

Policy Statement Number: **PS-36-NT**

Title/Topic: **Initial Appointments, Reappointments, Annual Reviews, and Promotions for Faculty Other Than Tenure-Track and Tenured**

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I. Preamble

The present Policy Statement PS-36-NT establishes certain regulations and procedures regarding the faculty ranks listed below, consistent with Chapter II, Sections 2-7, of the Regulations of the LSU Board of Supervisors; with the LSU System's Permanent Memorandum 23, entitled *Ranks, Provisions, and Policies Governing Appointments and Promotions of the Academic Staff*; and with all other pertinent policies of the LSU System.

In establishing these regulations and procedures, the University seeks to employ and maintain a well-qualified staff of faculty in these ranks, to accord them due professional standing, and to observe the principles of academic freedom. Personnel decisions described in this policy statement will be made without regard to race, creed, color, marital status, sexual orientation, religion, sex, national origin, age, mental or physical disability, or veteran's status.

Mandated procedures include annual job performance reviews and certain additional reviews by faculty panels. Reappointment in these positions is possible but must be based on reviews that have confirmed highly competent job performance and ongoing value to the University's mission.

II. General Provisions

II.A. Applicability and Limitations

PS-36-NT does not increase or diminish legally enforceable rights of the University or of its employees that may derive from applicable law, LSU policies and procedures, regulations, contracts, or written commitments.

Except when there is an explicit statement to the contrary, no provision of PS-36-NT or of a unit's rules will apply to faculty members who are part-time or part-year employees; nor will any provision, or lack of a provision, be interpreted to diminish their rights deriving from other policies or regulations.

Policies and procedures for personnel actions affecting the tenured and tenure-track faculty are covered by Policy Statement 36-T entitled *Tenure-Track and Tenured Faculty: Appointments, Reappointments, Promotions, Tenure, Annual Reviews, and Enhancement of Job Performance* (PS-36-T) and not by this policy known as PS-36-NT.

II.B. Application of PS-36-NT

This policy statement applies to the following positions:

1. Instructor

An appointment as an instructor will be for a specified term, ordinarily no more than one year.

2. General Librarian

An appointment as a general librarian will be for a specified term, ordinarily no more than one year.

Minimum qualifications will include a degree from a library program approved by the American Library Association and library experience.

3. Professional-in-Residence (including writer-, artist-, architect-, journalist-in-residence, etc.).

An appointment to this rank will be for a term not to exceed three years.

4. The Visiting series:

- Visiting Instructor
- Visiting Assistant Professor
- Visiting Associate Professor
- Visiting Professor

An appointment to such a rank will be for a term not to exceed one year.

A rank in this series is used to temporarily employ a faculty member from another institution of higher education at which he or she holds the equivalent academic rank, or any person who meets the standards for the rank and is hired for a limited period.

When LSU receives documentation from the home institution that a faculty member holding a rank in this series has received a promotion at his or her home institution, he or she may receive the corresponding change of rank within the series, without use of the formal LSU promotion review process.

5. The Research series:

- Assistant Professor—Research
- Associate Professor—Research
- Professor—Research

An appointment to a rank in the Research series will be for a specified term, ordinarily not to exceed three years.

Qualifications will include the terminal degree in a field pertinent to the job duties and work assignments. An assistant professor ordinarily must have at least five years' postdoctoral experience; an associate professor, at least nine; a professor, at least twelve.

6. The Clinical Specialist series:

- Assistant Professor—Clinical Specialist
- Associate Professor—Clinical Specialist
- Professor—Clinical Specialist

An appointment to a rank in the Clinical Specialist series will be for a term not to exceed one year.

7. The Professional Practice series:

- Assistant Professor - Professional Practice
- Associate Professor - Professional Practice
- Professor - Professional Practice

An appointment to a rank in the Professional Practice series will be for a specified term, ordinarily not to exceed three years.

Every initial appointment to a rank covered by PS-36-NT, including part-time or part-year appointments at those ranks, will require at least a master's degree or the equivalent in graduate study or professional experience. Those who teach University courses must have completed at least 18 graduate semester hours in the teaching discipline and hold at least a master's degree, or hold the minimum of a master's degree with a major in the teaching discipline. In some cases, with the provost's approval, professional experience and demonstrated contributions to the teaching discipline may be substituted for formal academic credentials.

