MICHIGAN STATE
UNIVERSITY

December 4, 2020

MEMORANDUM

TO: Deans, Chairpersons and School Directors

FROM: N. Suzanne Lang, Ph.D.

SUBJECT: Tenure System Reappointments and Promotions

The steps to develop recommendations of tenure system reappointments and promotions are outlined in the enclosed timetable.

Please note that four types of actions are involved:

1. Tenure system reappointment action on faculty members whose current probationary appointments end August 15, 2022. A recommendation for each such individual is required, i.e., a recommendation to reappoint or not to reappoint. (Note: these are the individuals who opted out of the COVID-19 one-year extension).
2. Recommendations to promote; some of the individuals involved may be the same as are included in 1, above.
3. A review of every faculty member appointed in the tenure system who is not at the rank of professor to determine whether or not each will be recommended for promotion. This is a requirement of affirmative action regulations and guidelines.
4. Documentation of annual evaluation of each tenure system faculty member. The enclosed policy statements should be consulted prior to proceeding with the review and recommendation process, for information on standards and criteria related to reappointment, tenure, promotion, and annual reviews of faculty.

Enc.

OFFICE OF THE
PROVOST

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MSU is an affirmative-action, equal-opportunity employer.

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TIMETABLE FOR PROMOTION/TENURE ACTIONS

April 17, 2020

Office of the Provost sends advance copy of Timetable, and list of "Tenure System Reappointment Recommendations."

November 12, 2020

Office of the Provost distributes materials electronically. A process will be implemented through a web application titled Reappointment, Promotion and Tenure.

Chairperson/Director forwards Form D "Recommendation for Reappointment, Promotion or Tenure Action" to Dean

Chairpersons and Directors inform individual faculty members in a timely manner when their completed Form D and supporting materials have been forwarded to the Dean.

February 26, 2021 (last working day of February)

The following information is sent from the Dean through the web application to Academic Human Resources.

A: "Tenure System Reappointment Recommendations."

B: "Promotion List."

C: "Documentation of Annual, Written, Tenure System Faculty Review."

Form D: "Recommendation for Reappointment, Promotion or Tenure Action", and an updated curriculum vitae for each faculty member listed on A and B.

Form E/F: "Tenure System Faculty with Average Salary Increases less than half the University Control Average over the past 4 Years/Tenure System Faculty with Merit as Reason for low Salary in Salary Cohort Analysis".

G: "Affirmative Action Report on Faculty Promotions".

Dean submits Form D "Recommendation for Reappointment, Promotion or Tenure Action" to Academic Human Resources

Deans request Chairpersons and Directors inform individual faculty in a timely manner, of whether or not the Dean has approved the department's recommended action and that the Dean has forwarded a completed "Recommendation for Reappointment, Promotion, or Tenure Action" form to the Provost. Even if the Dean does not approve the department's recommended action, all review materials in support of such an action will be made available for review by the Provost and her staff.

March 16 to April 30, 2021

Deans conferences with the Associate Provost/Associate Vice President for Academic Human Resources, the Vice President for Research and Graduate Studies, and Provost faculty representative.

May 14, 2021

Provost notifies Deans of recommendations accepted for recommendation to the President and the Board of Trustees.

May 17 to May 21, 2021

Deans send notices of action by the Office of the Provost to Chairpersons, Directors, and faculty members.

Timetable for Promotion/Tenure Actions, continued.

May 28, 2021

Final lists of reappointments and promotions are prepared and forwarded by the Office of the Provost for recommendation to the President and for the agenda for the Board of Trustees.

June 16-18, 2021

Meeting of the Board of Trustees.

June 24, 2021

Notifications to Deans of final approval.

October 15, 2021

Delayed actions due.

December 15, 2021

Deadline for notification to faculty who are not reappointed. Those with delayed reappointment, promotion, and/or tenure actions which receive positive endorsement should be informed as soon as possible following fina action by the President or Board of Trustees.

NON-TENURED FACULTY IN THE TENURE SYSTEM *(Faculty Handbook)*

The following policy was approved by the Board of Trustees on April 17, 1970.

Recommendations for actions affecting the appointment, reappointment, or promotion of faculty members under the tenure system must be in accord with the provisions of the tenure system.

At the level of the basic administrative unit, judgments on non-tenured faculty with respect to professional competence (including teaching ability), academic potential, and the needs of the department are made by the responsible administrator after consultation with the tenured faculty and/or other duly constituted group specified in the bylaws of that basic administrative unit. Recommendations for reappointment or promotion which do not involve the award of tenure are reviewed and must be approved successively by the dean, the provost and the president, who makes the final decision. Recommendations for reappointment or promotion which involve the award of tenure are reviewed and must be approved successively by the dean, the provost, and the president, who makes the final recommendation to the Board of Trustees for action.

Each basic administrative unit shall base its judgments on criteria and procedures that are clearly formulated, objective and relevant. These criteria and procedures shall be known to all members of the basic administrative unit. If appropriate, the responsible administrator may supplement information required for these judgments by consulting with representative non-tenured faculty, students and/or qualified individuals outside the basic administrative unit. Review procedures shall be described in its bylaws and shall include a means by which the faculty member is evaluated and informed annually of his/her progress. These bylaws shall provide for a designated group to make recommendations with respect to reappointment, tenure, or promotion. Procedures shall also exist by which the faculty member may confer with this sub-group before a decision is made in his/her case.

Decision not to reappoint a non-tenured faculty member does not necessarily imply that the faculty member has failed to meet the standards of the University with respect to academic competence and/or professional integrity. This decision may be contingent, wholly or in part, upon the availability of salary funds and/or departmental needs. The decision not to reappoint a non-tenured faculty member does not require action by the Board of Trustees. In the case of a non-tenured faculty member within the tenure system, notification is required as set forth in the section entitled Operating Principles of the Tenure System, above. Such decision is made at the level of the basic administrative unit. Upon written request of the faculty member, the administrator of the basic administrative unit making the decision shall transmit in writing the reasons for the decision.

