

<b>UNIVERSITY OF KENTUCKY</b>  <b>ADMINISTRATIVE REGULATIONS</b>	IDENTIFICATION AR II-1.0-1	PAGE I-IV
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Policies and Procedures for Faculty Appointment, Retention, Promotion and Tenure

I. Introduction

The University is a land grant institution with a three fold mission of instruction, research and service. It serves students and scholars across the Commonwealth of Kentucky and beyond its borders. The educational units, faculties, programs and students are heterogeneous. A goal of the University is to recruit, development, and retain an outstanding and diverse faculty.

The review required for promotion and ~~the~~ granting of tenure is a comprehensive review of both the candidate's accomplishments over the entire probationary period [what about those before the period?] and his or her future scholarly potential. It is based on the criteria set out in the *Administrative Regulations* which require a consideration of information (~~e.g., the evaluations of external reviewers~~) which might not be available for the annual evaluations and tenure progress reviews that are covered by AR II-1.0-5 (e.g., the evaluations of external reviewers).

These procedures and criteria have been developed for the purpose of continually upgrading/monitoring? the quality and performance of the faculty in order to enhance the quality of the University's programs and permit the University to achieve its mission.

Faculty appointments are with educational units and shall be of three basic types: (1) tenure-ineligible appointments; (2) tenured or tenure-eligible appointments; and (3) post-retirement appointments. (GR X.B.3.1)

Before selecting a faculty employee, each educational unit of the University must asensure that:

- 1) a vacant position is identified and authorized subject to availability of funds.

- 2) the position is described, including minimum requirements.
- 3) the position is announced ~~or~~ and advertised.
- 4) a screening process to select one or more finalists is utilized.
- 5) for finalists, employment and personal history inquiries are conducted.
- 6) one or more finalists are interviewed.
- 7) a recommendation for appointment is made, or, in the event that no recommendation is made; the search is re-opened or terminated.
- 8) the candidate selected is offered the position. [Not necessarily. Unit can select but dean can decide not to offer.]

All Applicable Governing Regulations and Administrative Regulations for appointments must be followed.

## II. Source of Procedures and Criteria for Appointment and Advancement

### A. Procedures

The procedures to be used in each educational unit for preparing recommendations for appointment, retention, promotion, and/or granting of tenure shall be those established by the University, the college and the faculty of the educational unit. (GR VII.B.5). The University procedures are those established in the *Governing Regulations*, the *Administrative Regulations* and as may be further elaborated by the Provost. Procedures at the level of the college, in addition to those prescribed here, may be established by the Dean in consultation with the college faculty (GR VII.A.4). Additional procedures at the unit level are established jointly by the educational unit administrator and the faculty of the concerned educational unit (GR VII.A.6).

### B. Criteria and Evidences of Activity

1. The University-level criteria and evidences of activity to be used in evaluations for appointment, retention, promotion or tenure for the various faculty title series are specified in various sections of the *Administrative Regulations* as indicated below:

- a) Regular Title Series – see AR II-1.0-1.Page? V
- b) Extension Title Series – see AR II-1.0-1.VI

- c) Special Title Series – see AR II-1.0-1.VII
- d) Research Title Series – see AR II-1.0-1.VIII
- e) Clinical Title Series – see AR II-1.0-1.IX
- f) Librarian Title Series – see AR II-1.0-1.X
- g) Adjunct Title Series – see AR II-1.0-1.XI
- h) Emeritus Faculty – see sub-section (n) below
- i) Voluntary Title Series – Criteria for academic ranks of voluntary faculty shall be approved by the Provost (see AR II-1.0-1 Page XX)
- j) Lecturer Series – Unit criteria and evidences, and procedures for appointment, reappointment, promotion, and merit review of Lecturers shall be established by those educational units that employ full-time Lecturers. These unit-level criteria and evidences shall be submitted to the dean of the college for approval. (GR VII.A.6 and AR II-1.0-1 Page YY)
- k) Joint Appointments – The constituent appointments relating to a joint appointment may be processed simultaneously or at different times; however, each appointment, retention or promotion recommendation should be processed independently and considered on its own merits. An individual's academic rank, though usually the same, may differ in the constituent appointments.
- l) Faculty Employees at Veterans Affairs and Other Similarly Affiliated Hospitals – UK faculty employees health professionals otherwise recursive whose total efforts are in instruction, research and/or patient care programs shall be considered regular, full-time faculty employees of the University of Kentucky, with all rights and privileges of such faculty as described in the *Governing Regulations* even if their salaries are paid or reimbursed (partially or totally) by the Veterans Affairs or similarly approved hospitals or agencies (e.g., Cardinal Hill, Shriners, and Charter Ridge), as those hospitals and agencies are recommended by the EVPHA (in consultation with appropriate deans) to and approved by the President ~~for approval~~. These faculty employees shall be subject to the same administrative policies and procedures ~~which that~~ apply to regular full-time faculty. Salary funding arrangements shall be defined by contract.