II.C. Joint Appointments

Faculty in ranks covered by PS-36-NT may be concurrently employed by more than one department and, in some cases, more than one campus within the LSU System. If the concurrent appointments are collectively initiated by the departments involved and the overall percent effort equals 100%, the appointments will be considered **joint** appointments and the faculty member will be subject to this Policy Statement. When a faculty member is separately hired by multiple departments for the same or overlapping periods, the appointments will be treated as part-time in each department even when the sum of the part-time appointments equals 100%.

When there is a concurrent appointment, one department shall be designated as the **primary** department. Unless effort is evenly divided among departments, the primary department will be the unit with the greatest percent effort. All personnel

actions for concurrent appointments will be initiated in the primary department and appropriate forms and documentation forwarded to the chair of each **secondary** department for review and signature. The chair(s) of the secondary department(s) will be responsible for calling meetings of the faculty panel of the secondary department(s), when appropriate, to consider and vote on recommendations for appointment, reappointment, promotion, and annual performance evaluations, and forwarding the secondary departmental recommendation along with his or her recommendation to the chair of the primary department.

II.D. Seeking a Position at Another Rank

A person who holds a rank covered by PS-36-NT may apply for any available University position, including *tenure or tenure-track* positions, for which he or she qualifies. He or she will then be considered in accord with the policies that govern an initial appointment to said position.

III. The Rules of a Department or Other Unit

III.A. Preamble

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

III.B. Rulemaking Requirements

All unit rules pertinent to the subject matter of PS-36-NT must observe the following provisions:

1. A unit's rules may not conflict with the rules of its college or with any University policy statements.
2. Unit rules may be made or amended by majority vote of the tenured faculty in the unit, including the chair or dean, who serves as the presiding officer. The tenure-track faculty will also be included for the purpose of adopting rules, if any, whereby a committee is designated to act as the panel for an initial appointment.
3. The provost may designate additional LSU faculty to serve, on an ongoing basis, on a unit's rulemaking body when there are fewer than six faculty members with tenure in the unit.
4. Designations that may be adopted by a unit to make distinctions, as to functions performed or reviews completed among faculty members within

the unit (for example, Career Instructor, Instructor III, etc.) which are not defined in the *Bylaws and Regulations of the LSU Board of Supervisors* will not be recognized as University ranks or titles and will not grant the faculty member any additional rights and/or responsibilities.

III.C. Approval Procedure

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

IV. Criteria for Evaluating Faculty Job Performance

Declaration of financial exigency and changes in existing and prospective needs, resources, and other conditions may affect decisions regarding faculty members governed by PS-36-NT. In the absence of such factors, these guidelines will be observed in evaluation of a faculty member's job performance and in decision making processes with regard to initial appointment, reappointment, or other personnel action.

The appropriate considerations are those that are pertinent to the faculty member's job responsibilities, which will consist of a supporting role in one or more of the three traditional areas of scholarship, teaching, and service. The weight to be accorded each will be consistent with the mission of the department and with the faculty member's job duties and work assignments. The extent and nature of expectations may also be described in the rules of the department and in approved written contracts.

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

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

IV.A. Scholarship

Scholarship is an essential purpose of the University and of every unit. The term **scholarship** is used here in a broad sense, to signify *contributions to knowledge*,

in the disciplines appropriate to the department, at a level of quality and significance that is competitive by national standards.

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

1. Books, essays, articles, or bulletins reporting the results of original research
2. Publications, presentations, research, grant activity, editing, reviewing, etc., relative to clinical practices, methods, and standards of supervision
3. Novels, poetry, plays, exhibitions, or musical composition
4. Participation in musical performances or theatrical productions
5. Creations in the visual arts, video, or other media
6. Development of patents, processes, or instruments
7. Membership on scientific expeditions
8. Designs and built works
9. The delivery or application of technology

In cases for appointment, reappointment, or promotion of faculty members whose job responsibilities include scholarship, achievement, and quality of scholarship are of the essence. In such cases, it is the responsibility of the appropriate administrator(s) and, when called for by this Policy or by the unit's rules, the appropriate group of faculty to arrive at a judgment of the importance, originality, influence, persistence, and future promise of the candidate's program of work. It shall be the general policy of the University to utilize evaluations by experts outside LSU in the formation of this judgment.