If a non-tenured faculty member believes that the decision not to reappoint has been made in a manner which is at variance with the established evaluation procedures, he/she may, following efforts to reconcile the differences at the level of the basic administrative unit and the Dean of his/her college, initiate an appeal in accordance with the Faculty Grievance Procedure.

When reason arises to consider dismissal of a non-tenured faculty member before the expiration of his/her term of appointment, the procedures to be followed shall be identical with those established for the dismissal of a tenured faculty member.

FACULTY CAREER ADVANCEMENT AND PROFESSIONAL DEVELOPMENT: A SPECIAL AFFIRMATIVE ACTION RESPONSIBILITY *(Faculty Handbook)*

The following advisory statement was issued by the Office of the Provost on October 5, 1982 and revised on August 1, 1996.

University policy requires that each non-tenured faculty member in the tenure system be "evaluated and informed annually of his/her progress" (see Statement on Non-Tenured Faculty in the Tenure System, *Faculty Handbook)*. Such annual reviews are to provide opportunities for two-way communication regarding academic unit performance expectations, encouragement of faculty career advancement and professional development, and, if necessary, to provide suggestions and reasonable assistance for improving performance.

Under the University's affirmative action policy, unit academic administrators have a special responsibility to encourage the career advancement and professional development of all women and racial minority faculty members appointed in the tenure system, especially non-tenured faculty. A supportive environment should be created in each academic unit to maximize the opportunity for the success of these individuals in meeting both their career goals and the unit's performance standards for merit salary increases, reappointment, promotion and tenure. An important aspect of this environment is regular and supportive interaction with colleagues in the unit and in related fields in other units. Efforts of women and racial minority faculty members to overcome barriers related to gender and/or race can divert attention from the achievement of career goals and diminish the quality of professional experience.

Department and school administrators should give special attention to and encourage the professional development of their units' women/racial minority faculty members. Special attention is drawn to the importance of the role of annual performance reviews and/or special meetings with women and racial minority faculty to evaluate progress, to encourage professional development, and to ensure two-way communication. Among other things, performance reviews and/or special meetings should:

1. Encourage opportunities as appropriate for: membership in informal and formal research groups, teaching, research, and service program activities; assignment of graduate students and research assistants; committee assignments; and other critical activities in the unit.

2. Discuss professional objectives and their relationship to the individual's distribution of effort among assigned duties.

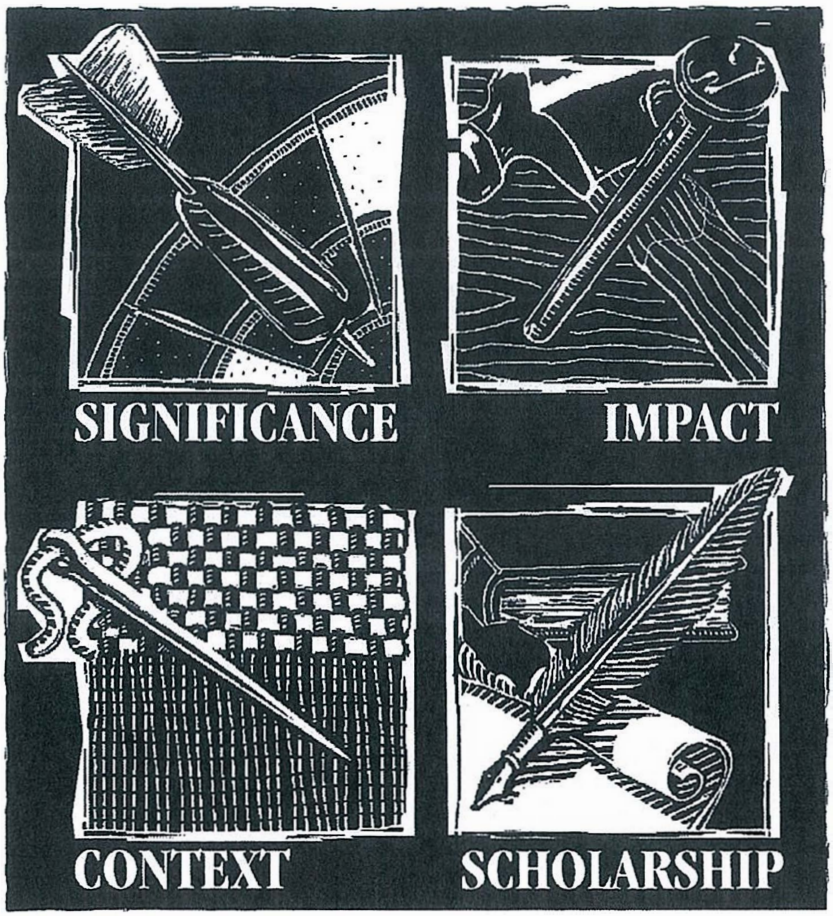
3. Discuss any issues and concerns that may be perceived as barriers to effective performance and full participation in the unit.

Deans should ensure that unit administrators conduct annual performance reviews of each non-tenured faculty member appointed in the tenure system and that, among the topics addressed, those stated above, as appropriate, are included in these reviews. The dean should receive a copy of the evaluation and should conduct in-depth reviews of the evaluations with each chairperson or director to identify issues and to implement appropriate steps to assist the faculty member in achieving success in the unit.

In addition to the chairpersons and directors, deans also are encouraged to schedule individual meetings at least annually with all racial minority and women--if underrepresented--tenure system faculty members appointed in their colleges. Issues identified in these meetings should be discussed with the applicable chairperson/director so that each individual can have full opportunity to develop professionally and make progress toward meeting unit standards.