m) Named Professorships – Individuals appointed to named professorships shall meet all criteria for the rank of Professor and shall have acquired national recognition for excellence in instruction, research or service in their disciplines. While normally reserved for exceptional professors, with the approval of the Provost a named professorship may be granted to an exceptional associate professor. Each named professorship will provide specifically identified resources for program support of a professor, and it is ordinarily expected that a significant portion of the compensation and program support allocations will come from endowment income or extramural gifts (see Section E.2. of AR II-1.2-3, "Policies Governing Private Funding of Academic Positions"). In exceptional circumstances (e.g., the recruitment or retention of a member of the National Academy of Sciences) named professorships may be submitted by the President to the Board of Trustees for approval for which funding may derive from revenue sources other than endowment income or extramural gifts. [This implies only these would be submitted to the Board.]

n) Emeritus Faculty [why is this under Criteria and Evidences of Activity?] - Upon retirement, tenured faculty members shall retain their titles with the designation of “emeritus” (e.g., Professor Emeritus) and are entitled to the following rights and privileges: to be included in faculty lists in University bulletins and, upon request, to be provided a mailbox in the appropriate department; to be assigned office and/or laboratory space and furnished supplies for creative work (upon request, subject to availability and approval of the concerned educational unit); to have faculty library and email privileges; to apply for Research Committee [is there such a committee?] grants and publication subsidies; to receive University identification cards; to receive parking privileges as specified in University Parking Regulations; to attend, without voting privileges, meetings of the University Senate; to participate, upon invitation, as non-voting members of departmental or college faculties; to use University recreational facilities upon presentation of suitable identification and following applicable rules [what if there is a fee?]; to purchase tickets to athletic events with previous [what does this mean? Does this mean they keep their season’s ticket as Emeritus as long as they want?] priority status; to hold membership in the University of Kentucky Credit Union; to make purchases at the University Bookstore at the employee discount rate [do they get faculty ID cards?]; to participate in academic processions; to be appointed to represent the University at academic ceremonies at other institutions; to receive notices of University events; and to take

part generally with the faculties in all social and ceremonial function of the University.

2. In addition to the above [e.g. Emeritus faculty part?], each unit faculty may develop written policy statements describing the evidences of activity in instruction, research and service [is CTS clinical activity under teaching, service, or something lese?] that are appropriate to their field(s), for use in guiding evaluations for promotion and tenure. The departmental statement is operative in the unit upon approval by the dean [should this not be Provost?] (GR VII.A.6.c). If no such statements are approved for a unit, then only the specifications of the University-level regulations shall be used for evaluation.

### III. Procedural Steps Occurring at the Level of the Educational Unit

#### A. Initiating the Review Process

1. Recommendations for initial appointment, reappointment, terminal reappointment, joint appointment, post-retirement appointment, non-renewal of appointment, promotion and the granting of tenure, concerning faculty employees of any rank or title series, [if appropriate [CTS does not get tenure, eg]] shall be initiated by the unit administrator.

2. Reviews for promotion or granting of tenure must be completed in time for the affected faculty employee to be notified of the result in accordance with GR X.B.1(d). [why not mention it here?]

