2.0 FACULTY PERSONNEL POLICIES

2.1 Definition of Faculty Status

For full USNH policy on Appointments, see Online Policy Manual (OLPM) at USY.V.C.6, available online at: http://usnholpm.unh.edu/USY/V.Pers/C.6.htm

(This section revised 2-28-12)

A. Ranked Faculty – Full-Time

1. Tenure-Track Faculty

Appointments to this status are at the ranks of Instructor, Assistant Professor, Associate Professor, and Professor.

Faculty receiving initial appointment to this status serve one-year terms which may be renewed following an annual performance review (see section 2.5). These appointments carry the expectation of evaluation, on merit, for appointment with tenure. The usual number of years of service required before evaluation for a tenured appointment is given in section 2.7. Tenure can be granted only by affirmative action of the Board of Trustees, upon recommendation by the President and the campus process given in section 2.8.

Faculty appointed to this status are eligible for promotion, tenure, and sabbatical leave. They are members of the voting faculty, i.e., they may vote on issues at faculty meetings, and are eligible to vote in faculty elections and to be elected to faculty offices and committees.

2. Clinical Faculty

Clinical Faculty are faculty who have specialized training and experience in a professional field. It is expected that Clinical Faculty have expertise in three areas in a clinical or practice setting: direct services to clients, supervision, and teaching. They assist students to acquire the skills needed in a professional environment. They are not eligible for sabbatical leave or tenure. (from USNH Policy manual- 6.3.13)

Clinical Faculty Rank. Faculty rank is applicable to clinical faculty members.
Appointments to this status are at the ranks of Instructor, Clinical Assistant Professor, Clinical Associate Professor, and Clinical Professor.

Clinical Faculty may apply for promotion (only) following the institution’s P&T procedures as outlined in the Handbook. Promotion will be based on accomplishments associated with teaching, service, and clinical responsibilities. The procedures for promotion will follow the current P&T guidelines.

Clinical Faculty are members of the voting faculty, i.e., they may vote on issues at faculty meetings, and are eligible to vote in faculty elections and to be elected to faculty offices and committees.

[revised 3-7-12]
3. Research Faculty

Research Faculty are faculty who have research and/or administrative duties as their principal assignment. They are not eligible for sabbatical leave or tenure. (from USNH Policy manual-6.3.12)

Research Faculty may be institutionally funded or grant-funded (soft-money) positions. Grant-funded positions follow policies listed under section 2.1.C Grant-Funded Research Faculty.

Research Faculty may apply for promotion (only) following the institutions P&T procedures as outlined in the Handbook. Promotion will be based on accomplishments associated with research and other duties as defined in the appointment letter and annual work plan. The procedures for promotion will follow the current P&T guidelines.

Full-time benefitted Research Faculty are members of the voting faculty, i.e., they may vote on issues at faculty meetings, and are eligible to vote in faculty elections and to be elected to faculty offices and committees.

[revised 3-7-12]

a. Grant-Funded Research Faculty

Grant-Funded Faculty are Research Faculty who are supported by externally funded grants or contracts. Appointments may be full-time or part-time and are usually made in support of the work of a Center. To be eligible for benefits, at least 50 percent of salary and benefits must come from external sources (grants and contracts). Appointments require the approval of the Chair/Director, Dean, and Provost. See section 2.1.A.3 (Research Faculty) for information regarding rank. Grant-Funded Faculty are not eligible for sabbatical leave or tenure.

**Part-time** Grant-Funded Research Faculty are not members of the voting faculty and may not be elected to faculty offices and committees. They may vote in department meetings and serve on departmental committees at the discretion of the department. Part-time Grant-Funded Faculty otherwise have ordinary faculty privileges (library, parking, etc.).

**Full-time** Grant-Funded Research Faculty are members of the voting faculty, i.e., they may vote on issues at faculty meetings and are eligible to vote in faculty elections and to be elected to faculty offices and committees.

Annual written reviews for Grant-Funded Faculty are prepared by the Department Chair or program director. Appointments shall be reviewed annually. They may be renewed only if continued external funding is assured.

[revised 3-7-12]

4. Faculty-in-Residence (FIR)

Appointments to this status are at the ranks of Instructor (FIR), Assistant Professor (FIR), Associate Professor (FIR), and Professor (FIR).

Faculty receiving appointment for this status may receive initial appointments for a specific period of up to three years. The usual period of appointment is one year. Appointments as FIR
may be renewable up to a maximum of three years, based upon an annual performance review and the needs of the department. (section 2.5)

Faculty-in-Residence are not eligible for appointment with tenure or sabbatical leave but are eligible for promotion. They are members of the voting faculty, i.e., they may vote on issues at faculty meetings, and are eligible to vote in faculty elections and to be elected to faculty offices and committees.

The total number of appointments to either FIR or contract faculty status cannot exceed a number greater than 25 percent of the total positions in a given department.

B. Unranked Non-Tenure-Track Faculty

Unranked non-tenure-track faculty are persons whose primary responsibility is teaching and who have been appointed to one of the categories listed below. They are appointed for specific periods as indicated below, renewable based upon a performance review and the needs of the department. They do not hold academic rank and they are not eligible for promotion, tenure, and sabbatical leaves.

Unranked non-tenure-track faculty may be either full- or part-time:

1. Contract Faculty [full-time]

Appointments to this status are 100 percent time for the academic year (teaching a minimum of 12 credits per semester) and are renewable annually based upon performance evaluation and the needs of the department. Contract faculty are eligible for fringe benefits.

The total number of appointments to either Faculty-in-Residence (FIR) or contract faculty status cannot exceed a number greater than 25 percent of the total tenure-track positions in a given department.

Contract faculty are members of the voting faculty, i.e., they may vote on issues at faculty meetings, and are eligible to vote in faculty elections and to be elected to faculty offices and committees.

[revised 5-5-04]

2. Adjunct Faculty [part-time]

Appointments to this status are on a semester-by-semester basis, for the purpose of teaching one or more courses. Adjunct Faculty shall teach 23 or fewer total credits over the Fall/Spring semesters of an academic year. Winterim and Summer are not included in this total.

[revised 12-15-11]

Adjunct Faculty are not members of the voting faculty and may not be elected to faculty offices and committees. They may vote in department meetings and serve on departmental committees at the discretion of the department.

Information about the pay scale for unranked non-tenure-track faculty positions may be obtained at the Office of the Vice President for Academic Affairs.
C. Special Appointment Faculty

None of the faculty in the following categories is a member of the voting faculty and may not be elected to faculty offices and committees.

1. Emeritus

All tenured members of the faculty who retire from the University System after 10 or more years of service may be nominated by the academic department for status “professor emeritus of [XXX Discipline].” The department nomination shall be provided to the dean and provost who will make a recommendation to the president of the institution. The president will exercise final approval of emeritus status.

Emeriti may be employed according to the provisions for retired faculty below.

[revised 6-28-04, 5-7-09, 3-10-14 in accord with USNH policy]

2. Retired

Faculty of the University may be employed following normal retirement under the following conditions:

a. The specific work assignment after retirement shall be mutually acceptable to both the employee and the department
b. Employment shall be part-time only, teaching fewer than 20 credits in the two semesters of one academic year
c. Such employment will require appropriate administrative approval on a semester-by-semester basis
d. University System benefits, other than those required by law, shall not be earned during employment; provisions for such benefits have been previously allocated for retirees

3. Affiliate

Appointment to Affiliate status is made to honor various contributions to the educational mission of the University. Appointment to Affiliate status is by action of the President of Plymouth State University, after recommendation by the appropriate Department Chair and the Vice President for Academic Affairs. All such appointments are for one year and may be renewed.

Appointments to this status are at ranks of Affiliate Instructor, Affiliate Assistant Professor, Affiliate Associate Professor, and Affiliate Professor.

Affiliate faculty are not eligible for promotion, tenure, or sabbatical leave. Affiliate faculty serve without financial payment for their services.

4. Visiting

Visiting faculty members are individuals who hold regular faculty appointments at other institutions of higher education and who contribute to the educational or research activities of a USNH institution, either full-time or part-time. They may be appointed as Visiting Assistant Professor, Visiting Associate Professor, or Visiting Professor. All such appointments shall be for one semester or one academic year and shall be renewable. Visiting faculty are not eligible for promotion, tenure, or sabbatical leave at Plymouth State University.
D. Administrators with Faculty Rank

Principal administrators and academic deans who have established faculty rank with an academic department at Plymouth State University are eligible to vote in annual faculty elections.

No person may be simultaneously a member of, or represented by, two governance assemblies.

Retreat Rights: retreat rights are individually negotiated.

In accord with the provisions of Faculty Bylaws, Article III, administrators with faculty rank are members of the voting faculty, i.e., they may vote on issues at faculty meetings, and are eligible to vote in faculty elections. Of the listed administrators, only the Dean of the Library is eligible to be elected to faculty offices and committees.

[amended 5-4-11]

E. Special Academic Support Staff

PAT-Skills Application Teachers: Under general supervision of a Department Chair or faculty member, to instruct students in basics of applied skills, including testing, determining skills proficiencies, and designing course and laboratory programs to support those skills.

Advising and other faculty duties are decided upon by the department.

PAT-Skills Application Teachers are not members of the voting faculty and may not be elected to faculty offices and committees. They may vote in department meetings and serve on departmental committees at the discretion of the department.

NOTE: Individuals will no longer be hired in this category. Departments requiring an instructor with a specific skill set should consider the categories of unranked non-tenure-track faculty described above (contract faculty or Adjunct Faculty).

F. Qualifications for Appointment to Rank

Tenure Track

1. **Instructor**: shall have made substantial progress toward completing formal advanced study (doctorate or equivalent terminal degree) appropriate for the field.

2. **Assistant Professor**: shall have completed formal advanced study (doctorate or equivalent terminal degree) appropriate for the field and have had successful teaching, professional library, or other relevant experience.

3. **Associate Professor**: shall have completed formal advanced study (doctorate or equivalent terminal degree) appropriate for the field and have had several years of successful teaching, professional library, or other relevant experience, and have shown evidence of successful scholarly or professional activities which are objectively evaluated by colleagues external to PSU.

4. **Professor**: shall have completed formal advanced study (doctorate or equivalent terminal degree) appropriate for the field, have a background of successful teaching or librarianship, and sustained
successful scholarly or professional activities which are objectively evaluated by colleagues external to PSU.

[section 2.1 revised by faculty 4-7-04; indicated paragraph on contract faculty approved 5-5-04]

Clinical Faculty

1. Clinical Instructor: Bachelor’s degree and current licensure/certification as appropriate to the field
2. Clinical Assistant Professor: Master’s degree in appropriate field, successful teaching or other relevant experience, holds current licensure/certification as appropriate to the field, and has significant professional experience post Master's degree in the appropriate field.
3. Clinical Associate Professor: Master’s degree, current licensure/certification as appropriate to the field, several years of successful teaching or other relevant experience
4. Clinical Professor: Master’s degree, current licensure/certification as appropriate to the field, several years of successful teaching or other relevant experience, and evidence of professional leadership marked by the perspective of maturity and experience in clinical practice.

Research Faculty

1. Assistant Professor: Master’s degree and completion formal advanced study appropriate to his/her field and shall have demonstrated success in carrying out externally funded research.
2. Associate Professor: Doctoral degree, several years of appropriate research experience, and clear evidence of his/her ability to conceive and perform independent research and to obtain external funding for his/her research.
3. Professor: Doctoral degree, several years of appropriate research experience, evidence of ability to obtain external funding, demonstration of professional leadership, and evidence of sustained research marked by maturity and experience that has earned him/her a national and/or international reputation in the field.
2.2 Appointment

A. Letter of Appointment

A letter of appointment is issued at least annually to non-tenured faculty members by the Vice President for Academic Affairs. The letter sets forth the terms of employment appropriate to each status and rank.