Documentation of the occurrence of annual performance reviews of non-tenured faculty in the tenure system (as well as tenured faculty) by unit administrators must be submitted by each dean to the Office of the Provost along with the reappointment, promotion and tenure recommendation list. The details of each performance review will be discussed in the meetings with each dean by the Associate Provost/Associate Vice President for Academic Human Resources, the Vice President for Research and Graduate Studies, and other representatives, when requested, on behalf of the Office of the Provost.

FOUR DIMENSIONS
OF QUALITY OUTREACH



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Additional copies are available from:

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http://outreach.msu.edu/documents.asp

EVALUATING QUALITY OUTREACH

The Provost's Committee on University Outreach defined outreach as

. . . a form of scholarship that cuts across teaching, research, and service. It involves generating, transmitting, applying, and preserving knowledge for the direct benefit of external audiences in ways that are consistent with university and unit missions *(University Outreach at Michigan State University: Extending Knowledge to Serve Society,* October 1993, p. 1).

THE PROJECT

The project is the starting point for evaluating the outreach contributions of individuals or units. Projects range from complex, multi-partnered interventions to new off-campus course offerings to one-time presentations for non-university audiences. Projects are planned, approved, implemented, and assessed. They may have distinct components that are integral parts of the larger design which one may plan, approve, implement, and assess but which do not merit "project" status themselves. Projects can succeed or fail, be good or bad; the ultimate value of the projects forms the basis of any assessment of individual or unit outreach performance.

As a professional university responsibility, an outreach project is assessed according to commonly held values and familiar measures that are applied to teaching, research, and service. These, as well as additional measures and values specific to the success of an outreach project, are discussed in various sections of *Points of Distinction: A Guidebook for Planning and Evaluating Quality Outreach* and suggested in the matrix here, reprinted from the guidebook.

THE MATRIX

Purpose. The following matrix is offered as a tool for the evaluation of an outreach project, be it short term or long term, instructional or non-instructional. The matrix may also serve as a planning guide for those initiating outreach activities. For those interested in assessing the outreach record of units or individuals in addition to projects, the appendix of *Points of Distinction* includes specific assessment tools for these tasks. For each, however, this matrix serves as the evaluation tool for the projects that are fundamental to those assessments.

Organization. The matrix suggests one way to think about evaluating outreach. The "Dimensions" (significance, context, scholarship, and impacts) reflect four fundamental characteristics of any outreach project in higher education. Commonly held outreach values drive the headings under "Components." The "Sample Questions" guide users in the kinds of practical concerns associated with the outreach values in the components. The "Indicators" list possible ways to demonstrate and document quality in each area. We recommend that users understand the categories and questions as prompts and refrain from exercising taxonomic rigor with the matrix! Values inherent in specific components frequently overlap dimensions; often, sample questions can be rephrased and located elsewhere.

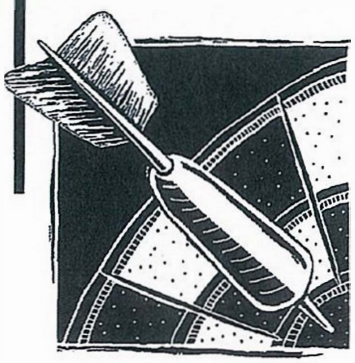
Customizing. The matrix is neither exhaustive nor prescriptive. It provides guidance in the evaluation of four dimensions of outreach undertaken by higher education: its significance, its context, its base in scholarship, and the outcomes it generates. Users are encouraged to add and eliminate.

MATRIX FOR EVALUATING QUALITY OUTREACH

Title of Project : _____

Description / Purpose : _____

Stakeholders: _____

DIMENSION	COMPONENTS	SAMPLE QUESTIONS
Significance 	Importance of Issue/ Opportunity to be Addressed	•How serious are the issues to the scholarly community, specific stakeholders, and the public? •Is the target audience at particular risk or open to new opportunity? •What social, economic, or human consequences could result from not addressing the issue? •What competing opportunities would be set aside by addressing this issue?
	Goals/Objectives of Consequence	•Have all stakeholders agreed that the goals and objectives are valuable? •If the goals are accomplished, will there be a significant consequence or impact? •Will value be added?

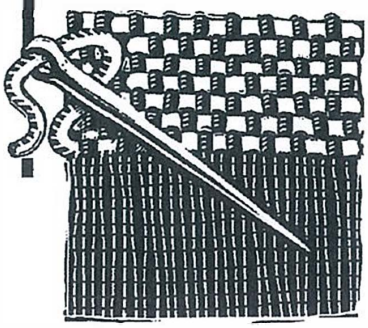
evaluative components, questions, and indicators, tailoring the matrix to the culture and expectations of their study area and examining the relevance of various measures to the specific project.

Priorities. The matrix does not assign priorities or relative values to the dimensions or components of quality outreach. It is impossible to do so absent knowledge of the professional traditions and expectations of the users. When customizing the matrix, users will want to determine the relative values of the dimensions, components, and indicators as they apply to their area of study and the nature of the project.

Documentation. Both quantitative and qualitative indicators contribute to the quality assessment of an outreach project. As a quantitative measures, for example, a high number of participants can support claims that others value the project. Similarly, the size of follow-up funding can indicate the significance of the outcomes. As a qualitative measures, a reflective narrative by the project director(s) may be an important document at various places in the matrix. A narrative containing annotated and persuasive arguments concerning the significance of the project, the attention paid to context, the process, the scholarly value, and the importance of the outcomes may lend support to claims of quality. The narrative may also include sections written as planning documents, as process logs, and as retrospective analyses of the entire project and outcomes.