3. During the second year at the rank of Instructor, the individual must be considered for promotion or terminal reappointment effective in the third year, unless the individual requests in writing ~~that such not to be done~~ ~~considered and that because of~~ the individual's ~~has~~ ~~decided~~ ~~sion~~ to resign or ~~is~~ ~~willingness~~ to accept a terminal reappointment.

4. An assistant professor who is in the sixth or next-to-last year of a probationary period must be considered for promotion and tenure, unless the individual requests in writing that such consideration not be done because of the individual's decision to resign or willingness to accept a terminal reappointment.

5. An associate professor on appointment without tenure may be considered for tenure at any time prior to the next-to-last year of the stated probationary period. However, a tenure-eligible associate professor in the next-to-last year of a probationary period, or a professor in the first half of a one-year probationary period, must be considered for tenure at that respective specific time, unless the individual requests in writing that such not be done because of the individual's decision to resign or willingness to

accept, as applicable, a terminal reappointment or a notice of non-renewal of appointment.

B. Consultations Conducted by the Educational Unit Administrator

Individuals who have defined or assigned administrative roles and participate in the decision-making at or above the level of unit administrator shall not be involved as consulted faculty employees in the educational unit in which they hold an academic appointment.

C. Consultation with Applicants and New Faculty

1. Either before or at the time of interview [why so soon?] of an individual for a faculty appointment, the unit administrator shall inform the individual about those parts of the *Governing Regulations* and the *Administrative Regulations* that deal with appointment, promotion and tenure and shall provide access to these regulations as requested. At the time anof the appointment is tendered, an individual shall be informed in general terms regarding criteria for academic ranks by the educational unit administrator (AR II-1.0-1).

2. The educational unit administrator shall inform each new faculty employee (within one month of the beginning of his-or-hertheir employment) of the existence and locations of the following University documents: (a) the *Governing Regulations*; (b) the *Administrative Regulations*; (c) the *University Senate Rules*, in particular the Faculty Code; (d) the rules and procedures of his-or-hertheir college; (e) the rules and procedures of his-or-hertheir educational unit; and (f) the *Student Rights and Responsibilities*. Access to any of these documents shall be provided by the unit administrator as requested.

D. Consultation with the Faculty Candidate for Promotion or Tenure

Prior to the initiation of a recommendation concerning tenure for an individual during next-to-last-year of a probationary period, the educational unit administrator shall consult with the faculty employee as to whether the individual waives the exercise [why "waive", why "exercise"? why even codify this asking? it is one thing to mention that the faculty member can ask not to be considered but it is another thing to require that the chair ask the same thing.] and thereby stops the consideration. Any such waiver must be in writing to the dean and the dean will offer the individual a terminal reappointment. An assistant or associate professor with tenure whose promotion to a higher rank has not been considered by an Academic Area Advisory Committee [what about college of law that does not use an area comm.??] for a period of six years may request such consideration by October-September 1 of the seventh or a subsequent year. The educational unit administrator shall make the individual aware of the option to submit such a request.

E. Assembly of the Dossier and the Standard Personnel File

1. The educational unit administrator is responsible for the assembly of a dossier associated with a faculty personnel recommendation. The dossier is prepared from materials in the Standard Personnel File (see below) and additional materials supplied by the educational unit administrator and faculty employee. The dossier contents necessary for most faculty personnel actions other than annual ~~or biannual~~ faculty performance review are specified in Appendix II: Matrix of Required Components Concerning Faculty Personnel Recommendations. In the preparation of a joint appointment dossier, the unit administrator in the secondary department shall develop the dossier for the secondary appointment.

2. Written judgments or letters of reference obtained from consulted individuals internal or external to the unit shall be ~~secured—obtained~~ through the request of the educational unit administrator. Letters of reference obtained from persons suggested by the individual being evaluated shall be identified as such in the dossier by the educational unit administrator.

3. Pursuant to Kentucky Revised Statutes KRS 61.878, the written judgments or letters of reference of persons consulted in connection with appointments, promotions, and tenure decisions are not confidential. Thus the writers shall not be given assurances of confidentiality.

