprised in the same manner
as the faculty panel for reappointment review or, if so provided by the department’s rules, a
committee thereof, for study.

The review committee will meet to consider the file and discuss the person's job
performance. A report will be prepared independently of the chair, signed by a representative
of the review committee other than the chair, and placed in the file for consideration by the
chair prior to writing his or her evaluation.

The procedure of XII.B.4. comes next.

XII.B.3. Further Steps for Evaluation of Tenured Faculty

In the case of a tenured faculty member, PS-36-T does not require the involvement of faculty
other than the chair in the annual review process. Nevertheless, the chair is free to delegate
all or part of the preparation of the chair's evaluation, while remaining responsible for its
content. Furthermore, the rules of the department or college (see Section III) may set forth
guidelines for evaluations; and/or establish a committee to advise the chair about evaluations;
and/or provide that either on some regular basis or under special circumstances, a committee
will be established to make an evaluation, independently of the chair, that will be placed in
the file.

XII.B.4. Evaluation by the Chair

After giving due consideration to all the contents of the file, the chair will prepare and sign a
document, called the chair's evaluation and provide a copy to the faculty member for review. The
chair is responsible for this document, and it represents the chair's independent judgment. The chair's evaluation will incorporate at least the following elements.

1. An advisory concerning any upcoming review for reappointment, promotion, or advancement to tenure

2. The chair's evaluation of the faculty member's job performance

   (a) The contents of the file will be considered attached to the chair's evaluation. The chair may allow this material to speak for itself, or may summarize or discuss its significance.

   (b) The chair's evaluation must observe the guidelines for criteria for evaluating faculty job performance set forth in Section IV.

   (c) If in the chair's view the faculty member's job performance in any way fails to meet appropriate expectations, the chair will clearly so state, and will call for improvements. In so doing, the chair must be specific and must offer appropriate advice and assistance.

   (d) In evaluating the faculty member, the chair may be brief, and need not engage in systematic rankings, comparisons, or classifications.

   (e) If the faculty member, during the year in question, has administrative or other duties for which he or she reports to an office outside the department, then the chair's evaluation will address only the person's departmental role.

3. The chair will discuss the evaluation of each tenure-track faculty member with him or her

4. A discussion of the evaluation of each tenured faculty member will take place if the chair (or any person acting for the chair in preparing part of the document) and/or the faculty member requests such a discussion

XII.B.5. Final Steps

1. The chair’s evaluation will be signed by the faculty member, under a statement that will read, at least in part and in effect, as follows: My signature indicates that:

   (a) I am aware of the contents of my file and have had the opportunity to bring it up-to-date and to provide my annual report;

   (b) I have read and understood the chair’s evaluation;

   (c) I have exercised, or else waived, my rights to discuss the evaluation with the chair and/or with the chair of each secondary department in which I am employed; and

   (d) I understand that I have the right to attach to the evaluation a formal letter of response or rebuttal, with materials in support thereof, or to send such letter and
materials at a later date to the chair and to the dean, who will forward them to HRM.

2. The chair will send a copy of the faculty report when one exists and a copy of the chair’s evaluation file to the dean, who will send it to HRM. Each of those offices will bring its file on the faculty member up-to-date. If the dean sends comments or recommendations pertaining to the faculty member, they will become part of the file and copies will go to the chair and to the faculty member. If the faculty member has entered a letter of response or rebuttal, HRM will circulate the file to the provost.

**XIII. Voluntary Assistance Program to Enhance Job Performance**

The Preamble in Section I states that an award of tenure “implies the expectation of an academic career that will develop and grow in quality and value, and one that will be substantially self-supervised and self-directed.” The University provides assistance and support through a variety of means to assist faculty to meet these expectations. The present section describes, for a tenured faculty member, a Voluntary Assistance Program which a faculty member may request and/or a chair may recommend. Such a program could assist a faculty member (1) to achieve excellence in some new undertaking in scholarship or teaching; or (2) to change the direction of his or her scholarship to adjust to changes in the discipline; and/or (3) to overcome a problem of underperformance. This program may be instituted with the consent of the faculty member and with the approval by the chair. This Voluntary Assistance Program is not a substitute for and does not supersede or replace the remediation program mandated by Permanent Memorandum 35.

The steps of a Voluntary Assistance Program will be as follows.

1. Either the chair or the faculty member may suggest to the other that such a program be considered. If both agree, then the chair, in consultation with the line officer to whom the chair reports, will appoint an assistance team of three or more other tenured faculty members. The faculty member will participate in the selection of the team.

2. Within six weeks, the team, in consultation with the faculty member and the chair, will propose a plan for a Voluntary Assistance Program. The proposal will specify the duration, plan of action, anticipated outcomes, and timelines. The duration will ordinarily not exceed one year. Depending on the situation, the plan of action may involve measures to support the faculty member’s work, such as changes in teaching obligation, assignment of a graduate research assistant, authorizing travel expenses, or the purchase of research materials or equipment. The plan must identify the needed resources, including those that must be requested from administrative offices beyond the department, and the appropriate commitments on the part of the faculty member.