B. Tenured Appointment

Tenure is the right of a faculty member to be reemployed for successive contractual periods, subject to the terms and conditions of employment that exist from period to period, absent a demonstration of just cause for discharge or financial exigency or Board of Trustees’ authorized programmatic displacement.

Tenure can be granted only by affirmative action of the Board of Trustees, upon recommendation by the President and the campus process given in section 2.7.

C. Appointment Term

1. An employment year is either fiscal or academic. Academic-year appointments are applicable only to full- and part-time faculty positions and to any category of graduate student employment. All other appointments are either full-time fiscal or percent-time fiscal (flex year). An appointment for one semester of an academic year shall be considered part of an academic-year appointment.

2. For academic-year appointments, the active dates of appointment begin the Monday before the start of Faculty Week in August and end with graduation in May. These active dates include Winterim. It is understood that persons holding an academic-year appointment as full-time faculty members hold professional annual appointments that include responsibilities, such as participation in orientation sessions, that may fall outside of the active dates of appointment.

3. Fiscal-year appointments follow the fiscal year, which is defined as 12 consecutive months beginning with July 1 and ending with June 30.

[Sec. C. added at 4-5-06 Faculty Meeting, in accord with USNH policy]

2.3 Search/Appointment/Orientation

A. Search Procedures

Search procedures are set up by the Vice President for Academic Affairs in conjunction with the Human Resources Office.

[revised 9-6-04]

B. Appointment Procedures

Faculty members are appointed by the Vice President for Academic Affairs, upon the recommendation from the Department Chair. Faculty members receive letters of appointment as described above (section 2.2.A).
C. Orientation

There is a yearly orientation program for new faculty, organized by the Vice President for Academic Affairs. Departments carry out additional orientation of new faculty.

D. Equal Opportunity

It is the policy of Plymouth State University as a unit of the University System of New Hampshire to provide equal opportunities on the basis of merit and without discrimination because of race, color, religion, sex, sexual preference, age, national origin, or physical or mental handicap. These policies are in compliance with Federal Executive Orders and the General Laws of the State of New Hampshire.

The University will provide equal opportunities for all qualified individuals and will promote the full realization of equal opportunity through positive, continuing programs in each unit. This policy of equal employment opportunity applies to all individuals in every aspect of employment policy and practice.

The University System and Plymouth State University will take affirmative action to ensure that all applicants receive fair consideration for employment and that employees receive fair treatment during employment, without regard to their race, color, religion, sex, sexual preference, age, national origin, or handicap. Such will apply but not be limited to: employment, upgrading, transfer, demotion, recruitment advertising, layoff, termination, rates of pay or other forms of compensation, and selection for training. Notices of nondiscrimination will be posted in conspicuous places to be viewed by all employees and students. Grievance procedures will provide for prompt, fair, and impartial consideration of all complaints of discrimination on the basis of race, color, religion, sex, sexual preference, age, national origin, or handicap. Standard procedures for consideration of complaints are established in the System Policy Manual, which is available at numerous offices within the System as well as in the Faculty and Staff Handbooks.

E. Affirmative Action

The section on Affirmative Action of the University System of New Hampshire’s Online Policy Manual (OLPM) may be seen at USY.V.B, available online at: http://www.usnh.edu/olpm/USY/V.Pers/B.htm


The University will ensure that all solicitations or advertisements placed by it or on its behalf will stress that applicants will receive consideration for employment without regard to race, color, religion, sex, national origin, or handicap, and will state that the institution is an Equal Opportunity/Affirmative Action Employer. Furthermore, it is Plymouth State University’s policy that in the process of recruitment for appointment to all positions, no permanent appointment will be made until minority-group and women candidates have been sought out and, when qualified candidates are identified, are encouraged to apply.

The University System will continue to assure that contractors or prospective contractors, subcontractors, or unions submit a statement in writing of their Equal Opportunity commitment in compliance with Title 41 of the Federal Guidelines.

In addition, it is the policy of Plymouth State University not to discriminate on the basis of race, sex, color, disability, religion, age, marital status, national origin, sexual orientation, disabled veteran
status, or Vietnam veteran status in its recruitment and admission of students or awarding of financial aid, in the recruitment and employment of faculty and staff, or in the operation of any of its programs and activities, in accordance with federal and state laws.

See also section 2.4.M. Nondiscrimination and/or Harassment Policy Statement.

[revised 6-28-04 in accord with USNH policy; revised 11-26-07]

F. Nepotism

For full USNH policy on Nepotism, see Online Policy Manual (OLPM) at USY.V.D.6, available online at: http://usnholpm.unh.edu/USY/V.Pers/D.6.htm

More than one member of an immediate family may be employed by the University. Each such employee shall receive the full benefits and privileges of a regular appointment. However, no faculty member, Department Chair, Vice President, or other administrative officer may participate in decisions affecting the appointment, tenure, promotion, or other personnel status of a relative.

See the OLPM for the definition of “relative” and for the policy in situations where direct supervision by a relative is involved.

[revised 6-28-04 in accord with USNH policy]
2.4 Faculty Roles and Responsibilities

A. Academic Freedom

1. AAUP Statement on Academic Freedom

The University believes that faculty members are entitled to pursue knowledge wherever it lies, to freedom of discussion in their areas of academic competency, and to their rights and responsibilities as citizens. The University therefore subscribes in principle to the following passages from the 1940 Statement of Principles of the American Association of University Professors (edited to use inclusive language):

“Teachers are entitled to full freedom in research and in the publication of the results, subject to the adequate performance of their other academic duties; but research for pecuniary return should be based upon an understanding with the authorities of the institution.

“Teachers are entitled to freedom in the classroom in discussing their subjects, but they should be careful not to introduce into their teaching controversial matter that has no relation to their subjects.

“College or university teachers are citizens, members of a learned profession, and officers of an educational institution. When they speak or write as citizens, they should be free of institutional censorship or discipline, but their special position in the community imposes special obligations. As persons of learning and educational officers, faculty members should remember that the public may judge their profession and their institution by their utterances. Hence, they should at all times be accurate, should exercise appropriate restraint, show respect for the opinions of others, and should make every effort to indicate that they do not speak for the institution.” (listed also in section 2.4 J. Political Activity)

American Association of University Professors, 1940

2. Defining Academic Freedom

“Over the course of decades, a great many books, essays, and policies have been written and published about academic freedom. We have learned how to apply it to pedagogical, technological, cultural, and political realities that did not exist when the concept was first defined. Not only faculty members, administrators, trustees, and students, but also parents, politicians, and other members of the public, would now benefit from a concise summary of its major features. Sometimes academic freedom is invoked in situations where it doesn’t actually apply. But many within and without higher education are not well-versed in all the protections it does provide. This statement is designed to help clarify both what academic freedom does and doesn’t do.”

Cary Nelson, Inside Higher Ed, December 21, 2010

To view entire piece defining what academic freedom does and does not pertain to, see: http://www.insidehighered.com/views/2010/12/21/nelson_on_academic_freedom

B. Professional Ethics

PSU subscribes to the standards of professional ethics as outlined by the American Association of University Professors (AAUP), who have recognized that membership in the academic profession
carries with it special responsibilities and has consistently affirmed these responsibilities in major policy statements. What follows is a copy of the AAUP Statement on Professional Ethics that sets forth general standards to serve as a reminder of the variety of responsibilities assumed by all members of the profession. The statement was originally adopted in 1966. Revisions were made and approved by the Association’s Council in 1987 and 2009. (http://www.aaup.org/report/statement-professional-ethics)

**The Statement**

1. “Professors, guided by a deep conviction of the worth and dignity of the advancement of knowledge, recognize the special responsibilities placed upon them. Their primary responsibility to their subject is to seek and to state the truth as they see it. To this end professors devote their energies to developing and improving their scholarly competence. They accept the obligation to exercise critical self-discipline and judgment in using, extending, and transmitting knowledge. They practice intellectual honesty. Although professors may follow subsidiary interests, these interests must never seriously hamper or compromise their freedom of inquiry.

2. “As teachers, professors encourage the free pursuit of learning in their students. They hold before them the best scholarly and ethical standards of their discipline. Professors demonstrate respect for students as individuals and adhere to their proper roles as intellectual guides and counselors. Professors make every reasonable effort to foster honest academic conduct and to ensure that their evaluations of students reflect each student’s true merit. They respect the confidential nature of the relationship between professor and student. They avoid any exploitation, harassment, or discriminatory treatment of students. They acknowledge significant academic or scholarly assistance from them. They protect their academic freedom.

3. “As colleagues, professors have obligations that derive from common membership in the community of scholars. Professors do not discriminate against or harass colleagues. They respect and defend the free inquiry of associates, even when it leads to findings and conclusions that differ from their own. Professors acknowledge academic debt and strive to be objective in their professional judgment of colleagues. Professors accept their share of faculty responsibilities for the governance of their institution.

4. “As members of an academic institution, professors seek above all to be effective teachers and scholars. Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision. Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of work done outside it. When considering the interruption or termination of their service, professors recognize the effect of their decision upon the program of the institution and give due notice of their intentions.

5. “As members of their community, professors have the rights and obligations of other citizens. Professors measure the urgency of these obligations in the light of their responsibilities to their subject, to their students, to their profession, and to their institution. When they speak or act as private persons, they avoid creating the impression of speaking or acting for their college or university. As citizens engaged in a profession that depends upon freedom for its health and integrity, professors have a particular obligation to promote conditions of free inquiry and to further public understanding of academic freedom.”

**C. Availability and Expectations of All Full-time Faculty**

A full-time faculty member’s primary work responsibility is to PSU as a member of the faculty. The work of a faculty member is complex and dynamic and varies from week to week through the academic year. For tenure-track faculty, approximately 60 percent of time is devoted to teaching or
librarianship and 40 percent to advising, scholarship, and service as articulated in the work plan and agreed upon between the faculty member and Chair. Clinical faculty devote 60 percent to teaching and 40 percent to advising, clinical practice, and service. Contract faculty typically devote 60 percent of their time to teaching and 40 percent to advising and service. The allocation of time for full-time Research Faculty varies by appointment.

The faculty work-year for nine-month appointments runs from approximately mid-August (the Monday two weeks prior to the first day of classes) to the Friday after Commencement. This includes the month of January, during which time faculty are on contract. It is understood that January is typically used by faculty members for scholarship and preparing for courses. Faculty shall be available for department meetings, retreats, or committee meetings as necessary. Thus, faculty members are not expected to hold a regular schedule on campus during the month of January. In return, faculty are expected to share in the responsibility of attending and participating in orientation sessions.

Basic Expectations

1. Meet basic responsibilities in connection with their course, including but not limited to holding classes during the prescribed day and time, preparing appropriate learning activities and assessments, responding to students in a timely manner.
2. Meet all expectations under section D.
3. Attend Commencement, convocations, faculty day, and other faculty-related activities.
4. Attend and participate in meetings of the faculty and department.
5. Participate in department activities related to admissions and recruitment, including orientation sessions and open houses.
6. Be available and responsive to your students and colleagues.
7. Be available for department and committee work.
8. Establish and sustain practices for interacting with students in addition to instructional activities.

D. Faculty Responsibilities by Appointment Type

Consistent with the mission of the university, based on appointment type, faculty members are expected to engage in effective teaching/librarianship, quality scholarship, and meaningful service as outlined in sections 2.4.E, F, and G and detailed in the Appendix of this handbook.

The responsibilities of faculty members include teaching, scholarship, and service as outlined below by appointment type.