4. There shall be one Standard Personnel File maintained for each faculty employee. The Standard Personnel File contains the Notice of Academic Appointment and Assignment, curriculum vitae, the teaching credentials certification form and, if appropriate, the teaching credentials justification form, and transcripts of academic work leading to advanced degrees. This personnel file also contains many of the crucial materials, particularly evaluation materials, needed for or taken from the dossier, which are defined below. The file contains Distributions of Effort, faculty merit or other evaluation reports, evaluations prepared by committees and those of educational unit administrators, and all other professional evaluation reports. The ~~File~~ file also contains materials related to responsibilities, ~~which—that~~ the faculty employee has to ~~governmental—of otheroutside~~ agencies. The file contains regularly updated assessments of effectiveness in research, instruction, and service.

5. The Standard Personnel File shall be updated regularly and in particular completed by actions of the educational unit administrator, and also actions of the faculty employee. The faculty employee shall update his or her curriculum vitae annually and such other documents as ~~he—of~~

shethey deems appropriate. The educational unit administrator shall periodically update files as necessary to keep them reasonably current.

6. Unsolicited materials relevant to professional function may be included in the Standard Personnel File provided the faculty employee sees them and is offered the opportunity to document in this file his-or-her/their response to them.

7. The Standard Personnel File shall be kept in the office of the educational unit administrator, or in the office of the dean as deemed appropriate for each educational unit by the dean. No other Standard Personnel File shall be kept. The Standard Personnel File shall always be available to the faculty employee and to such other persons who he-or-shethey authorizes in writing to see that file. The Standard Personnel File is of course always accessible to the educational unit administrator or higher administrative officer who is responsible for its maintenance and to such administrators superior to him-or-her/them who request access to the file.

8. The Standard Personnel File may contain communications to or from the faculty employee, solicited or unsolicited letters or memos relating to professional functions, which are not relevant to consideration for promotion or award of tenure. These materials would be included in the dossier sent forward for consideration only if the faculty employee so requests. [Why? If they are not relevant, why should they be included?] Unsolicited [in case of solicited, how could the employee know?] items received by the educational unit administrator may be placed in the dossier provided the faculty employee sees them and is offered the opportunity to insert his or her response into the dossier. No materials other than those described above and specified in Appendix II shall be incorporated into the contents of a faculty employee's dossier by the educational unit administrator or candidate.

F. Consultation with the Faculty in the Educational Unit

1. An educational unit administrator shall consult with appropriate faculty of the unit in preparing recommendations for initial appointments as delineated above, such consultation being in accordance with GR VII.B.5, second paragraph. (See also Appendix I to this Administrative Regulation [earlier we simply said "appendix". Consistency.]: Matrix of Required Consultations and Written Judgments.)

2. All letters received from individuals external to the unit shall be made available to consulted faculty employees prior to their providing individual written judgments to the educational unit administrator

regarding a recommendation for an initial appointment, or an initial a [??] primary appointment in a joint appointment.

3. A promotion or tenure dossier shall include a minimum of ~~three-six~~ (6) letters of evaluation from qualified ~~persons-reviewers [or evaluators and let's be consistent]~~ outside the University. ~~as~~ Outside letters are crucial in tenure and promotion reviews. ~~These~~ following provisions apply:

a) The letters shall be obtained by the educational unit administrator directly [what does directly do here?] from appropriately qualified persons selected in part from, and in part independent of, suggestions of the individual being considered for promotion or tenure.

b) At least three (3) of the letters shall come from reviewers selected by the educational unit administrator independent of the candidate.

c) The department faculty shall establish procedures to guide the selection process of those outside evaluators to be identified by the educational unit administrator independent of the candidate. Department faculties shall carefully consider factors that have the greatest bearing on the selection of external evaluations independent of the candidate.

d) Letters from scholars at research-oriented intensive? universities shall be given the most serious consideration. Where appropriate, letters from persons affiliated with prestigious institutes, centers or specialized schools may be included.