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

1. Publication by respected academic journals and publishing houses that accept work only after review and approval by experts
2. Published reviews by experts
3. Citations in research publications or other evidence of impact

4. Awards for excellence, especially from national or international academic organizations
5. Invitations to give performances, presentations, exhibitions, or lectures
6. Awards of grants and contracts that indicate recognition of research achievement or capability

IV.B. Teaching

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

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

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

1. Classroom instruction and the conduct of courses
2. Conduct of seminars, critiques, and practica
3. Direction of independent study
4. Direction of creative and artistic projects
5. Informal student seminars
6. Supervision of students in clinical work
7. Conduct of a course that integrates learning and community service
8. Involving students in research and publication
9. Multidisciplinary and interdepartmental teaching
10. Direction of a thesis or dissertation

11. Articles on pedagogy
12. Redesign of a course or development of a new course
13. Innovation in teaching methods
14. Contributions to committees and other entities concerned with teaching, curricula, or educational policy
15. Publication of textbooks

If teaching is a part of the faculty member's responsibilities, then in cases for appointment, reappointment, or promotion, it is the responsibility of the appropriate administrator(s) and, when called for by this policy or by the unit's rules, the appropriate group of faculty to arrive at a judgment as to the quality of the candidate's teaching. Examples of appropriate factors and evidence that may contribute to such a judgment are as follows. The list is not exhaustive.

1. Observation of classroom teaching or of other presentations
2. Statements by the candidate of his or her educational philosophy
3. Evaluations by peers of course syllabi or other instructional materials
4. Student performance on departmental examinations or standardized tests
5. Students' subsequent success or demonstration of mastery
6. Honors or special recognition for teaching excellence
7. Invitations to teach in programs at other educational institutions
8. Invited lectures and panel presentations that pertain to teaching
9. Evaluations of teaching and testimonials by present or former students (Any sampling of student opinion should be carried out in such a manner so that students can state their judgments freely and without fear of reprisal.)
10. Publication by respected publishing houses
11. Textbook adoptions at other universities
12. Grants and contracts to fund teaching activities or provide student stipends, especially by national agencies or foundations

IV.C. Service

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

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

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

1. Clinical consultation, evaluation, assessment, treatment, patient management, specialty service, or diagnostic support, provided through University-affiliated hospitals and clinics
2. Service rendered to the community as a part of courses taught
3. Participation on a certification board
4. Expert advice to professions, businesses, or government
5. Holding office or other position of responsibility in a professional organization
6. Participating on a governmental body
7. Holding an administrative office in the University

8. Advisory role with a student organization
9. Committee work for the department, college, University, or LSU System
10. Contributions toward faculty or staff training and development
11. Leadership in technology transfer, economic development, or job creation
12. Taking part in the organization of a conference
13. An editorship or editorial board membership
14. Refereeing or reviewing papers or grant proposals
15. Judging student or professional competitions
16. Consultation for industry, agriculture, or government
17. Administering grants

V. General Procedural Provisions

V.A. Confidentiality

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

V.B. Meetings

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

V.C. The Role of Line Officers

The provost or his or her designee will assure that all policies and procedures of the LSU System and of LSU are observed. The provost will also promulgate pertinent timetables and mandate the forms and content of documents needed to comply with this policy.

It is the responsibility of the dean and chair to promulgate information regarding any deadlines, forms, and procedures required by the policies of a unit. This will

include establishing deadlines to ensure that the applicable notice requirements of the Regulations of the LSU Board of Supervisors are satisfied.

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

V.D. Conflicts of Interest, Recusals, Exclusions, and Other Restrictions

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

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

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

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

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

V.E. Peer Advisor

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

V.F. Years of Service; Approved Leaves

The definition of *years of service* in this subsection applies only to calculating years of service to determine whether faculty input is required for reappointment as provided in PS-36-NT.

A faculty member's *years of service* means his or her consecutive years of full-time service. A year of full-time service will count as such even if it is made up of one or more appointments for a part of a year due, for instance, to mid-year appointment or to periods of approved leave as provided below. No period of part-time service will count toward years of service.

If a faculty member so requests, the department may, at its discretion, recommend a change to part-time employment or to leave without pay for a specified period of time. Leave without pay for a half-year or more requires the further approval of the dean and vice chancellor. For leave without pay of one year or more, the further approval of the provost, chancellor, president, and Board of Supervisors is required. Such a period of approved leave or temporary change will be ignored in counting years of service. If a faculty member ceases full-time service for any reason, any claim for prior years of service or reemployment will be at the discretion of the department.