Tenure-Track Faculty: Teaching/librarianship (including advising), Scholarship, and Service
Clinical Faculty: Teaching (including advising) Clinical Responsibilities, and Service
Research Faculty: Scholarship and Service (including teaching and advising when research faculty have teaching/advising responsibilities as outlined in a letter of appointment)
Contract Faculty: Teaching (including advising) and Service
Adjunct Faculty: Teaching

All faculty members* are expected to complete and discuss with the Department Chair/Director an annual work plan that assists the department and University in meeting its mission and supports the professional development and goals of the faculty member. In the case of a joint appointment, the primary Department Chair/Director shall consult with the secondary Department Chair/Director to ensure that secondary responsibilities are met. The secondary Department Chair/Director may provide evaluation in writing to the primary Department Chair/Director to be included in the comments and recommendation section.
In addition, the following professional expectations apply to all faculty based on appointment type and shall be part of annual evaluation. Annual evaluation procedures are outlined in section 2.5.

*Adjunct Faculty are not required to complete an annual work plan.

E. Expectations of All Faculty with Teaching Responsibilities

Consistent with the educational philosophy of the University, all faculty members with teaching responsibilities are expected to be effective teachers and adhere to the basic course responsibilities, including following all academic policies. Effective teaching and basic course responsibilities are described below.

**Effective teaching** is demonstrated by a teacher that

- engages in scholarly teaching,
- uses effective instructional design,
- utilizes appropriate instructional delivery,
- employs instructional assessment,
- mentors and supports students.

*See Appendix for further definitions.

**Basic course responsibilities for Teaching Faculty include:**

1. **Classes and Office Hours**

   Teaching Faculty members have the following specific responsibilities in connection with their teaching:

   a. Remain current in the subject matter of courses taught to inform your teaching activities, assignment, and pedagogy.
   b. Develop course activities and assignments, and update them regularly, to meet the course goals and objectives developed by the department and approved by the Curriculum Committee.
   c. Convey goals/objectives, course requirements, grading criteria at the outset of the course through the course syllabus.
   d. Instruct all courses as scheduled for the full allotted time, beginning and ending as scheduled and including any scheduled final exam period.
   e. Require student attendance only during the regularly scheduled course time. Special events, field trips, etc. must be approved by Department Chair/Director and students must be informed on the first day of class and posted in the syllabus. An alternate assignment must be provided for those students who cannot attend the special event.
   f. Instruct classes on the assigned subject area aligned with the curriculum and appropriate to the level (graduate/undergraduate, upper/lower) of the course.
   g. Adhere to the NEASC credit-hour guidelines:
      1) "For each credit hour [undergraduate and graduate], there will be a minimum of one hour of classroom or direct faculty instruction and a minimum of two hours of out of class student work each week for approximately fifteen weeks for one semester hour of credit, or the equivalent amount of work over a different amount of time; OR
      2) "At least an equivalent amount of work as required in paragraph (1) of this definition for other academic activities as established by the institution including laboratory work, internships, practica, studio work, and other academic work leading to the award of credit hours."
h. Complete required training through Learning Technologies and Online Education Office when greater than 33 percent of the regular “seat-time” is replaced with online activity. See http://www.plymouth.edu/office/online-education/online-teaching/ for more information.

i. Inform Department Chair/Director (in advance when possible) of any absences and make arrangements for appropriate teaching substitution.

j. Publicize and hold at least one office hour/week for each 3–4 credit course taught and to communicate office hours to the Chair/Director. Post office hours on syllabi and office door. For each online, evening, hybrid, or alternatively scheduled course, faculty members are available and responsive to students for the equivalent of one hour per week per course to serve as “office hours.”

k. Establish communication expectations with students and be responsive to questions and requests for information in a timely manner (e.g., respond to voice mail, e-mail, and other electronic communications).

l. Order books and other materials in a timely manner to ensure material list is available at time of registration and materials are available at the outset of the course.

m. Foster free discussion, inquiry, and expression in courses while maintaining academic standards and objectives.

n. Provide formative and summative feedback to students in a timely manner.

o. Submit grades on time as set out by the Registrar and within the University’s Fair Grading Policy.

p. Comply with applicable department, college, or University policies relating to teaching.

q. Post syllabus to the University’s course management system (currently Moodle).

r. Provide updated electronic copy of syllabus to department administrative assistant at the start of every semester.

2. Assignments and Assessment

a. Exams and assignments shall be aligned with the goals and objectives of the course.

b. Exams and assignments shall be graded and returned to students as soon as possible and in a reasonable time period to be informative to the students about progress in the course.

c. Exams shall be administered within the course schedule and only faculty members [or approved teaching assistants] shall proctor exams or administer any other evaluation instrument. [approved by Faculty 11-7-84]

d. In order to meet NEASC credit-hour requirements, instructors shall use the scheduled undergraduate final exam time period for examinations, for tests, or other academic end-of-course activity.

3. Grading

a. Faculty shall be familiar with and adhere to the university’s Fair Grading Policy.

b. Faculty shall submit preliminary progress grades for undergraduate students that have fewer than 47 credit hours by the end of the sixth week of each semester.

c. Faculty shall submit final grades by the due date established by the Registrar (not less than four days after the last exam period).

d. Faculty members shall treat grades as confidential information. They should be communicated within the institution only as necessary to create transcripts, enforce academic standards, and aid in advising. They should be communicated off-campus only upon the request of the student and when appropriate waivers are given. It is illegal to post grades in any manner that identifies an individual student, including social security numbers.

e. Confidentiality of Grades: The Family Educational Rights and Privacy Act (FERPA) guarantees students the right to privacy. The following are suggestions for compliance:

1) In posting grades, use a code to indicate the students’ identities (the social security number may not be used).
2) Do not leave student papers in a place that would allow other students to see any paper other than their own.

3) When passing out papers in class, take care that comments and grades may not be seen by others.

f. Faculty members shall leave grade files and records for all courses with the Department Chair/Director in the event they permanently leave the institution.

4. Academic Integrity Policy

Academic integrity is the foundation of the pursuit of knowledge. All members of the academic community are expected to be dedicated to the pursuit of knowledge in an honest, responsible, respectful, and ethical manner. Every violation of academic integrity is an affront to the academic community. Violations of academic integrity make fair evaluation impossible and cast doubt upon the seriousness with which students accept the responsibility of acquiring an education.

Members of the academic community are expected to report all instances of those violations, which come to their attention by procedures described in the Academic Catalog. Both faculty and administration consider it their duty, as guardians of academic standards and intellectual honesty, to enforce the following policy:


5. Student Course Feedback

All students shall have an opportunity to provide course feedback in each class each semester through the University electronic system. The results will be shared with the faculty member; additional feedback will be provided to the faculty member by the chair. Faculty members shall encourage students to complete the online evaluation form as a means to increase response rates and increase the chances of capturing the breadth of student experiences within a course. Library users shall, in a manner to be determined by library faculty, be afforded the opportunity to provide feedback about each library faculty member.

6. Administrative Assistants

Faculty shall not request that departmental administrative assistants or other administrative staff perform academic functions (e.g., proctoring exams, supervising class activities, returning student work, etc.).

[approved by Faculty 11-7-84]

F. Expectations of Full-time Faculty for Mentoring and Supporting Students

Consistent with the University values and mission that establish a commitment to actively preparing students to participate respectfully and responsibly in a pluralistic society, faculty members are expected to participate in mentoring students. Mentoring students is different from the basic function of providing registration information to students; it implies that faculty will share experience and expertise that contributes to the intellectual, social, and professional development of students for success in their studies and success in their transition after graduation.

1. Mentoring Students

All faculty members are expected to mentor and support student development. Specifically, faculty shall
a. provide advice that assists students in meeting career aspirations and/or graduate education,
b. make him/herself accessible to students (advisees and students in courses/major),
c. promote students for awards and scholarships,
d. promote student orientation and involvement in profession or discipline,
e. engage students in scholarly and professional activities when feasible and appropriate,
f. participate in and support student activities (orientation sessions, convocations, Commencement, award ceremonies, honorary societies, etc.),
g. help the student feel welcome and to provide pertinent general information relative to University life.

2. Advising

Student success hinges on meaningful academic advising. Faculty advising of individual students involves being available to assist students in a variety of their life activities while at Plymouth State University. Recognizing that students differ in terms of the variety and urgency of their need for help, advisors should be particularly interested in the academic planning, scholastic achievement, career planning, and social adjustment of their assigned students. Such counseling should be based on the evaluation of skills and abilities and the identification of personal priorities. Faculty members who are assigned advisees are expected to

a. know the curriculum and provide effective and accurate curriculum advising,
b. assist students with academic progress and time to degree,
c. establish a basis of contact with students upon which personal, academic, and administrative processes may be integrated,
d. promote student awareness of their personal responsibility for the development of an appropriate academic program,
e. familiarize students with the procedures and regulations relative to curricula offered, requirements for graduation, required courses and electives, and the content and values of specific courses,
f. assist students in completing registration and utilizing the drop/add process,
g. develop communication with students that is consistent, frequent, and confidential.

More detailed information can be found on the Advisor Information website at: http://www.plymouth.edu/office/undergraduate-advising/for-advisors/.

The Graduate Advising handbook is available through the CoGS Moodle site.

Other information about advising may be found at the website of the Undergraduate Advising Center at: http://www.plymouth.edu/academicadvising

G. Expectations for Scholarship

Active engagement in scholarship is an important aspect of research and tenure-track faculty members’ academic lives. It fosters the intellect of faculty members by enabling them to remain intellectually engaged and current in their respective fields; it contributes to the intellectual and aesthetic climate of the department and of the University; it provides opportunities for collaboration among faculty and students; and it reflects positively on the University. These faculty members are expected to be involved in scholarship in their disciplines, including active and effective participation through presentations, publications, exhibitions, and/or performances.

1. Quality scholarship is demonstrated when a faculty member

   • conducts scholarship in a manner with clear goals and appropriate methods,
• demonstrates discipline-related or interdisciplinary expertise,
• meets the standards of discipline-related or interdisciplinary scholarship,
• contributes to a body of knowledge through new, original, and/or innovative works,
• disseminates to a wider audience in an appropriate forum (presentations and/or publications
to scholarly peers, exhibitions, performances, etc.),
• makes an impact or contribution to the discipline or some community of people.

Plymouth State University values diversity in scholarship that is informed by the Boyer Model of
Scholarship as described below. This framework considers the multiple forms that scholarship
may take; there is no requirement that candidates involve themselves in all of these types of
scholarship. The types of scholarship include:

Scholarship of Discovery
Building new knowledge through research or creating new works

Scholarship of Teaching and Learning
Investigating teaching theory and/or processes for the purpose of optimizing learning

Scholarship of Integration
Making connections across disciplines and advancing knowledge through synthesis

Scholarship of Engagement
Utilizing relevant research by linking theory and practice in collaboration with community stakeholders
to solve pressing social, civic, or ethical problems

Specific information about the expectations of scholarship is provided in sections 2.7 and 2.8 of
this handbook.

Scholarship must be conducted in accordance with university policies and other state and federal
legislation. Please refer to the Office of Sponsored Programs for more information:
https://www.plymouth.edu/office/sponsored-programs/policies/internal-policies-procedures/

Some of the policies are listed below.

2. Compliance with Federal Regulations

Faculty are expected to comply with all regulations governing research imposed by law or
University policy, including but not limited to the Conflict of Interest Policy and the policies and

3. External Funding

Faculty members who are serving as the principal investigator seeking external funding (grants
and contracts) must have Department Chair/Director’s approval and shall coordinate all external
funding activity through the Office of Sponsored Programs (OSP).

Grant Submittal Procedures

Prior to submission to an external sponsor, all grant proposals are reviewed by OSP for
compliance with University policies, prospective sponsor requirements, and all applicable
laws and regulations. Procedures and forms for submitting grant proposals can be found at
http://www.plymouth.edu/office/sponsored-programs/. Proposals are then routed by OSP to
the Provost and to the Vice President for Finance and Administration for their approval of submission.