e) The letters shall be accompanied in the dossier by a written statement by the educational unit administrator indicating for each letter whether or not the name of the respondent had [has?] been suggested by the individual under consideration and, if known, whether or not the ~~respondent~~ reviewer [or evaluator] had [has?] been a previous faculty colleague or similar scholarly associate of the individual.

f) The educational unit administrator shall request the outside evaluators to return their letters on a date prior to the unit administrator's meeting with or requesting letters of advice from the unit faculty employees to be consulted.

g) The educational unit administrator shall make available to the consulted faculty employees all letters received [not

enough...perhaps "included"?) and expect them to read and consider these letters before providing individual written judgments to the educational unit administrator on a recommendation to promote to Associate Professor or Professor, or grant tenure. Letters from individuals external to the unit that are received after the date for submission of written judgments by the consulted faculty employees shall not be included in the dossier, nor otherwise used by any party in the evaluation of the candidate.

G. Recommendation of the Educational Unit Administrator to the College Dean

1. The educational unit administrator shall forward the completed dossier, including the educational unit administrator's recommendation, to the dean. Where disagreement occurs between the educational unit administrator and the consulted faculty employees concerning a recommendation, the educational unit administrator must report this difference with adequate documentation to the dean and also notify the consulted faculty employees regarding such action.

2. The educational unit administrator and administrators at the level of dean or higher shall neither participate, nor submit a written judgement, in the capacity as a consulted faculty employee of the unit. Associate and assistant Deans, who in the capacity as a consulted faculty employee of the educational unit submit a written judgment to the educational unit administrator, shall not also participate in the deliberative process at the level of the college. [for associate deans an alternative way would be this: those assoc/assist deans who normally participate in the promotion process shall not participate at the level of the unit.]

IV. Procedural Steps Occurring at the Level of the College

A. Completeness of the Dossier

The dean shall review the dossier for completeness [how about accuracy?] (see Appendix II) and procedural compliance. If the dossier is not complete or procedurally compliant, the dean shall direct the educational unit administrator to secure the missing materials or establish procedural compliance and, as appropriate, to allow the consulted unit faculty to examine the new materials and contribute new consultative input to the educational unit administrator or to submit new written judgments.

B. Consultation with College Advisory Committee on Appointment, Retention, Promotion and Tenure

1. Each college shall have an advisory committee which is concerned with policy matters and individual cases related to faculty appointments, retention, promotion and tenure. It can be elected by the faculty, or established by the dean after consultation with an appropriate faculty body of the college that is identified by the college faculty in its College Rules document.

2. Prior to making a recommendation or decision on terminal reappointments or non-renewals of appointment, the dean shall provide the dossier to the committee and obtain its written advice.

3. The dean shall also obtain a written recommendation from the advisory committee when:

a) an assistant professor must be considered for promotion with tenure in the sixth or next-to-last year of the individual's probationary period; so in a case of an assistant going up "early", no letters are necessary?

b) an associate professor must be considered for tenure in the next-to-last year of a probationary period; or,

c) a professor must be considered for tenure in the first half of a one-year probationary period.

4. It is recommended that such advice consultation [consistency: see title above] also be sought for initial appointments at the associate professor or professor rank. Prior to making a decision to approve or disapprove or to making a recommendation, as appropriate, relative to a proposal to promote or grant tenure, the dean has the option –(except as above) to seek a written recommendation from –the college advisory committee. [Why is this part with "initial appointments"? And why is assistant excluded?]

5. A member of a college advisory committee or an Academic Area Advisory Committee shall be excluded from any participation in that committee's consideration of a recommendation initiating from the educational unit in which the faculty employee holds an academic appointment. They shall be expected to participate fully in the unit-level evaluation of those candidates.

#### C. Actions Taken by the Dean

1. The dean of a college shall make the final University decision to approve or disapprove a recommendation for those actions specified in Appendix III as being delegated to the dean's final [note to self: what are

those? authority. The dean shall inform the candidate in writing of the action taken, with a copy to the educational unit administrator, and as specified in Appendix III the dean shall communicate the action taken through the Provost to the President to be reported to the Board of Trustees.