3. If the chair, in consultation with his or her dean, determines that the potential benefits to the department justify the proposed assistance program, and if the faculty member agrees,
the chair and the faculty member will present the proposal to the provost or the provost’s
designee for approval. If approval is granted, the Assistance Program will be
implemented.

4. The team will monitor the Assistance Program and provide progress reports to the chair
and to the faculty member.

5. The faculty member will make a good faith effort to complete the Assistance Program
once started. However, the program will be voluntary, and the faculty member may
choose to terminate the process at any time.

6. At the end of the Assistance Program, or as provided in the timelines, three separate
written evaluations of the program and its results will be prepared—by the team, the
chair, and the faculty member. The evaluations, together with a record of the program
through all the steps listed here, will be placed in the faculty member’s file.

XIV. Appendices

A. Glossary

Appointment or Initial Appointment: LSU’s agreement to employ a person in a tenure-track
position for a specific term or in a tenured position.

Bylaws and Regulations of the LSU Board of Supervisors: The most recent version of the
Bylaws and Regulations adopted by the Board of Supervisors of Louisiana State University and
Agricultural and Mechanical College.

Chair. The term chair means unit head, director, dean, or otherwise-titled chief officer of a
department.

College. College, school, or otherwise-named unit that reports directly to the provost.

Dean. Dean or otherwise-titled chief officer of a college.

Department. Academic institute, school, center, college, or otherwise-named unit to which the
faculty member is assigned to perform his/her duties. If said unit reports directly to the provost,
then policy references to administrative levels situated between the unit and the provost are
inapplicable.

Departmental/College/Academic Unit Bylaws: The rules and procedures adopted by an
academic unit for implementation of the provisions of this policy.

Departmentalized college. A college is said to be departmentalized if it has one or more
subdivisions that are the direct employers of faculty.
Early review. Either (1) a review for promotion to professor that takes place before the faculty member’s fifth year of service at LSU in the rank of associate professor; or (2) a tenure review that takes place before the year when it is mandated by LSU’s Bylaws and Regulations.

Faculty (Faculty Members). The Regulations of the LSU Board of Supervisors, 1-2.2.a., state that "full-time members of the academic staff having the rank of instructor or higher (or equivalent ranks) shall constitute the faculty of the campus on which they are appointed." For the purposes of Policy Statement 36-T, faculty refers to tenured and tenure-track faculty.

Faculty Member’s File: Shall be the documents maintained by the academic unit to which the employee is assigned to perform his or her duties and will include where applicable, a current C.V. and supporting material; faculty member’s annual reports; reports from all reviews conducted under Policy Statement 36-T; all annual evaluations; and an index of the file’s contents. The faculty member will have access to the file in accordance with PS-40 and applicable law, and may update its contents or add appropriate material at any time.

Faculty panel. The group of faculty constituted to consider and determine, by majority vote, the department’s recommendation with regard to a given decision under this policy.

Full-time, Part-time. A faculty member at LSU is full-time if employed for 100% of effort, considering the total of his or her appointment at LSU and LSU-recognized joint appointments, if any, at other institutions; for example, at other LSU campuses. He or she is part-time if employed for anything less than 100% of effort in that sense.

HRM. The LSU Office of Human Resource Management.

Job Description. A description of a faculty member’s duties and work assignments which at least initially may be in written form but may be modified through—for example changes in assignment, feedback on annual report of activities, and work plans provided as part of the annual review, and input from the chair concerning current expectations.

Line officer. President, provost, dean, or chair.

LSU. The Louisiana State University and Agricultural and Mechanical College.

Majority vote. A majority vote means more than half of the votes cast by persons entitled to vote on the question, excluding blanks or abstentions.

Part-time. See Full-time, Part-time above.

Peer advisor. A tenured LSU faculty member who serves in an advisory capacity to another LSU faculty member.

Primary appointment, primary department. A tenured or tenure-track faculty member’s primary department is the one in which he or she has tenure or may earn tenure; also referred to as the home department, or as the department in which he or she has primary appointment.
**Reappointment review.** The formal review process used to determine whether a faculty member will be reappointed.

**Recuse.** To withdraw from the process to avoid any appearance of bias or impropriety.

**Review committee.** Either (1) the committee charged with investigating the case for a promotion or advancement to tenure or (2) the committee charged with a role in the annual review process of an untenured faculty member.

**Secondary appointment, secondary department.** A faculty member may be employed in two or more departments. In such a case, each department involved other than the primary department is, for said faculty member, a secondary department, and he or she holds a secondary appointment therein.