A **complete and final edited** version of the grant proposal, including narrative and budget, must be submitted to the Office of Sponsored Programs **no later than one week prior to the application deadline** to ensure adequate time for on-campus review. It is strongly recommended that principal investigators begin to work with the Office of Sponsored Programs **several weeks prior to the application deadline** in order to ensure that a final version will be completed one week prior to the sponsor deadline. Proposals that do not meet these time requirements may not receive institutional approval for submittal.

### H. Expectations for Service

Consistent with the mission and University motto, *Ut Prosim*, all full-time faculty members are expected to engage in meaningful service and participate actively in the life of the University. Service can be to the department, the University, and the community and/or profession. Faculty members are not required to serve all of these service areas each year, though faculty members shall demonstrate service in all of these areas over time (e.g., develop a portfolio of service that includes all areas). Meaningful service and expected elements of participation in department and University activities are described below.

1. **Meaningful service is demonstrated when the faculty member**
   - contributes to the department, the college, and the University,
   - conducts activities with integrity and professionalism,
   - accepts responsibilities and follows through on commitments,
   - demonstrates ability to work collaboratively,
   - contributes to the community and/or the profession through the application of professional expertise.

2. **Expected elements of participation include:**
   a. Accomplish the work of the University by
      - participating meaningfully in governance through work on standing or ad hoc committees and/or advisory or representative groups
   b. Accomplish the work of the department by
      - participating equitably in departmental governance, standing and ad hoc committees, strategic planning, self-studies, special projects
      - participate in curricular support and development, program assessment, accreditation support, academic planning and curriculum development
   c. Meet the needs of students by
      - establishing and sustaining a presence for interaction with students in addition to instructional activities
      - provide appropriate advising and mentoring, support student clubs as appropriate
   d. Serve the profession and the public by
      - engaging in service to their professional organizations
      - providing consulting, formally and informally
        - External service and consultation is respected and reflects well on the university.
        - Such service should adhere to policies regarding Compensated Professional Activities for Faculty (see the USNH Online Policy Manual (OLPM), USY.V.D.7.4)
For specific information relative to promotion and tenure and expectations of service, see sections 2.7 and 2.8 of this handbook.

I. Expectations for Clinical Responsibilities (Clinical Faculty)
Clinical faculty are expected to be actively involved as clinicians and/or engaged in supervision of students in a clinical setting. As such, a minimum expectation is that clinical faculty will maintain professional education, certification, and licensure in his/her field.

J. Professional and Legal Standards for All Faculty Members
In the performance of their duties, all faculty members are expected to maintain the highest professional, ethical, and legal standards. In addition to responsibilities outlined in this section (2.4), faculty are expected to adhere to all policies in this handbook, including but not limited to the following policies:

1. Discrimination (section 2.4.L.)
2. Nondiscrimination and/or Harassment (section 2.4.M.)
3. Financial Conflict of Interest (section 2.11.)
4. Outside Employment/Consulting (section 2.12.B.)
5. Copyright (section 2.13.B.)
6. Human Subjects (section 2.13.C.)
8. Political Activity (section 2.13.G.)
9. Alcohol Service for University Events (section 2.13.H.)
10. Drug-Free Workplace (section 2.13.I.)

K. Political Activity
The following policy governing political activity was adopted by the Board of Trustees in 1950. It was reaffirmed in 1956 and again in 1964. Refer to USNH Online Policy Manual at USY.V.D.8: http://usnholpm.unh.edu/USY/V.Pers/D.8.htm

1. This policy is intended to express the System’s desire to facilitate free discussion of all points of view to the extent permitted by the Constitution of the United States and of the state of New Hampshire.
2. The rights of assembly and freedom of speech within the University System of New Hampshire shall be limited only to the extent applied to other citizens for the purpose of preventing assembly for illegal purposes or the advocacy of overthrow of government by force. Such rights shall be respected according to their meaning and application under law and within the function and program of the System.
3. Reasonable use may be made of institutional facilities for political meetings and discussions.
4. Outside speakers may be invited to address groups on the same basis as speakers invited to address student organizations.
5. The University System does not accept responsibility for views expressed or entertained by either speakers or groups, except as stated in paragraph 1.
6. Participation of faculty members in political action is governed by Paragraph 1 (B) of the 1940 Statement of Principles of the American Association of University Professors. It has been revised here to be gender neutral. The statement reads, “College or university teachers are citizens, members of learned professions, and officers of educational institutions. When they speak, or write, as citizens, they should be free from institution censorship or discipline; but their special
positions in the community impose special obligations. As people of learning and educational officers, they should remember that the public might judge their profession and their institution by their utterances. Hence they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that they are not institutional spokespersons.” (listed also in sec. 2.4.A. Academic Freedom)

[revised 6-28-04 in accord with USNH policy]

See also section 2.4.A., Academic Freedom.

L. Political Office

The USNH Board of Trustees has the following policy in connection with holding political office (USY.V.D.8.8):

“The Board of Trustees will not object to any member of the faculty or staff of the University running as a candidate for political office. However, should the amount of time required by the office or the candidacy for the office be such as to materially affect the time the faculty or staff member is expected to spend on his/her University System position, he/she may be required to take a leave of absence or the terms and conditions of his/her employment may be amended.”

[revised 6-28-04 in accord with USNH policy]

M. Discrimination

PSU, in accordance with federal and state laws and regulations, will not tolerate discrimination and/or harassment against any person based on race, color, national origin, religion, sex, sexual orientation, gender identity or expression, age, disability, marital status, disabled veteran status, or Vietnam veteran status by faculty, staff, or students because such behavior is unlawful, disrespectful, and undermines the spirit of PSU’s mission. Any person so discriminated against should seek to rectify the condition and may file a grievance. (See section 2.17 of this handbook for Grievance Policy. See also following section for PSU Nondiscrimination and/or Harassment Policy Statement.)

N. Nondiscrimination and/or Harassment Policy Statement

The Nondiscrimination and/or Harassment Policy Statement is available online and should be viewed online to ensure access to the most up-to-date version. The complete policy may be found at: http://usnholpm.unh.edu/PSU/V_Pers/B.htm

O. Plymouth State University Statement on Workplace Bullying

(approved by Faculty February 2013)

Plymouth State University wishes to promote a friendly, welcoming, and healthy environment in conjunction with the University’s Mission Statement. Every individual is entitled to be treated with respect and to be free from bullying and harassment. All members of the University community are expected to behave in a manner that demonstrates proper regard for the rights and welfare of others.

PSU defines bullying as severe and/or repeated inappropriate behavior, either direct or indirect, whether verbal, written, physical, or electronic expression, conducted by one or more persons against another or others, in the workplace and/or in the course of employment. Bullying may be intentional or unintentional. It consists of abusive conduct relative to acts, omissions, or both, that a reasonable person would find hostile, based on the severity, nature, and frequency of the conduct
and without regard to the method of delivery (verbal, written, physical, or electronic). Abusive conduct may include, but is not limited to: repeated infliction of verbal abuse, such as the use of derogatory remarks, insults, and epithets; verbal or physical conduct of a threatening, intimidating, or humiliating nature; the sabotage or undermining of an individual’s work performance; or attempts to exploit an individual’s known psychological or physical vulnerability.

The following examples may constitute, but are not limited to, evidence of workplace bullying:

• Persistent negative singling out of one person or persons
• Using obscene gestures
• Not allowing a person to speak or express him/herself (i.e., ignoring or interruption).
• Personal insults and use of offensive nicknames
• Public humiliation
• Constant criticism on matters unrelated or minimally related to the person’s job performance or description
• Repeatedly accusing someone of errors which cannot be documented
• Spreading rumors and gossip regarding individuals
• Undermining the ability of someone to do their work (e.g., overloading, underloading, withholding information, setting meaningless tasks, setting deadlines that cannot be met, giving deliberately ambiguous instructions)
• Deliberately excluding or isolating an individual from work-related activities (meetings, etc.)
• Threats of abuse to an individual or an individual’s property (defacing or marking up property) or employment.
• Retaliation against a person who reports bullying, who provides information during an investigation of bullying, or who is a witness to or has reliable information about bullying
2.5 Performance Evaluation

A. Purpose of Annual Evaluation

This section outlines the process for annual evaluation of faculty based upon the expectations outlined in section 2.4 and sections 2.7 and 2.8 as they apply to faculty members by appointment type.

The purpose of the annual evaluation is to ensure that faculty members’ efforts align with the University mission in their varied roles and activities in teaching, scholarship, and service. All faculty members are expected to meet basic professional expectations as a citizen in the department/institution and expectations of professional development as relevant to their respective positions. All faculty members shall be evaluated annually using the criteria as appropriate to the faculty appointment type. Evaluations are made as a basis for personnel actions, such as renewal of appointment, promotion and tenure decisions, and annual salary adjustments.

According to the USNH policy, performance evaluation is (1) a means of constructively analyzing the efforts of individuals, (2) a means of determining where improvement is necessary, and (3) a procedure by which communication is enhanced, thus providing a forum for the guidance, and counseling to promote the growth of faculty members, and (4) the opportunity for recognition of achievement.

PSU maintains standards of performance from faculty members in accordance with faculty appointment type and annual work plan and as determined collaboratively between the faculty member and the Department Chair/Director.

Department Chairs/Directors have a responsibility to provide ongoing developmental and evaluative feedback that fosters professional development and productivity across faculty members’ careers. Chairs/Directors will consider criteria for meeting basic professional expectations articulated in section 2.4 and the annual work plan in the performance evaluation. For full USNH policy on Performance Evaluation, see Online Policy Manual (OLPM) at USY.V.C.7, available online at: http://usnholpm.unh.edu/USY/V.Pers/C.7.htm

B. Basis for Annual Evaluation

Faculty will be evaluated on expectations articulated in section 2.4 (Faculty Roles and Responsibilities) and 2.7 and 2.8 as appropriate to their position type and appointment as follows:

Tenure-Track Faculty: Teaching/librarianship (including advising), Scholarship, and Service
Clinical Faculty: Teaching (including advising) and Service, including clinical assignments
Contract Faculty: Teaching (including advising) and Service
Research Faculty: Scholarship and Service (some may have teaching/advising responsibilities as outlined in a letter of appointment)
Adjunct Faculty: Teaching

The Department Chair/Director shall use student course feedback, classroom teaching observations/evaluations, and other appropriate and related information to evaluate teaching effectiveness.

For faculty categories that require scholarship and/or service, the Department Chair/Director shall evaluate scholarship and/or service in the course of the annual work plan review process as appropriate to the appointment type and rank guided by the criteria established in sections 2.7 and 2.8.
C. Procedures for Evaluation

Annually, and as appropriate to the faculty appointment type, the Chair/Director shall evaluate faculty members on teaching, scholarship, service, and fulfillment of professional responsibilities, as described in section 2.5. The Chairs/Directors shall use the work plan with self-evaluation (when applicable), student feedback, review of syllabi and course materials, any observations/evaluations done during the academic year, and other appropriate information to evaluate the faculty member.

Adjunct Faculty members are evaluated through review of course materials, syllabi, use of appropriate assessment methods, any teaching observation/evaluation done during the academic year, and review of student course feedback as outlined in the collective bargaining agreement (in progress).

Chairs/Directors will be evaluated by the Dean of each college following a set of procedures described in the Chair’s Handbook (https://www.plymouth.edu/office/vpaa/files/2012/11/chairs-hndbk.pdf).