2. If a dean disapproves an educational unit administrator's recommendation for reappointment at any rank and offers a terminal reappointment instead, but the tenured [was the original recommendation only limited to tenured too? What if it was not?] members of the unit faculty reaffirm [what if this reaffirmation is not triggered? We need language to at least allow the possibility of the consideration of reaffirmation] their written judgment by majority vote and the educational unit administrator reaffirms his or her positive recommendation for reappointment, the Provost shall refer the matter to the pertinent Academic Area Advisory Committee [And then what? And what about Coll of Law?].

3. In actions for which the dean is not delegated with final approval authority (see Appendix III), the dean shall obtain, as appropriate, ~~the~~ written recommendation from the college's advisory committee, and then act upon the recommendation from the unit. The dossier, including the dean's recommendation and any written recommendation of the college advisory committee, shall be forwarded to the Provost.

## V. Procedural Steps Occurring at the Level of the Provost

### A. Completeness of the Dossier

The Provost shall ensure that the dossier is complete [and accurate?] and procedurally compliant (Appendix II). If the dossier is not complete or if there is procedural noncompliance, the Provost shall direct the dean to secureobtain the missing materials or the procedural compliance and, as appropriate, to allow the consulted unit faculty, the educational unit administrator, the college advisory committee, and the dean to examine the materials and contribute new consultative input or to submit new written judgments or recommendations.

### B. Recommendations from Academic Area Advisory Committee

#### 1. Academic Area Advisory Committee

a) For cases involving tenure, or for either promotion to or initial appointment at the rank of Associate Professor or Professor, the Provost shall first obtain a written recommendation from the appropriate Academic Area Advisory Committee (hereafter, The aArea eCommittee). The aArea eCommittee, however, may

request the written advice of an ad hoc committee (appointed by the Provost) for further evaluation before returning the dossier with the ad hoc committee's written advice and the area committee's recommendation to the Provost.

b) For cases in which the Provost has received a dean's recommendation for terminal reappointment of an individual, in contrast to the majority vote of the tenured faculty and unit administrator's concurrence for reappointment, [what if faculty is + and chair and dean are -?] the Provost shall refer the matter, including the dossier, to the appropriate ~~a~~Area ~~e~~Committee (or to an *ad hoc* advisory committee appointed by the Provost for this purpose [but earlier this ad-hoc option was not allowed.]). The committee in its deliberations shall address itself to the individual's scholarly potential, ability as a teacher, and other professional qualifications indicative of a probable eventual tenured appointment and shall submit a written recommendation to the Provost.

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C. Actions Taken by the Provost

1. The Provost shall make the final University decision to approve or disapprove a recommendation concerning Visiting Title Series faculty and promotion to Senior Lecturer. The Provost communicates approval through the President to the Board of Trustees and the substance of his or her final action (approval or disapproval) to the candidate in writing with a copy to the dean and the educational unit administrator.

2. For cases in which the Provost has received a dean's recommendation for terminal reappointment of an individual, in contrast to the majority vote of the tenured faculty and educational unit administrator's concurrence for reappointment [again, what is faculty + and chair and dean are -?], the Provost will consider the dossier, including the recommendation of the area (or *ad hoc*) committee, and either approve the proposal for reappointment and report the action through the President to the Board of Trustees, or disapprove and stop the proposal and inform the candidate in writing with a copy to the dean and the educational unit administrator.

3) In actions for which the Provost is not delegated final approval authority (Appendix II), the Provost shall obtain any required recommendation from the area committee and then render a judgment. If the Provost concurs with the positive recommendation of the dean, the Provost shall forward the dossier, including his or her positive

recommendation and any letters from the area committee, to the President. If the Provost disapproves the positive recommendation of the dean, the Provost shall stop the proposal-procedure and inform the candidate in writing, with a copy to the dean and the educational unit administrator. [is this then final disapproval by the provost?] If the Provost concurs with the negative recommendation of the dean regarding promotion to Professor, the Provost shall inform the candidate in writing, with a copy to the dean and the educational unit administrator [final disapproval?]. If the Provost rejects the negative recommendation of the dean regarding promotion to Professor and decides to support the promotion, the Provost shall forward the dossier, including his or her positive recommendation and any letters from the area committee, to the President.