V.G. Provost's and Deans' Advisory Committees

To help assure rigorous and thorough reviews, advisory committees, established in advance and composed of senior faculty, will be employed by the provost and by the deans of departmentalized colleges when considering recommendations for promotions and may be employed by them for other decisions.

1. The Graduate Council will annually recommend a Provost's Advisory Committee from its membership subject to the approval of the provost.
2. In each departmentalized college, an advisory committee or committees will be established as determined by the dean unless the college rules provide otherwise.

While advisory committee recommendations will not become part of appointment or review files, the dean will incorporate the committee vote and a comment regarding the advisory committee's recommendation in his or her recommendation. The provost's advisory committee recommendations will not become part of the file.

Each line officer is solely responsible for writing evaluations and making the recommendations at his or her level, using criteria consistent with the guidelines of Section IV.

V.H. Required Notice of Nonreappointment

Upon expiration of a term appointment, the employee is a free agent to whom the University System has no obligation. A decision not to reappoint a faculty

member under PS-36-NT requires no further administrative or Board of Supervisors' approval.

Except when the action is due to financial exigency, written notice of the nonreappointment will ordinarily be provided in accordance with the following schedule as provided in Chapter II, Sections 2-7, of the *Regulations of the LSU Board of Supervisors*:

1. Not later than March 1 of the first academic year of service, if the appointment expires at the end of the year or, if an initial one-year appointment terminates during an academic year, at least three months in advance of its termination
2. Not later than December 15 of the second academic year of service, if the appointment expires at the end of that year or if an initial two-year appointment terminates during the academic year, at least six months in advance of its termination
3. At least 12 months before the expiration of an appointment after two or more years service on that campus

A sample notice of nonreappointment is provided in Appendix B.

Once a faculty member is notified that he or she will not be reappointed, the decision will not be suspended during any appeal.

VI. The Faculty Panel

VI.A. When a Faculty Panel is Required

The tenured and tenure-track faculty in each department have a steward's role in the University's governance and leadership. The insights and judgments of those faculty members, and of other faculty when appropriate, should be brought to bear in key personnel decisions, to help assure that the interests of the department's programs are considered in broad perspective, and that evaluations are rigorous and comprehensive. Therefore, faculty panels will be used for certain personnel actions as follows. Appendix C describes the composition of the faculty panel for various decisions.

1. A faculty panel procedure is required for each initial appointment to the rank of professional-in-residence, or to any rank within the research, clinical specialist, or professional practice series.
2. A department's or college's rules may specify that the faculty panel procedure is also required for some or all initial appointments to other ranks covered by the present policy.

3. A faculty panel review is required for every promotion to a rank covered by PS-36-NT. Whenever a promotion review is undertaken at the same time as a reappointment review, a faculty panel review to address the reappointment question may also be required depending on length of reappointment and years of service, as provided in Section VIII.B.
4. For an instructor, general librarian, or professional-in-residence, a faculty panel review is required for the first reappointment that would result in a continuation of full-time service beyond the seventh year.¹
5. Every reappointment in which the term will be for a period longer than one year requires a faculty panel review.
6. A department's or college's rules may specify additional conditions under which a faculty panel review will be required for a reappointment.
7. In addition, the chair may require a faculty panel review to be part of any initial appointment or reappointment decision.

Faculty panels will not be required for personnel actions in the Laboratory School except as may be specified in the school's rules.

VI.B. Faculty Panel Composition

If a faculty panel is required by the department's or college's rules, but is not mandated by the present policy, or in any case of an initial appointment, those rules may define the faculty panel differently and may, for example, designate a committee to be the panel. For those decisions for which the use of a faculty panel is mandated by PS-36-NT, the faculty panel will be composed as indicated in Appendix C.

VI.B.1. Members Added by the Department's Rules A department may determine that certain faculty members have suitable rank and expertise to participate in making a given kind of decision. Accordingly, the rules of the department may provide which categories of faculty will be enfranchised and for which decisions. The following list of two examples is intended to be illustrative, not exhaustive.

1. The rules may provide that faculty members who hold secondary appointments in the department, and who otherwise qualify for the panel, will also belong to the panel.
2. The rules may provide that departmental faculty members holding the rank of professor in one of the series will be a member of the faculty panel for a promotion to a rank in that series.

¹ Note that in view of the notice of nonreappointment requirements, the decision on the said "first reappointment" will take place during the sixth year—at least when the current appointment is not for a multi-year term.