1. Work Plan (not applicable for Adjunct Faculty)
   a. Purpose of the Work Plan
      - To outline workload/differentiation of load
      - To create an opportunity for conscious planning by developing annual goals for teaching, scholarship, and service
      - To promote conversation between the Department Chair/Director and the faculty member
        - to identify resources required for achieving professional goals
        - to encourage initiatives in support of student success
        - to consider how individual professional goals align with the needs of the department and the mission of the University
        - to plan a sustainable workload
      - To evaluate the outcome of professional goals on a yearly basis by determining evidence of success or progress toward goals
      - To promote reflection regarding accomplishments and needed revisions of professional goals
      - To enhance individual and institutional accountability

      The current work plan document is available at http://www.plymouth.edu/office/vpaa/faculty/
   b. Process of Work Plan Development
      Annually, every faculty member develops a work plan in consultation with his/her Department Chair/Director (Chairs/Directors will develop work plan in collaboration with the Dean and shall be evaluated by the Dean). The work plan is designed to support faculty planning, development, and evaluation. In developing the work plan, faculty will articulate and prioritize goals for teaching, scholarship, and service. Work plans are intended to be developed in collaboration with Department Chairs/Directors. The Chair/Director shall work with faculty members to ensure that the work plan sets a reasonable workload while supporting the professional goals of the faculty member and meeting the needs of the department and University.
   c. Work Plan as Evaluation Tool
Annually, Chairs/Directors will evaluate faculty performance by commenting on each section of the work plan and providing a summative evaluation as directed at the end of the document. The completed work plan with Chair/Director comments and recommendations, along with an up-to-date copy of the faculty member’s Curriculum Vitae, are forwarded to the Dean. The completed work plan serves as the primary tool for faculty evaluation. The summative evaluation at the end of the document should include an overall assessment of faculty members’ performance, taking into account student course feedback, teaching observations, and success in scholarship and service by reviewing other data as applicable. Finally, a recommendation for general increase and recognition pay is provided.

d. Submission of Work Plan and Evaluation

A written (or electronic) copy of the annual evaluation as reported by the Chair/Director (or Dean, in the case of Chair/Director evaluation) in the work plan document shall be provided to each faculty member and copied to the Dean (these will be forwarded to the Provost and become a permanent part of the personnel file). Any faculty member who wishes to append to the evaluation a statement acknowledging receipt but stipulating that the faculty member does not necessarily agree with the contents may do so by providing a letter to the Provost. These comments will become part of the permanent file.

e. Curriculum Vitae

All faculty members shall attach an updated Curriculum Vitae in the approved format to the work plan, annually, as part of submitting their work plan to the Department Chair/Director. The Dean’s office will provide a copy of the Curriculum Vitae to the Office of Human Resources.

2. Teaching Observation/Evaluation (including online)

The Department Chair/Director and/or designee shall annually observe/evaluate teaching of all tenure-track faculty who have not received tenure and shall observe at least once within two years of application all those tenured faculty who are eligible for promotion. All other non-tenure-track faculty will be reviewed annually during their first two years of appointment and every three years thereafter.

Additionally, the Department Chair/Director and/or designee may observe the teaching of any faculty member in the department as determined either by the Chair/Director or by invitation of the faculty member. Library faculty members are frequently observed by the Dean of Library and Academic Support Services satisfying this requirement for library faculty.

Typically, observations/evaluations of teaching will be arranged in advance. If a particular day is not appropriate, the instructor has the right to request and receive a visit on a different day. The instructor shall provide class materials, such as syllabus and examples of course assignments, to the observer and/or explain any unusual aspects of the course. Written reports of the teaching observation shall be shared with the faculty member and the Dean and become part of the faculty member’s personnel file.

The Dean shall observe all full-time faculty members within the first two years of hire and within two years of promotion and/or tenure. The Dean, Provost, and/or the President have the right to observe teaching. Results of such observations shall be communicated to the faculty member and the Department Chair and become part of the faculty member’s personnel file.

3. Student/Course Feedback
At the end of each semester/term, the Chair/Director shall review course feedback and provide written evaluations to faculty members as appropriate to context and need. Student evaluations for Chairs/Directors shall be reviewed by the Deans. Written feedback shall be returned within a reasonable time frame to be informative to the faculty member.

*Students will have an opportunity to provide feedback to instructors in all courses. All teaching faculty shall support the collection of feedback from students by encouraging them to complete the online student feedback form. Library users shall, in a manner to be determined by library faculty, be afforded the opportunity to evaluate each library faculty member.

4. Reappointment Notification Procedures for Non-Tenured Faculty Members

For non-tenured faculty members, the Department Chair/Director shall recommend annually to the Dean and Provost a continuing appointment, non-reappointment, or a terminal appointment. The Provost shall make a continuing appointment, non-reappointment or a terminal appointment. Notification shall be given according to the following timelines:

a. Reappointment Notification
   Non-tenure track faculty (clinical, contract, research, FIR):
   - Annually – March 15
   Tenure-track faculty:
   - 1st year – March 15
   - 2nd year and subsequent years– December 15

b. Terminal Appointment Notification (1-year terminal appointment)
   Tenure-track faculty:
   - 1st year – March 15
   - 2nd year – December 15
   - 3rd year and subsequent years – September 1

D. Pre-tenure Meeting within Two Years of Tenure Application

Every non-tenured tenure-track faculty member within two years of a tenure decision shall meet with the Dean and Department Chair/Director in a joint conference for a discussion of progress toward tenure. All other ranked faculty shall be entitled to a joint conference for a discussion of progress toward promotion.

E. Annual Salary Recommendations for Full-time Faculty

Using the work plan document and other information (observations, student course evaluations, etc.) as outlined in the Evaluation Procedures above, the Department Chair/Director shall provide to the Dean, a salary increase recommendation for each member based on the expectations outlined in sections 2.4 and 2.5 of this handbook. Center directors shall provide the same to their direct supervisors for faculty that report to them. A copy of the recommendation shall be provided to each faculty member.

Pay Increase Recommendations
- **No Increase**: Has not met minimum duties and expectations.
- **General Pay Increase**: Has performed at an acceptable level and has fulfilled his/her basic responsibilities for the year.
• **Recognition Pay Increase**: Has exceeded normal responsibilities and expectations and has demonstrated a commitment to PSU that has moved the institution forward in accordance with its mission and strategic plan.

Within available funds, the Provost, in consultation with the Deans, recommends a salary increase to the President for each faculty member.

Timeline: Chair/Director shall make recommendations in May, the Dean in June, and the Provost in July. The faculty will be notified of actual changes in compensation once a final decision is made based on enrollment and budget projections.

### 2.6 Personnel Records

#### A. The Personnel File


1. **Content**

   The Human Resources Department maintains electronic personnel files for all status faculty members. Information contained in the personnel file includes, but is not limited to, the following: salary information, such as appointment letters and payroll information; benefits information, such as enrollment information, beneficiary information, and benefit changes; performance evaluations and corrective actions related to performance; miscellaneous information, such as address changes, updates to degrees and credentials; original submitted hiring documents, such as résumé, vitae, letters of reference, and transcripts. The examples noted above are representative of the types of documents that can be found in personnel files. However, these examples are not intended to be all-inclusive and documents not named can be maintained in the personnel file.

   Evaluation materials sent to Human Resources to be included in the personnel file must be made available to the individual, either by an immediate copy or a later copy at the time the item is placed in the personnel file. Allegations or accusations will not be placed in the personnel file without notice to the individual.

2. **Review**

   All information included within the electronic personnel file is available for review upon request by the faculty member at any time. Additionally, the evaluation and corrective action materials section is available for review only by appropriate parties on a need-to-know basis. Faculty are entitled to photocopies of any materials in their electronic personnel files.

   The Human Resources Department maintains a *Record of Access for Evaluation File Form* in the electronic personnel file in order to keep a record of the individuals who have accessed the evaluation materials included in the personnel file.

   Departmental promotion and tenure committees will have access to individual personnel files for viewing information relevant to promotion and tenure only within the Human Resources Office.

*revised 6-28-04 in accord with USNH policy; revised 8-2-04 by PSU Human Resources Office; revised 11-28-07 by PSU Human Resources Office*


2.7 Promotion and Tenure

(section 2.7 endorsed by faculty March 2012)

Promotion and tenure are among the most important decisions a university makes and must be based on the expectation that the candidate is an engaged and effective teacher and mentor; is an active scholar; is contributing to his/her profession; is a valued contributor to the life of the university through service; and is participating in his/her community and profession by providing professional service. All faculty members are evaluated annually on teaching, scholarship, and service; however, the weight given to each of these categories is negotiated annually and reflected in faculty members’ Work Plans. Tenure decisions are based upon criteria set out in the remainder of this document. To earn tenure, candidates must demonstrate effective teaching, appropriate levels of scholarship, and contributions to the discipline, University, and community and show promise of future contributions in all areas.

This section is intended to be a guiding framework for the P&T process for candidates, departmental committees, and University administrators. Departmental promotion and tenure guidelines will further clarify this section in the context of the specific disciplines (see section 2.8.C.).

Success in achieving tenure and promotion requires that candidates present evidence making a strong case that they have achieved the criteria articulated below, relative to the academic rank sought, and in alignment with the appointment status and workload assignments as negotiated and reflected in annual Work Plans. While faculty Work Plans are evaluated on an annual basis, the promotion and tenure (hereafter P&T) portfolio provides a holistic view and demonstrates a body of work over a period of time.

A. Eligibility

Eligibility for promotion and tenure is based upon time in rank, eligibility in rank, and degree requirements (see section 2.1.G).

5. Time in rank: Only full-time paid service counts toward time in rank. Sabbatical leave time also counts toward time in rank. Only full academic years of paid service (or on approved sabbatical or other paid leave) count toward time in rank. At the time of joining PSU faculty, the Vice President for Academic Affairs will provide faculty members with a written statement specifying the number of years of experience elsewhere with which they are being credited for promotion and tenure. A maximum of three years may be granted. Credit is based on prior teaching experience or other equivalent experience relevant to the individual’s assignment. Credit for prior service may be reduced at the request of individual faculty members in order to extend the years available before P&T application is mandatory. This request can be made at any time before the sixth year of PSU employment.

6. Eligibility in rank:
   a. Instructors in tenure-track lines are not eligible for tenure at the rank of Instructor. A decision to promote to Assistant Professor and grant tenure, or give a terminal appointment, must be made no later than during the sixth year. Instructors will not normally be promoted to Assistant Professor without the terminal degree in their fields.
   b. Assistant Professors are eligible to apply for promotion to Associate Professor in the sixth year of appropriate teaching experience in higher education, three of which must be at PSU.
      i. Decisions to grant tenure or give a terminal appointment must be made no later than during the sixth year of full-time creditable service at the rank of Instructor or above.
      ii. Assistant Professors in Tenure-Track positions must apply no later than during the
sixth year of full-time PSU service at the rank of Instructor or above.

c. Associate Professors are eligible to apply for promotion to Professor in their sixth year or beyond at that rank. Candidates should apply at the point when they are able to demonstrate they have met the criteria outlined later, beginning in section 2.7.B.

d. Tenure-track Associate Professors, if newly appointed to PSU at this rank, are eligible for tenure consideration during their second year and must apply no later than the fourth year of service at PSU. Candidates should apply at the point when they can demonstrate they have met the criteria outlined beginning in section 2.7.B.

e. Tenure-track Professors, if newly appointed to PSU at this rank, are eligible for tenure consideration during their second year at PSU. Tenure or terminal appointment for all Professors must be decided upon no later than during their fourth year at PSU.

f. If tenure-track candidates are promoted to Professor or Associate Professor at PSU, and if they have served at least three years at PSU at the time the promotion takes effect, they are also granted tenure.

g. Degree requirements: In addition to the length of service requirements, candidates must meet the following degree requirements: Instructor: Substantial progress toward appropriate terminal degree

Tenure: Doctorate or other terminal degree
Assistant Professor: Doctorate or other terminal degree
Associate Professor: Doctorate or other terminal degree
Professor: Doctorate or other terminal degree

In extremely rare circumstances, the time in rank or degree requirements may be waived for promotion. If it is determined at all evaluation levels that a candidate has a demonstrated record of excellence in all three of the following areas: teaching/librarianship, scholarship, service AND a national reputation in their field of expertise, time in rank or degree requirements may be waived. Candidates considering early application shall consult the Department Chair and Dean prior to applying.