EXAMPLES OF QUALITATIVE INDICATORS	EXAMPLES OF QUANTITATIVE INDICATORS
•Documentation of issues and opportunities based on concrete information; e.g., opportunity assessment, social economic indicators, stakeholder testimony, previous work. •Leaders in the field or public figures addressing the issue, citing the need. •The magnitude of the issue; i.e., size, trends, future directions. •Description of competing opportunities set aside.	•Indicators of demand/need. •Number of citations; issue addressed in the literature. •Financial and other resource contributions. •Number of participants. •Calculation of opportunity cost in terms of resources (i.e., people, projects, revenues).
•Narrative discussing scope and potential impact. •All stakeholders understand the goals and objectives as stated. •Increased visibility in community or profession; new structures created; new skills developed and knowledge generated.	•Projections of scope and potential impact. •Degree of opportunity to change the situation.

MATRIX FOR EVALUATING QUALITY OUTREACH (continued)

DIMENSION	COMPONENTS	SAMPLE QUESTIONS
Context 	Consistency with University/Unit Values and Stakeholder Interests	•To what extent is the project consistent with the university's/unit's mission? •To what extent is the project a high priority among the external stakeholders? •Does the plan recognize the relevance of ethical and professional standards for the initiative? •Does the project demonstrate sensitivity to diverse audiences and interests? •Is there an appropriate fit (consideration of the interests and well-being of all participants) between the target audiences and the goals and objectives?
	Appropriateness of Expertise	•To what extent does the project fit with the individual's and the unit's available expertise and research? •To what extent does the project utilize appropriate expertise among the stakeholders and/or external sources?
	Degree of Collaboration	•To what extent do all the stakeholders participate in planning, defining impacts, implementing, and assessing the project? •To what extent is communication and interaction open and multi-directional? •Does the nature of the collaboration lead to timely and effective decision-making? •What contribution does the collaboration make to capacity building and sustainability?
	Appropriateness of Methodological Approach	•Is there an appropriate approach underlying the design; i.e., developmental, participatory? •Does the project utilize an appropriate methodology? •How does the project recognize and accommodate for the variety of learning styles, ways of decision-making and taking action, and education levels of the stakeholders? •Does the project have a comprehensive and informative evaluation plan? •Is there a plan to determine whether or not the project/collaboration will/should continue?
	Sufficiency and Creative Use of Resources	•Are available resources sufficient to the scope of the effort? •To what extent are multiple sources and types of resources (i.e., human, financial, capital, volunteer, etc.) being utilized? •Are the goals/objectives realistic considering the context and available resources?

EXAMPLES OF QUALITATIVE INDICATORS	EXAMPLES OF QUANTITATIVE INDICATORS
•Comparison with explicit mission statements and goals. •Plans recognizing ethical issues and regulations/guidelines to assure compliance. •Evidence of ability to work sensitively with external audiences and key groups. •Interviews with those potentially affected by the project. •Comparison with stakeholder reports, proposals, letters of inquiry.	•Number of contacts and planning meetings of stakeholders. •Resources/methods used to promote program. •Profile of audience; i.e., demographic characteristics.
•Evidence of scholarship related to project or prior work in the field. •Narrative showing degree of fit between project needs and expertise deployed. •Relevant offices and organizations involved in the project.	•Numbers and types of expertise involved; e.g., tenure-track faculty, academic staff, students, stakeholders, external consultants? •Number of stakeholders in leadership roles. •Related activities; e.g., years of experience, numbers of articles.
•Language and structure of partnership agreements. •Identification, participation, and retention of all stakeholders. •Communication logs and minutes of meetings. •Progress report from stakeholders.	•Number of partners or collaborative arrangements. •Number of intra-institutional linkages. •Number of inter-institutional linkages. •Number of planning meetings. •Percentage of deadlines met.
•Evidence of scholarship on the application of the method to related issues. •Evidence of adaptation during project implementation. •Evidence that audience education level and learning style were considered. •Process documentation by project director through journals, etc.	•Number of instances of innovations in delivery; e.g., student involvement, use of technology.
•Evidence of integration and creative use of multiple types and sources of resources. •New funding sources identified and leveraged.	•Amounts and types of the resources by source. •Changes in extramural funding for outreach activities.

MATRIX FOR EVALUATING QUALITY OUTREACH (continued)

DIMENSION	COMPONENTS	SAMPLE QUESTIONS
Scholarship	Knowledge Resources	•To what extent is the project shaped by knowledge that is up-to-date, cross-disciplinary, and appropriate to the issue? •Is knowledge in the community or among the stakeholders utilized? •To what extent is there an awareness of competing methodologies, replicable models, expertise, and/or writing related to the project?
	Knowledge Application	•How well are the project and its objectives defined? •Is the project design appropriate to the context and does it recognize the scope, complexity, and diversity? •To what extent is there innovation in the application of knowledge and methodologies? •Does the plan foresee a potential new application of knowledge gained for use in specific settings? •Does the plan include provision for ongoing documentation of activities, evaluation, and possible midstream modification?
	Knowledge Generation	•Does the project plan pose a new model or hypothesis in addressing the issues? •Was new knowledge generated; i.e., program hypotheses confirmed or revised, outcomes creatively interpreted, new questions for scholarship asked? •Were unanticipated developments appropriately incorporated into the final interpretation of the results?
	Knowledge Utilization	•Are the stakeholders and potential interest groups involved in understanding and interpreting the knowledge generated? •Is the knowledge generated by the project available for dissemination, utilization, and possible replication? •In what ways is the knowledge being recorded, recognized, and rewarded?