#### VI. Procedural Steps Occurring at the Level of the President

If a positive recommendation is forwarded to the President, the President will either approve the proposal and make a positive recommendation to the Board of Trustees for final action or disapprove and stop the proposal and inform the candidate in writing with copies to the Provost, dean and educational unit administrator. [what if a neg recomm is given to the prez?]

#### VII. Procedural Steps Occurring at the Level of the Board of Trustees [how could an AR tell the board what to do? Maybe a reference to the proper GR is appropriate here. Or perhaps we should use an "informational" language here, such as using "will" instead of "shall".]

A. The Board of Trustees shall take final action on the proposal by approving or disapproving the President's recommendation. The President, through the Provost, shall inform the candidate in writing of the Board's action with a copy to the dean and the educational unit administrator.

B. The Notice of Academic Appointment and Assignment form constitutes the official appointment record and contract. With the exception of salary the precise terms and conditions covering each appointment shall be stated in writing on that form. The contract, including salary, becomes final when it is approved by or reported to the Board of Trustees. [but there is no salary there?] Notice of reappointment for tenure-eligible faculty shall be in the possession of the appropriate administrative officers and the appointee at least three months before the renewed appointment begins, when possible, or at the earliest date feasible in view of budget considerations. It is the responsibility of the Provost to insure ensure compliance with this regulation.

C. Previous full-time service withat the rank of Instructor or higher at another institution of higher learning may be counted as part of the probationary period as negotiated between the appointee and the dean prior to initial appointment. The ending date of the probationary period in a tenure-eligible appointment shall be

indicated on the initial Notice of Academic Appointment and Assignment form and shall not exceed seven (7) years from date of initial appointment. [why is this here?]

#### VIII. Procedural Steps in a Personnel Action Involving a Negative Recommendation

A. Whenever a recommendation is disapproved at any level, this fact shall be reported back to the preceding level(s) with supporting reasons and an opportunity provided for a thorough discussion of the recommendation among the concerned parties.

B. Any related appeal(s) to the Provost concerning procedural matters or privilege, or to the University Senate Advisory Committee on Privilege and Tenure concerning procedural matters, privilege, or allegations of violation of academic freedom shall be initiated in writing by the faculty employee within sixty (60) days after being notified in writing of the disapproval of the recommendation to reappointment, promote or grant tenure. [Appeals based on merit are excluded in this paragraph.] When such an appeal to the University Senate Advisory Committee on Privilege and Tenure has been initiated in writing by a faculty employee, the chairperson of the committee shall inform the appropriate educational unit administrator, dean and Provost of the development.

C. It is University policy not to provide written reasons in cases of non-renewal of appointment. However, upon the faculty employee's request, the dean of the college may meet with the faculty employee and discuss informally the circumstances surrounding the non-renewal. If the faculty employee is not satisfied with this conference, then, upon the faculty employee's request for a related conference, the Provost may meet with the faculty employee.

#### IX. Final Disposition of the Dossier

The dossier shall not be retained at the conclusion of the process leading to decisions about appointments, promotions or awards of tenure. Unless an appeal has been initiated by the faculty employee as specified above, the unit administrator, after sixty (60) days of the receipt of the official notification of the final decision, shall return to the faculty employee the representative examples of research, scholarly and creative activity that were included in the dossier. The teaching portfolio, or teaching materials, and evidences of professional activity and the University/public service activities, submitted by the faculty employee, shall also be returned at that time. The Standard Personnel File shall have the C.V. and all evaluative [so perhaps evaluator is better than reviewer in the earlier portions] letters and reports or reviews that were contained in the dossier. If an appeal has been initiated, then the unit administrator shall maintainkeep the dossier intact until the completion of the appeal process.