B. Change of Eligibility Requirements

New faculty who are hired under promotion and/or tenure criteria that undergo change or modification subsequent to their employment shall have up to three academic years of eligibility under the original standards for their initial promotion/tenure process. This shall be noted in the letter of appointment. Faculty who have already been promoted and/or granted tenure at PSU and who have met all existing criteria for the next faculty rank shall be eligible to apply under those criteria for three academic years after any changes or modifications of them occur. Applications within those three years shall be considered under the previous standards unless the candidate elects to use updated standards.

C. Teaching/Librarianship

As directed by PSU’s Strategic Plan, a primary focus of the University is on providing quality academic experiences in order to enhance students’ intellectual, ethical, and civic development, and on preparing students for active and effective engagement in their professions and society. Therefore, effective teaching/librarianship is paramount in any P&T decision.
Effective teaching/librarianship involves the creation and implementation of learning activities that enable students to develop skills and knowledge that ultimately enhance their understanding of themselves and the world. Effective teaching results from faculty members being intellectually engaged in their discipline(s) and integrating students into that engagement. Effective teaching employs various approaches and numerous experiences to facilitate learning. Effective teaching includes meaningful assessment of student learning, participation of students in scholarly activities, and purposeful academic mentoring. Faculty members are responsible for the design and delivery of courses and for the creation and evaluation of curricula, which direct and shape both general and specific student learning.

1. Criteria

Learning involves active participation and commitment from both faculty and students. Therefore, the evaluation of teaching captures a comprehensive picture of teaching and learning outcomes from various experiences.

*Effective Teaching/Librarianship includes all of the following and will be evaluated by the extent to which these criteria are met (see Appendix for further definition):*

- Engages in scholarly teaching
- Uses effective instructional design
- Utilizes appropriate instructional delivery
- Employs instructional assessment
- Mentors and supports students

*The above indicators are further defined in the Appendix. Candidates should also refer to section 2.8.G.8 of the Faculty Handbook and their departmental P&T guidelines for examples of evidence that may be used to meet these criteria.

2. Evaluation of Teaching/Librarianship

Candidates will be evaluated annually and at all levels of the P&T process based on the criteria outlined above. Evaluations will take a developmental perspective appropriate to the rank for which individual candidates are applying and will consider the weight that teaching holds relative to teaching, scholarship, and service in candidates’ Work Plans. All candidates are required to demonstrate effective teaching in the courses that they teach regardless of the number of teaching credits negotiated and reflected in annual Work Plans.

In order to earn promotion and/or tenure, candidates at all ranks are required to provide evidence in their portfolio of effective teaching that will include their Statement on Teaching, analysis and self-reflection of student course evaluations, and all reports of teaching observations/evaluations. Candidates should also consider including evidence of content expertise, course syllabi, learning/assessment/teaching activities, assignments, and student work, along with evidence of fair assessment, availability to students, effective course and classroom management, self-reflection and evaluation of one’s own teaching, and descriptions of pedagogical experimentation.

For tenure and/or the rank of Associate Professor, candidates are required to demonstrate that they have met the criteria for effective teaching in the areas listed in section C.1 above.

For the rank of Professor, candidates must demonstrate evolution and growth in their teaching while continuing to meet the criteria for effective teaching.
D. Scholarship

Active engagement in scholarship is an important aspect of faculty members’ academic lives. It fosters the intellect of faculty members by enabling them to remain intellectually engaged and current in their respective fields; it contributes to the intellectual and aesthetic climate of the department and of the University; it provides opportunities for collaboration among faculty and students; and it reflects positively on the University. Faculty members are expected to be involved in scholarship in their disciplines, including active and effective participation through presentations, publications, exhibitions, and/or performances.

Plymouth State University values diversity in scholarship that is informed by the Boyer Model of Scholarship. This framework considers the multiple forms that scholarship may take; there is no requirement that candidates involve themselves in all of these types of scholarship.

Types of Scholarship

Scholarship of Discovery
- Building new knowledge through research or creating new works

Scholarship of Teaching and Learning
- Investigating teaching theory and/or processes for the purpose of optimizing learning

Scholarship of Integration
- Making connections across disciplines and advancing knowledge through synthesis

Scholarship of Engagement
- Utilizing relevant research by linking theory and practice in collaboration with community stakeholders to solve pressing social, civic, or ethical problems

1. Criteria: Scholarship involves systematic action that results in contributions to the body of knowledge as set out by one’s discipline. The evaluation of scholarship, regardless of the type as defined above, will be based upon quality and impact to show a comprehensive picture of outcomes from various endeavors.

Quality Scholarship will be evaluated by the extent to which these criteria are met (see section 2.8.G. for further definition)*

- Conducts scholarship in a manner with clear goals and appropriate methods
- Demonstrates discipline-related or interdisciplinary expertise
- Meets the standards of discipline-related or interdisciplinary scholarship
- Contributes to a body of knowledge through new, original and/or innovative works
- Disseminates to a wider audience in an appropriate forum (presentations and/or publications to scholarly peers, exhibitions, performances, etc.)
- Makes an impact or contribution to the discipline or some community of people

* Candidates should refer to section 2.8.G.1–8 of the Faculty Handbook and their departmental P&T guidelines for examples of evidence that may be used to meet these criteria.

2. Evaluation of Scholarship: Candidates will be evaluated annually and at all levels of the P&T process based on the criteria outlined above. Evaluations will take a developmental perspective appropriate to the rank for which the candidate is applying and will consider the weight that scholarship holds relative to teaching, scholarship, and service in the candidate’s Work Plan. All candidates are required to demonstrate that they are engaged in scholarship as articulated in their
Candidates’ scholarship will be evaluated at all levels of the promotion and tenure process for the quality, scope, and level of potential influence in the field. In order to earn promotion and/or tenure, candidates are required to provide evidence in their portfolio of scholarship that will include their Statement on Scholarship and supporting documents, such as copies of publications. Objective outside evaluation of scholarship is required when applying to the ranks of Associate Professor or Professor. Candidates will work with the Chair of their departmental P&T committee to arrange for external reviews of their scholarship to be added to their P&T portfolio (see section 2.8.C.6 for procedures).

**Clinical Faculty** shall demonstrate evidence of professional leadership and scholarly activity. Scholarly activity for Clinical Faculty is defined as professional development that advances the knowledge and expertise of the clinical faculty member and may include scholarship as described for tenure track faculty, though not required.

For tenure and/or the rank of Associate Professor, candidates are required to possess an emerging body of scholarship and demonstrate scholarship that meets the criteria outlined above.

For the rank of Professor, candidates are required to demonstrate a well-developed and sustained body of scholarship that demonstrates maturity in one’s field and meets the criteria outlined above. Candidates must demonstrate and provide evidence of growth as a scholar since their last promotion.

**E. Service**

Service is a core value of Plymouth State University, as evidenced in the University motto *Ut Prosim*. Our mission of student success and outreach to New Hampshire also implies the special importance of service. Service is expected of all faculty members and must include service to the department and the University, as well as to the community and/or profession. Contributions to all of these constituents are especially important for promotion to Professor.

Plymouth State University depends on the commitment and talents of faculty to serve in varied capacities. Service to the University and the department involves participation in governance and is an application of stewardship. It might involve serving on departmental and University committees; playing leadership roles within the program, department, and/or University; supporting and contributing to efforts and activities that promote student success; and contributing to the overall functioning of the PSU community. Service to the profession and/or the community involves the application of professional expertise that is closely related to candidates’ assigned roles, enhances the reputation of the University, and provides benefits to Plymouth State University.

1. **Criteria:** Service involves active participation and demonstrable outcomes that enhance circumstances in the department, University, community, and discipline, and involves application of one’s professional expertise to bring about positive outcomes. The evaluation of service captures a comprehensive picture of contributions across multiple contexts.

*Meaningful Service* will be evaluated by the extent to which these criteria are met (see section 2.8.G for further definition):

- Demonstrates contributions to the department, the college, and the University
- Conducts activities with integrity and professionalism
• Accepts responsibilities and follows through on commitments
• Demonstrates ability to work collaboratively
• Makes contributions to the community and/or the profession through the application of professional expertise

*Candidates should refer to section 2.8.G.1–8 of the Faculty Handbook and their departmental P&T guidelines for examples of evidence that may be used to meet these criteria.

2. Evaluation of Service: Candidates’ activities and accomplishments in related service will be evaluated at all levels of the P&T process for quality and impact. While service will be evaluated annually at all levels, it is understood that service will follow a developmental trajectory and will be considered as a body of work. Candidates’ service will vary according to rank and as negotiated and reflected in the annual Work Plan.

In order to earn promotion and/or tenure, candidates are required to provide evidence in their portfolio of service that will include their Statement on Service and might include supporting documents, such as copies of committee documents, evidence of outcomes, and/or letters of support.

For tenure and/or the rank of Associate Professor, candidates are required to demonstrate meaningful contributions to the program, department, and University and have provided expertise to serve the community and/or their profession that meets the criteria outlined above.

For the rank of Professor, candidates are required to continue to meet the same expectations as for Associate Professor and are required to demonstrate leadership in their service activities within and beyond the University.

2.8 Procedures for Promotion and Tenure
(section 2.8 endorsed by Faculty March 2012)

In order to be considered for promotion and/or tenure, candidates will submit an application consisting of the Personnel Action Folder (available on the Provost’s website) and P&T portfolio that demonstrates they have met the criteria for P&T outlined in section 2.7. This section outlines the procedures that the University, departments, and candidates will follow during the P&T process. Section 2.8.G identifies the contents required for the portfolio and includes examples of evidence for meeting the criteria. Candidates should also refer to their departmental P&T guidelines for discipline-specific examples.

The Checklists at the end of this section and in the Appendix assist candidates, P&T Committees, and Department Chairs through the process.

A. Evaluation Overview

1. Evaluation Levels

Candidates to be evaluated for promotion and/or tenure are to be evaluated at five levels at PSU prior to submission of their applications to the USNH Board of Trustees in June. The levels are:

Department Promotion and Tenure Committee
Department Chair
2. Evaluation Process

Candidates will be evaluated by each of these levels, in the order listed above. Each evaluation level is to review candidates’ personnel files, Personnel Action Folders, and P&T portfolios, along with recommendations made at previous levels. Each level of evaluation will also add any pertinent data not previously considered and make recommendations based on the whole. Reasons for recommendations must be provided. Written results of each level’s evaluation will be given to the succeeding levels and to the candidates.

a. If a Department Chair is being considered for promotion and/or tenure, the Department Chair recommendation is omitted.

b. At any time prior to the President’s final recommendation to the Board of Trustees, candidates may withdraw from further consideration. Withdrawal shall be made in writing and shall be submitted to all levels that have reviewed the application.

3. Evaluation Timeline

The timetable for each level to complete its review is as follows:

- **October 15.** Candidates submit portfolio to department P&T committees
- **November 15.** Department P&T committees’ recommendations due
- **December 15.** Department Chairs’ recommendations due
- **January 31.** Deans’ recommendations due
- **March 30.** Provost and Vice President for Academic Affairs recommendations due
- **April 30.** President’s recommendations due

Each level will, on or before the above dates, communicate its recommendation in writing to the candidate and deliver the file with its recommendation to the next level.

B. Responsibilities of Candidates

1. Intent to Apply

Faculty members who will apply for promotion and/or tenure must inform the Provost’s Office and the Department Chair no later than April 15 of the academic year prior to the year of application. Faculty members should declare their intent to apply and indicate the (applicable) University and departmental P&T guidelines to be followed (see section 2.7.B.).

2. Permission to Review Application Materials and Personnel File

Candidates who are to be evaluated for promotion and/or tenure must give written permission for their official file in Human Resources to be made available for consultation by evaluators at all levels (P&T committee et al.). Candidates should submit the permission form in the Personnel Action Folder by October 15 of the year of application.