EXAMPLES OF QUALITATIVE INDICATORS	EXAMPLES OF QUANTITATIVE INDICATORS
•Annotated narrative showing what sources of knowledge are used; i.e., community assessments, previous works, and applied theory. •Quality and fit of the citations, outside experts, or consultants. •Assessment of experience and accomplishments of major project participants external to the university.	•Number of cross-disciplinary resources utilized. •Number of years in positions. •Dates of citations. •Number of experts cited, participating.
•Professional feedback on the clarity of the project. •Input from community, stakeholders, students, etc., attesting that the project plan is clear, appropriate, inclusive, and understandable. •Reflective narrative, rationale for project, and documentation of the design process.	•Number of in-house communications related to the project; e.g., in-house documents, interim reports, newsletters, e-mail messages, chatrooms, bulletin boards. •Number of citations from the literature circulated within the project.
•Lessons learned documented. •Assessment of scholarly merit by internal peer *review* process. •External *review* of performance by stakeholders relative to innovation, satisfaction with approach and results. •Project garnered awards, honors, citations relative to its scholarship.	•Number of times project cited, recognized. •Number of acceptances for publications, speaking engagements. •Number of requests for consulting. •Number of programs, curricula influenced by scholarly results. •Publications in refereed journals. •Professional speaking engagements.
•Stakeholder feedback. •Project generated a replicable, innovative model. •Nature of groups or institutions applying knowledge generated. •Case studies or examples of utilization.	•Scope of involvement in interpretation and dissemination; e.g., numbers and types of participants. •Number of different avenues chosen to communicate results.

MATRIX FOR EVALUATING QUALITY OUTREACH (continued)

DIMENSION	COMPONENTS	SAMPLE QUESTIONS
Impact	Impact on Issues, Institutions, and Individuals	•To what extent were the project goals and objectives met? •Did the products or deliverables meet the planning expectations? •Were intended, unintended, and potential impacts documented and interpreted? •Was that documentation rigorous, thorough, understandable, and defensible? •Were stakeholders satisfied? Did they value the results and apply the knowledge? •Is the project affecting public policy? Has improved practice or advanced community knowledge? •Do impacts have commercial, societal, or professional value? •How effectively are the products or results reaching the intended interest groups?
	Sustainability and Capacity Building	•To what extent did the project build capacity for individuals, institutions, or social infrastructure; i.e., financial, technological, leadership, planning, technical, professional, collaborative, etc.? •To what extent did the project develop mechanisms for sustainability? •To what extent did the project leverage additional resources for any partners? •To what extent were undesired dependencies eliminated?
	University-Community Relations	•To what extent did the stakeholders come to understand and appreciate each others' values, intentions, concerns, and resource base? •To what extent was mutual satisfaction derived from the project? •To what extent did the project broaden access to the university? •To what extent did the project broaden access to the community?
	Benefit to the University	•How does the project offer new opportunities for student learning and professional staff development? •How does the project lead to innovations in curriculum? •How does the project inform other dimensions of the university mission? •How does the project increase cross-disciplinary collaborations within the university? •How does the project increase collaboration with other institutions? •How does the project assist the unit's or faculty member's progress in developing outreach potential and in using that potential to improve the institution's operations and visibility?

EXAMPLES OF QUALITATIVE INDICATORS	EXAMPLES OF QUANTITATIVE INDICATORS
•Description of impacts (i.e., significance and scope of benefits) on the issue, stakeholders, and beneficiaries, to include: Needs fulfilled, issues addressed, population or group involved in process. Institutional processes changed. Replicable innovation developed. •Documentation such as program evaluations, surveys, letters, testimonials, and media coverage. •Testimony and validation from peer review. •Referrals to others and expression of interest by new groups. •Assessments on learning outcomes by individuals, students, and stakeholders. •Benefits resulting from changes in practice; e.g., knowledge applied, processes or approaches more efficient, circumstances improved. •Result of changes in institutional and/or public policy. •Evidence that knowledge is used in subsequent research, projects, or public discussion.	•Changes from benchmark or baseline measurements. •Number of appropriate products generated for practitioners and public (e.g. technical reports, bulletins, books, monographs, chapters, articles, presentations, public performances, testimony, training manuals, software, computer programs, instructional videos, etc.). •Number of products distributed. •Number and percentage of beneficiaries reached. •Number of contracts, patents, copyrights.
•Inventory of new or developed skills. •Technology adopted and maintained. •Surveys or reports of changed behaviors or attitudes. •Activities and processes institutionalized. •Networks activated. •Cross-disciplinary linkages activated. •Continued or alternative resources secured; e.g., funding, facilities, equipment, personnel. •Planned degree of disengagement or continuing partnership achieved.	•Quantitative changes in skills, technologies, behaviors, activities, etc. •Amount of resources generated to sustain the project. •Amount of resources leveraged. •List of facilities, equipment, personnel available. •Number of sites and cross-site linkages established.
•Co-authored reports and presentations. •Opportunities for new collaborations established. •Testimonials from partners. •Community partner participation in grading students, evaluating faculty/staff efforts. •Expansion of university/unit constituency. •Role flexibility and changes that provide for greater university/community interaction.	•Number of new collaborations considered or established. •Number of off-campus courses offered with syllabus modifications to accommodate nontraditional students. •Evidence of increased demand placed on the unit or faculty for outreach.
•Changes in quality or scope of student experiences. •Curricular changes (e.g. new syllabi, courses, curricular revisions). •Teaching or research activities benefiting from outreach involvement, including cross-disciplinary research or program innovations. •Enhanced unit reputation. •Recognition in reward and accountability systems.	•Amount of increased student support. •Number of employment offers to students. •Number of new courses and programs approved. •Number of new cross-disciplinary or inter-university collaborative efforts. •Increased engagement of faculty or students in outreach. •Amount of increased external or university support for outreach. •Revenue generated.

CONFIDENTIALITY OF LETTERS OF REFERENCE RELATIVE TO REAPPOINTMENT, PROMOTION, AND TENURE RECOMMENDATIONS*

(Faculty Handbook)

The following statement was issued by the Office of the Provost on December 2, 1991.