If such a provision results in a faculty member having membership on the faculty panel in more than one department on the same decision, he or she will vote on that decision in only one of the departments.

VI.B.2. The Chair as Member of the Faculty Panel The chair will be a member of the faculty panel regardless of his or her faculty rank or tenure status. As the presiding officer at meetings of the panel, the chair has the duty to be impartial. On the decision itself, the chair does not take part in debate or voting because the chair must make an independent evaluation and written recommendation.

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

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

VI.C. The Manner of Voting

To establish a recommendation, ordinarily the chair must call a meeting of the faculty panel, hold a discussion, and take a vote by written ballot, also using e-mail or other means as may be necessary and appropriate to provide the reasonable opportunity for participation by all eligible faculty panel members. A secure online system may be used for information, discussion, and/or voting. Every count will be made and attested to by at least two members of the faculty panel. The tally, including separate counts when taken, will be reported to the faculty panel. The right of each person to have his or her ballot kept confidential, to the extent possible under the other requirements of PS-36-NT and applicable law, will be respected.

VI.D. The Report of a Department's Recommendation

Whenever the faculty panel arrives at a recommendation, the report of the recommendation will include:

1. A tally of the vote;
2. The number of panel members who did not vote;
3. The chair's independent judgment and recommendation with regard to the decision;
4. Analysis and explanations, as needed, with regard to letters from outside experts, in cases when those are included. All material in which the content of those letters is revealed or their authors identified will be presented separately and kept confidential to the extent possible as required by PS-40 and applicable law; and
5. An account of the important factors underlying the panel's recommendation, including minority views, with written statements by those supporting a minority viewpoint when they so choose.

Unless the rules of the department or college require otherwise, the chair will assemble the report. A representative of the faculty panel, other than the chair, will either sign the chair's report, confirming its accuracy and completeness, or, if he or she prefers, prepare and sign a supplementary report on behalf of the panel, which will be attached to the chair's report.

For recommendations/decisions made without faculty panel participation, the report will consist solely of the chair's independent judgment and recommendation with regard to the decision.

VII. Initial Appointments

VII.A. Appointments Proposed from Outside the Department

In some cases, a person may be proposed for an appointment from outside the department; for example, as a result of a search for a line officer. For such an appointment, the faculty panel recommendation (where applicable), documentation of the candidate's academic credentials, and the approval process are still required.

In the case of a recommended initial appointment with an annual salary exceeding limits set by the Board of Supervisors and/or to a position with a modified title indicating particular distinction approved by the Board of Supervisors, the recommendation will require the approval of the dean², the provost, the chancellor, and the president of the LSU System. When this is not the case, the final approval level depends on the proposed faculty rank.

² Appointments in units that report through the Office of Research & Economic Development and that require approval beyond the level of dean will be routed to the vice chancellor for research before they are forwarded to the provost.

VII.B. The Chair's Responsibility and Authority

The chair is responsible for developing hiring strategy in consultation with the tenured and tenure-track faculty and with other faculty where appropriate, securing budgetary commitments from the dean, determining job descriptions and qualifications, advertising positions, recruiting qualified persons to apply, screening applicants, ensuring compliance with Policy Statement 1 entitled *Equal Opportunity* and with PS-25, and making the recommendation to appoint, including salary, term, and other conditions of the appointment. To perform these tasks, the chair may delegate responsibilities, establish procedures, and appoint committees. The chair shall carry out his or her responsibilities in a manner that recognizes that, when a faculty panel is utilized, all members are entitled to information about the processes; to have access to the application files; and to provide their written evaluations of applicants for inclusion in the application files.

VII.C. Documentation of Academic Credentials

For every appointment, the required academic credentials must be documented. If a degree is required, then there must be written certification, by the appropriate office of the degree-granting institution, that all requirements for the degree have been completed. At the discretion of LSU, official transcripts of the academic record may be required.

VII.D. Minimum Qualifications for Initial Appointments

In every case, the qualifications required for an initial appointment must be consistent with LSU System PM-23 and the criteria for evaluating faculty job performance must be appropriate to the mission of the department and to the job duties and work assignments anticipated; and must be in keeping with the standards of the department and University for the rank of the position.

For an appointment when a degree is required but has not been awarded, the University may, at its discretion, extend the offer of the position, but only on this condition: the appointment will be made only if the appropriate office of the degree-granting institution has, by a specified date, provided written certification that all requirements for the degree have been completed.