C. Responsibilities of the Department
1. Because the University’s P&T procedures and criteria apply across a wide variety of scholarly disciplines, each academic department will develop guidelines for promotion and tenure. In order to ensure that the University P&T procedures and criteria are applied in a fair and consistent manner, departmental P&T guidelines are expected to align with, and will not supersede, these procedures. Departmental P&T guidelines assist candidates in the development of their P&T materials by identifying specific P&T processes that occur within the department prior to their submission of a P&T application and providing them with additional information regarding evaluation criteria for teaching, scholarship, and service that may be specific to the department and/or discipline.

The department shall be responsible for review of the department P&T guidelines. Any changes shall be approved by the department, submitted to and reviewed by the Promotion, Tenure and Evaluation Advisory Group and ultimately need to be approved by the Provost (see section 2.9).

2. Each department shall have a standing P&T Committee Chair regardless of whether there will be candidates applying.

3. Academic departments shall forward the name of the P&T Committee Chair to the Provost’s office no later than April 1 of each year.

4. Departments with candidates applying for promotion and/or tenure will elect committees of 5 members no later than the end of the Spring semester.

5. Committees reviewing tenure-track candidates shall be comprised of five tenured faculty members. If a department does not have five tenured faculty members available to serve on a department P&T committee, the Department Chair will consult with the Dean to draw up a list of possible committee members from other departments. From that list, the department faculty will vote on the remaining committee members.

6. Committees reviewing Clinical or Research candidates shall be comprised primarily of Clinical or Research Faculty at the Associate level or higher (i.e. Clinical serve on Clinical faculty committees and Research serve on Research faculty committees). Clinical or Research faculty committees shall have at least one Clinical (or Research) and at least one tenured faculty member from the department. If a department does not have five faculty members or the appropriate mix of faculty to serve on the department promotion committee, the Department Chair will consult with the Dean to draw up a list of possible faculty committee members from other departments. From that list, the department faculty will vote on the remaining committee members.

7. The Department Chair and the P&T Committee Chair (or committee designee) shall attend annual P&T training sessions.

8. The P&T Committee Chair shall be responsible for seeking external review letters in accordance with the guidelines outlined in this document.

   a. The P&T Committee Chair, Department Chair, and the candidate shall agree on a list of qualified potential reviewers that will yield a minimum of three external reviews. (See the worksheet in section 2.8.I.1 to develop a list of potential external evaluators.) The P&T Committee Chair shall solicit reviews from all reviewers on the list.

   b. External reviewers of candidates’ scholarship shall be contacted and solicited by the P&T Committee Chair in the Spring prior to the candidate’s application. This will ensure external reviewers have adequate time for review of materials and to comply with the deadline. The
P&T Committee Chair shall request that letters be addressed to her/him and be submitted no later than September 15. (See sample letter to external evaluators in section 2.8.1.2).

c. External reviewers will be asked to provide a review of a representative sample of the candidate’s body of scholarship. Candidates are responsible for providing the following to the P&T Committee Chair, which he/she will provide to the external reviewers: a copy of the University P&T guidelines, a description of the candidates teaching load, a curriculum vitae, and copies of or access to scholarly work.

d. Reviewers shall provide an objective assessment of the candidate’s scholarly work, impact, and reputation. Potential reviews with close personal relationships to candidates should be avoided (e.g., relatives, close personal friends, former doctoral dissertation chairs). It is acceptable to ask colleagues with whom candidates have collaborated, written, published, or presented works, provided reviewers feel they can provide objective evaluation.

e. The letters will become a permanent part of the candidate’s portfolio, so confidentiality cannot be guaranteed. The Chair will add these letters to the portfolio.

9. The P&T committee will use the applicable P&T guidelines to conduct a fair, impartial, and thorough review of any candidate’s application (Personnel File, Personnel Action Folder, and P&T portfolio (see section 2.8.G and 2.8.I).

10. At the beginning of the evaluation process, the department P&T committee will (with the release provided by the candidate) examine the relevant material in the Evaluation Section of the candidate’s official personnel folder maintained by the Human Resources Office.

11. The committee will complete its recommendation and provide a copy to the candidate and to the Chair of the Department no later than the date indicated above.

D. Responsibilities of University Administrators: Teaching Observations/Evaluations

Once candidates have submitted their application for P&T, the Department Chair shall observe/evaluate the teaching of each candidate; the Dean shall observe Department Chairs who are candidates for promotion or tenure. Such visits shall be arranged in advance. These teaching observations/evaluations are in addition to those conducted prior to application for P&T and should be added to the candidate’s portfolio.

1. The Dean, Provost, or President may make a classroom visit to any candidate for P&T. Results of such evaluations are to be used only at the observer’s respective level and above. They shall not be made available to prior evaluation levels (e.g., a Provost’s evaluation will be made available only to the candidate and the President).

2. These observations/evaluations are different from those completed prior to submission of an application of promotion and/or tenure. Candidates will have included reports of all prior teaching observations/evaluations since appointment (for tenure) or since last promotion (for promotion) in the P&T portfolio.

E. Responsibilities of All Evaluators: Recommendations

At each evaluation level, an independent recommendation will be made for each candidate for promotion and/or tenure based upon all P&T materials and with consideration of the reports from all previous evaluation levels. Recommendations may take three forms:

1. Recommendation for promotion and/or tenure
2. Recommendation for no change in status
3. Recommendation (in the case of non-tenured faculty) for a terminal appointment
The President of the University shall make final recommendation to the Board of Trustees. At this time, the President will also report the final recommendation to each evaluation level and to the candidate. The President’s final recommendation to the Board of Trustees and all recommendations from each level of the P&T process shall be filed in the Evaluation Section of the candidate’s personnel file in the Human Resources Office, unless a candidate withdraws from consideration.

F. Candidate’s Right to Withdraw Application and/or Appeal for Procedural Error

1. At any time prior to the President’s final recommendation to the Board of Trustees, candidates may withdraw from further consideration. In this case, the promotion/tenure recommendation folder and all materials generated by it shall be returned to the candidate or to the level originating the materials.

2. If candidates believe that the policies and procedures for promotion and/or tenure were applied inequitably to their individual case, they may file a grievance using the grievance procedures outlined in section 2.17 of this handbook.

G. Contents of the P&T Application

The candidate’s application for promotion and/or tenure is reviewed and evaluated by several levels at PSU. As evaluators become more removed from the candidate’s professional field of specialization, they need more complete, varied, and detailed information in order to be able to form a sound judgment. The documentation listed below is required to help candidates present a full case to reviewers at all levels, so that candidates may receive every consideration in the promotion and/or tenure process. Candidates will add most materials to the portfolio. Additional relevant materials, such as external reviewer letters, any additional teaching observations/evaluations, and recommendations, can/will be added to the portfolio by the committee or involved administrative evaluators.

*Portfolio Contents added by candidates:*

1. Completed forms from Personnel Action Folder:
   a. Copy of file release (original sent to the Human Resources Office by October 15)
   b. Application Form
   c. Employment and Education Summary

2. Updated curriculum vitae in approved format (available on Provost/VPAA’s website)

3. Copies of the following documents since appointment (for promotion to Associate Professor and tenure) or since last promotion (for promotion to Professor):
   a. All work plans with Department Chair annual evaluations
   b. All reappointment letters.
   c. All reports of teaching observations/evaluations

4. Results of student evaluations (raw data) and a summary of the evaluations and self-reflection

5. Candidate’s Statements on Teaching, including advising if assigned since appointment (for tenure) or since last promotion (for promotion) that supports the criteria outlined in section 2.7.C.
6. Candidate’s Statement on Scholarship since appointment (for tenure) or since last promotion (for promotion) that supports the criteria outlined in section 2.7.D.

7. Candidate’s Statement of Service since appointment (for tenure) or since last promotion (for promotion) that supports the criteria outlined in section 2.7.E.

8. Examples of evidence selected by the candidate that support statements on teaching, scholarship, and service and make a compelling case that the candidate meets the criteria in section 2.7.C.–E. for promotion and/or tenure.

a. Materials that may be included as evidence of effective teaching or librarianship:
   1) Examples of teaching materials, such as syllabi, exams projects, and assignments, etc. or other appropriate materials in the case of librarians
   2) Examples of student work
   3) Awards, commendations, nominations for successful teaching
   4) Examples of student success, e.g., presentation/publication of student work, participation in contests, or artistic exhibitions, etc.
   5) Examples of success in mentoring and supporting students
   6) Examples of continuing education activities that develop new areas of expertise required of the discipline/department or that promote a new scholarly/creative direction for the candidate’s professional growth (e.g., developing expertise in a new area that is required to be taught in the discipline or learning a new data collection technique that will lead to future research)
   7) Other evidence deemed relevant by the candidate

b. Materials that may be included as evidence of scholarship:
   1) Copies of works disseminated to a wider audience (e.g., public presentation, publication, workshop, performance, exhibition)
      • Publications (e.g., book, chapter in book, peer-reviewed article, grant proposal, critical review or editorial in refereed journal, creative work, musical composition, editing music, research report, publication in trade or popular journal, chapter in book)
      • Presentation or performance at regional or national meeting (refereed or invited)
   2) Copy of preliminary work that will lead to dissemination to a wider audience including:
      • Research and experimentation for course development or improved pedagogy that will later be presented
      • Research, data collection, project preparation, research/creative/artistic works in progress
   3) Copy of grant proposal or patents submitted
   4) Sample of development of new professional tools for use with clients/professionals outside the University
   5) Digital media or reviews of commissioned art or musical composition
   6) Other evidence deemed relevant by the candidate

c. Materials that may be included as evidence of service:
   1) Copies of reports, proposals, letters of support, or other documents demonstrating meaningful contributions to department and University
   2) Copies of reports, proposals, letters of support, or other documents demonstrating meaningful contributions to community and/or profession through the application of professional expertise (e.g., officer, board of director, program coordinator, editorial board member, journal reviewer, artistic adjudicator, consultant, etc. at national, state, regional, or local level)
3) Other evidence deemed relevant by the candidate

*Portfolio Contents to be added by Evaluators after submission of application.*

1. External reviews of scholarship added by the P&T Committee Chair
2. Statement and recommendation of each evaluation level
3. Additional teaching observations/evaluations or relevant materials as described at the start of this section (2.8.G.).
H. Checklists

1. Candidate’s P&T Checklist

The following checklist is provided to assist P&T candidates in preparing for the P&T process:

_____a. Review appointment letter and verify that information (including rank and years of experience credited toward tenure) is accurate.

_____b. Schedule a meeting with the Department Chair, during the first year of appointment, to discuss University and departmental promotion and tenure guidelines.

_____c. Read and fully understand sections 2.7 and 2.8 of the Faculty Handbook for guidelines regarding the University promotion and tenure eligibility and process.

_____d. Read and fully understand the departmental promotion and tenure guidelines.

_____e. Understand the differentiated criteria for promotion at the Assistant, Associate, and Full Professor levels.

_____f. Determine which University and department P&T guidelines apply to you. If campus or departmental guidelines have been updated or revised, talk with your department P&T committee to ensure that you are clear about which departmental and University P&T processes and guidelines will be used to evaluate your application. Revisions to guidelines become effective three years after they are passed. You may choose to use updated or revised guidelines prior to three years if you wish.

_____g. Respond to requests for teaching observations/evaluations.

_____h. Discuss progress toward tenure and/or promotion with Department Chair during annual Work Plan review.

_____i. Collect and organize materials for your promotion and tenure Personnel Action Folder and portfolio.

_____j. Attend the Provost’s sessions on preparing for promotion and tenure.

_____k. Review successful promotion and tenure applications from the department.

_____l. Meet with the Dean and the Department Chair (in a joint meeting) three and two years prior to your promotion or tenure application.