> "University policy on confidentiality of letters of reference is that all letters soliciting evaluation relative to reappointment, promotion, and tenure recommendations must include the unit's statement on confidentiality. Any deviation from (the policy viz.,)
>
> > 'Your letter of evaluation, as part of an official review file, will be held in confidence and will not be disclosed to the faculty member under consideration or to the public except as required by law or University policy. In all such instances, the information made available will be provided in a form that seeks to protect the identity, privacy and confidentiality of evaluators.'
>
> must be less restrictive and must be reviewed by the Provost's Office."

If individual colleges, departments, or schools want a less restrictive policy, the Provost Office expects that a policy would be developed by consulting with duly constituted faculty advisory groups as required by Section 2 of the *Bylaws for Academic Governance*. In addition, the Office of the Provost must review such policies before their distribution either within the unit or to external reviewers, to ensure that they conform to University policy and the law.

Questions should be directed to Suzanne Lang, Associate Provost/Associate Vice President for Academic Human Resources, at 3-5300.

ANNUAL, WRITTEN, TENURE SYSTEM FACULTY REVIEW

A policy statement of faculty review, effective Fall Semester 1997, was issued by the Provost and shared with the Faculty Council on November 24, 1996 as an information item, and sent to Deans, Directors, and Chairpersons in Memorandum A#35/96-97, February 11, 1997. The policy requires that each tenure system faculty shall be evaluated on an annual basis and informed in writing of the results of his/her review by the unit administrator. In the case of faculty with joint appointments a lead unit administrator shall be designated.

The focus of this policy is faculty who wholly or largely perform regular faculty duties. Tenure system faculty in executive management positions and various other administrators (Dean, Assistant and Associate Dean, Assistant and Associate Vice Provost, Chairperson, Director of School) are not required to be included. However, at department, school or college initiative, individuals holding such administrative titles may be reviewed in writing annually.

DOCUMENTATION REQUIREMENTS FOR PROMOTION DECISIONS

Units should consider for promotion all faculty eligible for promotion in accordance with unit procedures. Unit peer review committees must report to unit administrators substantive reasons for actions recommended for all tenure system faculty eligible for promotion. The peer review committee should submit written reviews, the results of which will be communicated by unit administrators to each affected faculty member.

The technical requirements for affirmative action compliance as required by the Office of Federal Contract Compliance Programs (OFCCP) depend largely on the extent and availability of records that MSU must have to document the University's affirmative action program and actions. In other words, OFCCP reviews academic personnel decisions (e.g., appointments, promotions, etc.) mainly on the basis of written records. We are required to have records available to show that such decisions were made according to documented criteria and without discrimination. The departments and schools have the essential role in the actual development of the required records.

In accordance with the 1988 Conciliation Agreement with the OFCCP, units (Departments/ Schools, Colleges/MAUs) shall maintain the source documents of the decisions regarding all hiring, promotions, and terminations for three years. Supporting documentation shall be maintained for those promoted and also for procedures on recommendations for promotions, all collective results of such procedures shall be documented and kept within the applicable unit.

In addition, each department/school shall specify in detail the criterion underlying the "reasons for non-promotion" which appear in the online RPT web application. For example, each department/school shall define when the "record does not justify promotion, although achieving reasonable professional accomplishment," the determinants of "quality of publication," etc. These specifications are to be kept as part of the unit's documentation of promotion and tenure review procedure; and indicated in the online RPT web-based application. Report G, "Affirmative Action Report on Faculty Non-promotions" is created based on reasons selected in the web-based application.

ONLINE REAPPOINTMENT, PROMOTION, AND TENURE WEB-BASED APPLICATION

The annual reappointment, promotion, and tenure information will be entered directly into the web-based application. Reports will be generated based on what was entered in the online web-based application. The following reports will be available to the web-application users:

Report A: Tenure System Reappointment Recommendations
Report A: Tenure System Reappointment Recommendations - Joint Appointments
Report B: Tenure System Promotion List
Report C: Documentation of Annual Written Tenure System Faculty Review
Report G: Affirmative Action Report on Faculty Non-promotions

(Please refer to the web-based application instructions for additional detail on the web-application).

Report A "TENURE SYSTEM REAPPOINTMENT RECOMMENDATIONS"
(Faculty members for whom a tenure system reappointment action is required.)

1. Due: February 26, 2021. Information needs to be submitted electronically by the college in the web-based application. The final report also needs to be printed and signed at the bottom by the Dean and sent to Paige Breen, Academic Operations, 110 Nisbet Bldg or RPT@hr.msu.edu.
2. Delay in reappointment decision: There may be a limited number of cases that warrant delay in the final decision to the beginning of Fall Semester (final recommendations are due October 15, 2021). If the review indicated that the recommendation to reappoint is doubtful or unclear, the faculty member should be notified that:

    a. Information currently available does not warrant assurance of reappointment.
    b. Upon the request of or after consultation with the faculty member, the department/school chairperson/director and the dean(s) may concur that the department/school hold another review early in the Fall for the purpose of reviewing additional information and making a final recommendation. Consultation about the additional review with the relevant department/school peer review group is encouraged. In addition, the Provost, after review of the record, and consultation with the dean(s), may delay a reappointment decision.

3. Early tenure: Recommendations for early tenure action is discouraged except in rare and truly unusual circumstances which normally include exceptional performance based on department/school/college and University criteria.

4. Vacancies created by non-reappointment: Vacancies created by non-reappointment will revert automatically to the unit making the recommendation, unless budget exigencies mandate a delay.

5. Effective dates: The effective date for reappointment with tenure, is the first of the month following final approval of the action. The effective date for reappointment without tenure, or non-reappointment is August 16, 2022.