**Semester.** A fall or spring semester, not a summer term.

**Separate Count.** A separate tally of the tenure-track and tenured faculty votes.

**Supporting material.** Supporting materials are documents that may reasonably be contained in the faculty member’s file to demonstrate the faculty member’s expertise and effectiveness. Such materials may include teaching portfolios, comments and letters of commendation from students or peers, appointment letters to commissions or review panels, copies of papers and evidence of other scholarly activities, examples of creative and artistic work, CVs, and annual and activity reports.

**Tenure.** As defined in the Bylaws and Regulations of the Board of Supervisors, tenure is the status of faculty members who are appointed “indefinitely,” or for “indeterminate terms.” The Bylaws and Regulations further state that tenure is not a guarantee of lifetime employment but does assure that the employee will not be dismissed without adequate justification and without due process.

**Tenure-track.** A tenure-track faculty member is one who is untenured, but who has been appointed to a position in which he/she is eligible to be considered for and be granted tenure.

**Terminal degree.** The most advanced degree offered in a given discipline, ordinarily required for a faculty position in that discipline.

**Year, years.** In references to duration of employment service for purposes of PS-36-T, a year ordinarily means either (1) two consecutive semesters of full-time service, for a person with an academic-year appointment; or (2) twelve months of full-time service, for a person with a fiscal-year appointment. For each faculty member, years will be counted from the beginning of the initial appointment.

**B. Faculty Panel**

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<tr>
<th>ACTION</th>
<th>RANK*</th>
<th>FACULTY PANEL COMPOSITION</th>
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Revision 7
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<th>All tenure-track and tenured faculty or a committee designated by same</th>
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<td>As Associate Professor</td>
<td>Vote on Tenure: Tenured Associate Professors and Tenured Professors</td>
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<td>Vote on Appointment: All tenure-track and tenured faculty</td>
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<tr>
<td>Appointment with Tenure</td>
<td>As Professor</td>
<td>Vote on Tenure: Tenured Professors</td>
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<td>Vote on Appointment: All tenure-track and tenured faculty</td>
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<td>All tenured faculty</td>
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<td>Professor</td>
<td>Tenured Professors</td>
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<td>Promotion with Tenure</td>
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<tr>
<td>Advancement to Tenure</td>
<td>As Professor</td>
<td>Tenured Professors</td>
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</tbody>
</table>

*And equivalent ranks*
C. Sample Letter To External Evaluator

Dear [---]:

[---], who is currently [an assistant professor / an associate professor / a professor] in the Department of [---] at Louisiana State University, is under consideration for promotion to [associate professor with tenure / tenure / professor]. The department would be most grateful if you would prepare and send us an evaluation of the candidate to assist us in making this decision. A C.V. and [---] are enclosed for your use. [Further description or explanation of enclosures, as necessary. The letter or the enclosures should make clear the degree of the candidate's teaching and service responsibilities.]

To be useful to us in the decision process, your response must reach us by [date].

[Include if appropriate:] We realize that you wrote us previously about this candidate [on such and such a date]. A copy of your previous letter is enclosed. University procedures require that we ask you for an updated letter at this time, to assure that any further developments have been appropriately addressed. [Include further clarification as necessary.]

We request that your letter respond to the following points.

2. State whether you know the candidate personally and, if so, during what period of time and in what capacity.

3. We seek to form an objective assessment of the candidate's [research / --- (Scholarship being defined in a broad sense (see IV.A), the wording here should be appropriate to the department)]. We wish to apply national standards, and we would be grateful if your letter addresses the matter in those terms. To that end, please consider responding to each of the following questions.

   (a) How widely and to what degree is the candidate's work recognized?

   (b) What is the scope and significance of the candidate's program of work?

   (c) Does the candidate's record suggest promise for future growth as a [scholar---or other appropriate wording, depending on the discipline]?

2. How do the candidate's achievements compare with those of other persons when they were at the same career stage, who have received the corresponding promotion, in cases with which you are familiar?

3. Please assess the candidate's abilities as a teacher or expositor, if you are in a position to form an opinion. [The wording here may be chosen to make it appropriate to the discipline.]
4. Please assess the candidate's service to the profession, if you are in a position to have an opinion. [The wording here may be chosen to make it appropriate to the discipline.]

5. Provide any additional insights or advice that you believe should be considered as we make our decision.

LSU Policy Statement 40 states that letters of recommendation or references obtained as part of the tenure review process will not be made available to the employee except for letters containing explicit statements by the author that the letter is not to be regarded as confidential. Therefore, unless you indicate that your letter is not confidential, the contents of the letter and your identity will be shared only with those individuals who participate in the decision process or as may be required by applicable law.

If you send your response electronically, please also send a signed, paper original for our files.

We thank you for your assistance in this matter. Please feel free to get in touch with me for further information at [phone number, fax number, ---, and/or email address].

Yours sincerely,