_____m. Inform the Provost’s Office and the Department Chair no later than April 15 of the academic year prior to the year of application for promotion and/or tenure to declare your intent to apply.

_____n. Work with Department Chair and P&T Committee Chair by the end of the semester (April or May) of the academic year prior to your application for promotion and/or tenure to agree upon a list of qualified external reviewers that will yield a minimum of three reviews of your scholarship. (See sections 2.7.D.2 & 2.8.C.6 & Appendix Faculty Handbook.)
_____o. Be aware of all relevant material in the Evaluation Section of your official personnel file maintained by Human Resources.

_____p. Prepare your promotion and tenure application and portfolio and submit to the departmental promotion and tenure committee by October 15 of the year of application.

_____q. Ensure that promotion and tenure application contains all required items from section 2.8.G of the *Faculty Handbook*. 
2. P&T Committee’s Checklist [revised February 2012]

The following checklist is provided to assist P&T committees with the P&T process:

P&T Committee Chair

_____a. Work with Department Chair and candidate by the end of the semester (April or May) of the academic year prior to candidate’s application for promotion and/or tenure to agree upon a list of qualified external reviewers that will yield a minimum of three reviews of the candidate’s scholarship. (See sections 2.7.D.2 & 2.8.C.6 & Appendix Faculty Handbook.)

_____b. Add all external reviews to candidate’s portfolio. Provide candidate with copies.

_____c. Attend annual P&T training session(s).

Full Committee

_____a. Ensure that the candidate knows where to access departmental guidelines and materials (including sample applications from previous years).

_____b. Understand and adhere to sections 2.7 and 2.8 of the Faculty Handbook regarding the P&T process.

_____c. Review and adhere to the departmental P&T guidelines.

_____d. Understand the differentiated criteria for promotion at the Assistant, Associate, and Full Professor levels.

_____e. Clarify with the candidate which University and department P&T guidelines apply. If campus or departmental guidelines have been updated or revised, ensure that the candidate and the committee are both clear about which departmental and University P&T processes and guidelines will be used to evaluate the application. Revisions to guidelines become effective three years after they are passed. The candidate may choose to use updated or revised guidelines prior to three years if he/she wishes.

_____f. Read the candidate’s application carefully.

_____g. Examine all relevant material in the Evaluation Section of the candidate’s official personnel file maintained by Human Resources.

_____h. Provide a copy of the committee’s recommendations to the candidate in adherence with the stated deadline on or before the due date of November 15.

_____i. Give the materials, including a copy of the committee’s recommendation, to the Department Chair on or before the due date of November 15.
3. Department Chair’s P&T Checklist [revised February 2012]

The following checklist is provided to assist Department Chairs in meeting their responsibilities regarding evaluation, and promotion and tenure processes.

Chair’s Role in Pre-tenure Process

_____a. Carefully review the University’s P&T policies (sections 2.7 and 2.8 Faculty Handbook) and University evaluation procedures (section 2.8.C Faculty Handbook).

_____b. Ensure that your department has promotion and tenure policies that are in writing, have been voted on by the department, and are accessible to all department members (section 2.8.C Faculty Handbook).

_____c. Ensure departmental guidelines are reviewed every five years and revised as needed by the department.

_____d. If campus or departmental guidelines have been updated or revised, talk with your department P&T committee and each of the candidates to ensure that everyone is clear about which departmental and University P&T processes and guidelines will be used to evaluate candidates’ application. Revisions to guidelines become effective three years after they are passed. The candidate may choose to use updated or revised guidelines prior to three years if he/she wishes.

_____e. During the first year of any new faculty members’ appointment, schedule a meeting to discuss University and departmental promotion and tenure guidelines.

_____f. Ensure that Work Plan review and evaluation occurs annually for all faculty members and provide feedback regarding teaching or librarianship, scholarship, and service. Identify strengths, areas in need of improvement, and resources needed to help faculty achieve professional goals. Indicate progress toward tenure and/or promotion. This evaluation is submitted in writing to faculty members and the Provost (section 2.7 Faculty Handbook).

_____g. Attend annual P&T training sessions.

_____h. Meet with the faculty member and Dean (in a joint meeting) three and two years prior to promotion or tenure application.

Chair’s Role in P&T Process

_____a. Meet with P&T candidates, once their candidacy status has been determined, to review the P&T process and to review what documentation and evidence should be included as part of the candidates’ application materials.

_____b. Work with P&T Committee Chair and candidate by the end of the semester (April or May) of the academic year prior to candidate’s application for promotion and/or tenure to agree upon a list of qualified external reviewers that will yield a minimum of three reviews of the candidate’s scholarship. (See sections 2.7.D.2 & 2.8.C.6 & section 2.8.I.1.)
_____c. If your department has fewer than five tenured faculty members, consult with the Provost to develop a list of potential P&T committee members to be brought to the department for vote (section 2.8.C.4 Faculty Handbook).

_____d. Review all materials submitted by P&T candidates, including recommendations of the P&T committee.

_____e. Submit your recommendations for each candidate to the Dean and provide a copy to the candidate and all previous levels on or before the due date of December 15.
I. Additional P&T Support Documents

1. External Reviewer Worksheet

   LIST OF POTENTIAL EXTERNAL EVALUATORS (use additional sheets if necessary)

   Name/Credentials:
   Title:
   Employer:
   E-mail address:
   Mailing address:
   Phone:
   Relationship to candidate, if any: (e.g., former colleague, coauthor)

   Short biographical information indicating why this individual is an appropriate external reviewer:

2. Sample Letter to External Evaluators for Tenure Track candidates

   The following is suggested text that may be modified to reflect your own style but should maintain the basic elements below.

   External evaluators shall be chosen by the committee in consultation with the candidate and contacted by the Department P&T Committee Chair.

   Date
   Header
   Dear __________________:

   ____________ is being considered for [tenure and] promotion to ____________ in the Department of ____________ at Plymouth State University. As part of the Promotion and Tenure (P&T) process, we solicit letters of evaluation from external evaluators. As I shared with you on the phone, you were suggested as a potential evaluator, and I very much appreciate your willingness to review ____________’s accomplishments.

   Enclosed is a copy of PSU’s Promotion and Tenure guidelines. Please note that Plymouth State University scholarship criteria are informed by the Boyer Model (see p. X in the guidelines). For your information, Dr. ____________ typically teaches a X-credit load each semester. Also enclosed, please find a copy of ____________’s curriculum vitae and sample scholarly works. Please review the materials in the context of PSU’s Promotion and Tenure guidelines and criteria and comment on the quality and impact of (his/her) scholarship. If you know ____________, please tell us in what context.

   It would assist our process greatly if I could receive your comments no later than September 15. An electronic submission is acceptable. Your reply will become a permanent part of ____________’s file and application for P&T. Your review will not remain confidential.

   I appreciate the time and effort that goes into completing this process. Your contribution is an important one.

   Sincerely,

   (Departmental P&T Committee Chair)

   Enclosures
Sample Letter to External Evaluators for **Clinical faculty candidates**

Date

Header

Dear __________________:

________________ is being considered for promotion to Clinical ______________ in the Department of __________________ at Plymouth State University. As part of the Promotion process, we solicit letters of evaluation from external evaluators. As I shared with you on the phone, you were suggested as a potential evaluator, and I very much appreciate your willingness to review ____________’s accomplishments.

Enclosed is a copy of PSU’s Promotion guidelines, a copy of _________________’s curriculum vitae. Please comment on the quality and impact of (his/her) clinical work and/or professional service and leadership.

It would assist our process greatly if I could receive your comments no later than September 15. An electronic submission is acceptable. Your reply will become a permanent part of ____________’s file and application for P&T. Your review will not remain confidential.

I appreciate the time and effort that goes into completing this process. Your contribution is an important one.

Sincerely,

(Departmental P&T Committee Chair)

Enclosures

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Sample Letter to External Evaluators for **Research Faculty candidates**

Date

Header

Dear __________________:

________________ is being considered for [tenure and] promotion to ______________ in the Department of __________________ at Plymouth State University. As part of the Promotion process, we solicit letters of evaluation from external evaluators. As I shared with you on the phone, you were suggested as a potential evaluator, and I very much appreciate your willingness to review ____________’s accomplishments.

Enclosed is a copy of PSU’s Promotion guidelines, a copy of _________________’s curriculum vitae and other pertinent materials. Please review the materials in the context of PSU’s Promotion criteria for Research Faculty and comment on the quality and impact of (his/her) scholarship and/or professional service and leadership.

It would assist our process greatly if I could receive your comments no later than September 15. An electronic submission is acceptable. Your reply will become a permanent part of ____________’s file and application for P&T. Your review will not remain confidential.

I appreciate the time and effort that goes into completing this process. Your contribution is an important one.

Sincerely,

(Departmental P&T Committee Chair)

Enclosures
3. PERSONNEL ACTION FOLDER

The current Personnel Action Folder for P&T is available here:
https://www.plymouth.edu/office/vpaa/files/2012/04/Personnel-Action-Folder-endorsed-3-11-12.docx
Appendix
Criteria and Indicators of Effective Teaching

Engages in Scholarly Teaching
• Reflects on, experiments with, and evaluates pedagogy to develop one’s teaching and to enhance learning for both students and faculty
• Collaborates with other faculty members for mutual development of teaching/learning
• Participates in and/or leads professional development activities in teaching (workshops/conferences, etc.)
• Demonstrates disciplinary knowledge and skills
• Integrates relevant and current research, including one’s own, into course material
• Investigates new domains of knowledge for teaching or curricular development

Uses Effective Instructional Design
• Constructs a syllabus that includes required University elements and clearly communicates expectations and learning outcomes
• Develops learning outcomes that are consistent with program learning outcomes
• Designs well-paced, well-presented, and appropriately sequenced instruction
• Plans a variety of learning, assessment, and teaching activities designed to achieve learning outcomes
• Creates effective learning activities/assignments
• Helps students learn how to learn
• Represents student centeredness in the approach to courses
• Creates opportunities for students to be active and effective participants in their learning communities

Utilizes Appropriate Instructional Delivery
• Presents well-organized and well-prepared lessons
• Communicates effectively with students and demonstrates enthusiasm for subject
• Respects students and cares about their learning
• Responds to students’ questions in a timely manner
• Provides effective feedback on student work
• Employs active and cooperative learning
• Uses technologies to enhance student learning outcomes
• Makes him/herself available to students outside of class (office hours and appointments)
• Leads by example (provides an effective clinical/professional role model)
• Provides sufficient information about course management and logistics
• Manages class materials effectively (e.g., efficient student access to class materials, such as notes, readings, assignments, quizzes, etc.)
• Facilitates student learning through effective use of online course management systems and communication tools
• Creates learning environments that welcome, challenge, and support all students
• Recognizes and manages in-class civility

Employs Instructional Assessment
• Articulates a philosophy of assessment that provides a rationale for, and links assessment to, learning outcomes
• Implements assessments that correspond to learning outcomes
• Sets and provides clear expectations/criteria for assessing student work
• Implements grading schemes that are fair and comprehensive
• Gathers formative feedback on teaching
• Gathers formative feedback on learning and gives feedback to students
• Assists students in developing ability to self-regulate and self-assess their own behavior and learning
• Results in students demonstrating successful achievement of goals/objectives/outcomes from courses

Mentors and Supports Students
• Understands curriculum and provides effective and accurate curriculum advising
• Assists students with academic progress and time to degree
• Provides mentoring that assists students in meeting career aspirations and/or graduate education
• Makes him/herself accessible to students (advisees and students in courses)
• Promotes students for awards and scholarships
• Promotes student orientation and involvement in profession or discipline
• Engages students in scholarly and professional activities
• Monitors and supports advisees’ academic progress
• Participates in and supports student activities (orientation, convocation, Commencement, award ceremonies, honorary societies, etc.)