6. Instructions and information regarding Report A:

    a. Report A is pre-populated with a list of faculty members with a probationary end date of August 15, 2022. It contains a column for the recommendations. The recommendation column in the report is pre-populated based on what was entered in the web-based application.

    b. A list of joint appointees whose primary unit is not your own, is provided in an additional report titled, Report A: 'Tenure System Reappointment Recommendations - Joint Appointments." ONLY THE PRIMARY unit should recommend the reappointment or promotion of a joint appointee, but the chairperson/director of the primary unit is obligated to consult with the chairperson/director of all other joint units prior to submitting recommendations.

c. Provide the recommendation for those listed on Report A in the web-based application under the "Reappointment, Promotion, and Tenure Recommendations" link in the Main Menu. Select the following rank groupings to find those with a probationary end date (PED) of August 15, 2022:

- Assistant Professors with PED of 8/15/2022
- Associate Professors with PED of 8/15/2022

The possible outcomes are listed in the 'Recommendation' field.

i. If the recommendation is promote, the individual will appear on Report B "Tenure System Promotion List."

ii. For procedures relating to extensions in the probationary end date see "Implementation Practices" in the *Faculty Handbook.*

iii. In unusual circumstances a recommendation may still be under review by the Dean at the time Report A is due, send an email explanation to RPT@hr.msu.edu

iv. If the recommendation is a delay action that has been approved by the Associate Provost/Associate Vice President for Academic Human Resources, please send an email explanation and request to RPT@hr.msu.edu

Report B "PROMOTION LIST"

1. Due: February 26, 2021. Information needs to be submitted electronically by the college in the web-based application. The document also needs to be printed and signed at the bottom by the Dean and sent to Paige Breen, Academic Operations, 1407 S. Harrison Road, Suite 110 or emailed to RPT@hr.msu.edu.

2. Promotion of individuals with low salaries: Recommendations to promote individuals for whom the unit has not maintained adequate salary increases is discouraged.

3. Early promotion: Recommendations for early promotion or tenure action is discouraged except in rare and truly unusual circumstances which normally include exceptional performance based on department/school/college and University criteria. (Also see Dean's Conferences below.)

4. Effective dates: The effective date for promotion with or without the award of tenure is the first of the month following final approval of the action.

5. Instructions and information regarding Report B:

   a. Report B will be blank until a promote recommendation has been added into the web-based application. Once a promote recommendation has been added, the individual wi ll appear on Report B.

   b. Faculty who were listed on Report A with a "Promote" recommendation will automatically be added to Report B and will no longer appear on Report A.

   c. Each dean should check to make sure joint appointees on Report B have been considered. All applicable deans and chairpersons/directors should be involved in recommendations for promotions of individuals with joint appointments.

   d. In the salary history column of the report, the actual percent salary increase granted to the individual during each of the past three years has been provided. Please provide a notation on the hard copy Report B, if necessary.

Report C "DOCUMENTATION OF ANNUAL, WRITTEN, TENURE SYSTEM FACULTY REVIEW"

1. Due: February 26, 2021. Information needs to be submitted electronically by the college in the web-based application. The document also needs to be printed and signed at the bottom by the applicable Chairperson or Director or Dean and sent to Paige Breen, Academic Operations, 1407 S Harrison Rd, Suite 110 or emailed to RPT@hr.msu.edu.

2. Instructions and information regarding Report C:

   a. Provide the date of the most recent annual review and the individual conducting the review for those listed on Report C in the web-based application under the "Documentation of Annual Written Tenure System Faculty Review" link in the Main Menu. Units may add an asterisk after the name of the individual conducting the review to denote if the faculty member under review has an administrative title and their administrative duties comprise a significant portion of their effort.

Form D "RECOMMENDATION FOR REAPPOINTMENT, PROMOTION OR TENURE ACTION" (16 page)

1. Due: February 26, 2021. Information needs to be submitted electronically (via e-mail) to RPT@hr.msu.edu Please see electronic submission instructions in item #7 below.

2. Form D is required for all faculty listed on Report B and for all faculty on Report A except those who have terminated or for whom an extension has been approved by the University Committee on Faculty Tenure. Even if the Dean does not approve the department's recommended action, all review materials in support of such action should be made available for review by the Provost and his staff.

3. After notification of the response by the Office of the Provost to the recommendation by the dean(s) (May 13, 2021) for each faculty member not recommended for reappointment, a letter of notification from the chairperson/director and/or dean(s) must be sent to the individual. The letter **MUST** be sent as soon as possible and no later than December 15, 2021 and **MUST** contain the following items:

   a. Notification that the chairperson/director, dean(s) and the Office of the Provost all concur with the decision not to reappoint.

   b. The specific end date of the probationary appointment, i.e., August 15, 2022.

   c. A copy of the tenure statement adopted by the Academic Council, Academic Senate, and the Board of Trustees in May 1971:

      "A non-tenured faculty member appointed in the tenure system who is not given further appointment after the expiration of a specific term shall be given reasons in writing upon his or her written request. The administrator of the basic administrative unit making the decision shall be charged with transmitting these reasons to the faculty member."

4. The form in pdf format can also be downloaded from the HR website: https://hr.msu.edu/ua/forms/faculty-academic-staff/index.html

5. **ONLY** the 16-page form, including (in the following order) a reflective essay, curriculum vitae and letters of reference should be sent to Human Resources. If the Dean wishes to have other supporting materials present at the conference with Provost staff, the Dean should bring them to the conference.

2. Instructions for completing Form D:

   a. For each foreign national (those holding non-immigrant status), attach a statement giving the steps s/he has taken to acquire permanent resident status, and if known, the approximate date on which permanent resident status will be attained. See "Operating Principles of the Tenure System" in the *Faculty Handbook,* for the policy statement.

b. A 16-page form for an individual with a joint appointment (excluding Adjunct assignments) should list all departments and colleges involved. All applicable deans and department chairpersons/directors should sign the form.

7. Electronic submission:

a. Guidelines:

i. Form D-I and supporting materials may be submitted as either Adobe PDF or Microsoft Word files. If scanned, .TIF files are also acceptable if they are of good quality.

ii. Submit materials for only one candidate per e-mail (i.e., do not include materials for more than one candidate per e-mail).

iii. Materials may be submitted as one document or separate documents (one document is preferred). If submitting as one document, place materials within the document in the order listed above under item #5.

b. Procedures:

i. Attach Form D-I and the required supporting documents for the applicable faculty member to an e-mail.

ii. Include the **faculty member's name** in the subject line of the e-mail and the **Person's PERNR and department** in the body of the e-mail. In the event of multiple emails for one faculty member (due to limited attachment size), indicate multiple e-mails in the subject line (Example: John Doe 1 of 3, John Doe 2 of 3, John Doe 3 of 3).

iii. Send the materials to RPT@hr.msu.edu

Forms E/F "Tenure System Faculty with Average Salary Increases less than half the University Control Average over the past 4 Years/Tenure System Faculty with Merit as Reason for low Salary in Salary Cohort Analysis".

At the time of the Deans' conferences with Provost's staff, long-time tenure system faculty will also be discussed. The faculty on the enclosed lists in some cases will require a special look.

DEANS' CONFERENCES WITH PROVOST'S STAFF March 16 through April 30, 2021

1. The Provost's Office will schedule a conference for each dean with the Associate Provost/Associate Vice President for Academic Human Resources, the Vice President for Research and Graduate Studies, and Provost Faculty representative.

2. Reports A, B, and C and Forms D and E/F which have previously been sent to Human Resources will be available at the conference.

3. If unusual circumstances have resulted in a case which is still under review or delayed at the time of the conference, the Dean should provide as much information as possible, and make arrangements for an additional conference at a later time.

4. Deans should provide justification for early promotion recommendations, as well as information to indicate that such recommendations do not constitute evidence of unfair treatment for other tenure system faculty, especially those in the protected classes. (A promotion or tenure action is not considered "early" if justified by a record of performance at another university or during temporary appointment at MSU required by immigration regulations or other relevant reason.)

5. Each dean will be asked to provide an update of the efforts in his/her college to improve and strengthen criteria, standards, and procedures for reappointment, promotion, and tenure.

6. There will be a discussion of the status of all non-tenured faculty in the tenure system as well as all tenured faculty below the rank of full professor with service at the rank of assistant or associate professor for eight years or more, whether they are being recommended for reappointment, promotion, or tenure, or not.

7. In most cases agreement will be reached on reappointment, promotion and tenure recommendations although final notification by the Provost may be a month or more later depending on the date of the deans' conferences. Additional meetings will be arranged to reach the final agreement in unresolved cases.

Report G "AFFIRMATIVE ACTION REPORT ON FACULTY PROMOTIONS"

1. Due: February 26, 2021. Information needs to be submitted electronically by the college in the web-based application. The document also needs to be printed and signed at the bottom by the applicable Chairperson or Director or Dean and sent to Paige Breen, Academic Operations, 1407 S Harrison Rd, Suite 110 or RPT@hr.msu.edu. If recommendation has changed after submission, please email AVPHR.AcademicOps@hr.msu.edu

2. Table 3 "Promotion Record for Affirmative Action Reporting" lists employment information for the faculty who appear on Report G.

3. Instructions and information regarding Report G:

   a. Report G will be blank until a nonpromotion recommendation has been added into the web-based application. Once a nonpromotion recommendation has been added, the individual will appear on Report G. Nonpromotion recommendations are:

      i. Do not promote
      ii. Do not reappoint
      iii. Extension
      iv. No RPT action at this time (used when a faculty member did not elect to be considered for promotion or tenure)

   b. Provide a nonpromotion reason for those individuals where a nonpromotion recommendation was provided in the web-based application under the "Reappointment, Promotion, and Tenure Recommendations" link. The nonpromotion reasons are:

      i. Time in Rank: Achieving reasonable professional accomplishment, but the record does not justify promotion at this time
      ii. Needs time to develop greater competence in and/or contribution to research/creative activities
      iii. Needs time to develop greater competence in and/or contribution to teaching
      iv. Needs time to develop greater competence in and/or contribution to service
      v. Needs time to develop greater competence in and/or contribution to outreach/engagement
      vi. Needs to make greater contribution to departmental matters (e.g., curriculum development)
      vii. Chose not to provide evidence to support promotion
      viii. Retirement/resignation/termination

      Note that the first reason for non-promotion is "Achieving reasonable professional accomplishment, but the record does not justify promotion at this time." This reason should be selected for faculty members who demonstrate high levels of professional accomplishments but who have not yet qualified to meet the standards of the department/school/college to be promoted. If evaluations of faculty performance identify specific concerns, other appropriate reasons for non-promotion should be selected.

EXPLANATION OF ABBREVIATIONS

Tables 1 and 2

The printouts, "Tenure System Faculty by Rank and Tenure Status" and "Distribution of the Faculty by Age" provide administrators with a profile of the current composition of the tenure system faculty.

Report C and Table 3

Report C "Documentation of Annual Written Tenure System Annual Review" is a departmental listing. The "Promotion Record for Affirmative Action Reporting" is a departmental listing of all tenure system faculty below the rank of professor.

Check the lists to be certain that our records and your records agree. If there are any discrepancies, please email AVPHR.AcademicOps@hr.msu.edu

The columns which appear on the printouts are as follows: (Some columns appear on both printouts, some appear on only one of the printouts.)

Status	- Appointment status TENR = Tenured TPRO = Not Tenured
Prob End	- Date the current probationary appointment ends for non-tenured faculty
Tenure Grant	- Date tenure granted
Cont Svc	- Date from which employment at MSU has been continuous
Enter Tenure System	- Date of first appointment in the tenure system
Prom to Ase Prof	- Date promoted to Associate Professor
Emp %	- Percent employed

Race/Ethn	- Ethnic identification Black or African American Asian Of Hispanic or Latino Origin Native Hawaiian or Pacific Islander White
Annual Salary	- Current salary

Tables are to be found in a separate attachment.