When a degree is required for a position, and LSU has not received the certification that the requirements for said degree have been completed, the University may still, at its discretion, make the appointment, under conditions that will be stated in the contract.

VII.E. Procedures for Initial Appointments

An interview is desirable but not required for an initial appointment.

For an initial appointment to Professional-in-Residence or any rank in the Research, Clinical Specialist or Professional Practice series, a faculty panel is required, and the provisions of the present subsection govern the procedure.

For an initial appointment to Instructor, General Librarian or any rank in the Visiting series, no faculty panel is required, and references to a panel in this policy do not apply---except as may be specified otherwise by the rules of the department or college.

VII.E.1. A Recommendation to Appoint

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

VII.E.2. Approval Procedure; Official Offer

The chair of the department will forward to the dean an appointment file, comprising the following items:

1. The candidate's Curriculum Vitae (*C.V.*) and appropriate supporting material, including all letters of evaluation.
2. The report of the department's recommendation.
3. The proposed employment contract (Per-25 form), signed by the chair of the department. The contract will name all the employing departments, and will identify the primary department.
4. The chair's recommendation, explaining as necessary the terms of the contract.

In the case of a recommended initial appointment with an annual salary exceeding limits set by the BOS, and/or to a position with a modified title indicating particular distinction approved by the Board of Supervisors, the recommendation will require the approval of the dean³, the provost, the chancellor, and the president of the LSU System. When this is not the case, the final approval level depends on the proposed faculty rank.

If the proposed appointment is to Instructor, General Librarian, Professional-in-Residence; or to the rank of an Assistant Professor in Visiting, Research, Clinical Specialist, or Professional Practice series; then the dean will make the final decision. The dean's decision is also final if the proposed appointment is for a half-year or less regardless of rank. In all other cases, these provisions apply: If the dean recommends approval of the appointment, he or she will sign the proposed contract and forward it with the candidate's *C.V.* and documentation of academic credentials to HRM for review and routing to the provost. In the event

³ Appointments in units that report through the Office of Research & Economic Development and that require approval beyond the level of dean will be routed to the vice chancellor for research before they are forwarded to the provost.

the dean does not support the offer, he or she will forward the contract, the candidate's *C.V.* and documentation of academic credentials to the provost with a statement explaining the recommendation.

The provost will make the final decision on the recommended initial appointment of an associate professor or professor in one of the series listed above.

When a recommendation reaches the provost, he or she may always make a final decision against the appointment. If the provost favors the appointment and the president's approval is required, then the provost will sign the proposed contract and send it through HRM to the chancellor and, if approved by the chancellor, to the LSU System president for the final decision.

When final approval has been secured, the signed contract will be returned to the chair. Only then will the position be offered to the candidate and the contract sent for his or her consideration, and only then may a University officer make a written commitment regarding any aspect or condition of the appointment. A line officer may have preliminary discussions with the candidate prior to this time as long as those discussions establish that the line officer is not making an offer of employment.

VII.E.3. Background Check

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

VIII. Reappointment Reviews

A term appointment or a series of term appointments carries no assurance of reappointment or promotion. Reappointment is made solely at the initiative of the University.

VIII.A. Timetable Provisions for Reappointments

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

discretion of the review committee, provided one is allowed by pertinent policy or rules.

VIII.B. *Reappointment Review by a Faculty Panel*

Faculty panel reviews are required as part of the procedure for reappointment decisions in which the term will be (1) for a period longer than one year or (2) for an instructor, general librarian, or professional-in-residence that would result in continuation of full-time service beyond the seventh year. In all such cases, the faculty panel review must take place, even if the continued availability of the position in question is uncertain. Unless a concurrent promotion review is being conducted, a review committee will be established as provided in the department's rules; or, if the rules do not address the matter, then the committee will be established by the chair. If reappointment and promotion are being concurrently considered, the review committee may be the entire faculty panel or a subset thereof. The review committee will conduct a full review of job performance resulting in a written report and recommendation.

VIII.C. Procedure for a Reappointment Review

1. When the chair, giving appropriate notice, asks the faculty member to do so, he or she will bring the *C.V.* and supporting documentation in the faculty member's file up-to-date, and will prepare an annual report on his or her activities. The faculty member may include a self-evaluation.
2. The chair will assure that the faculty member's file contains the reports from all formal evaluations that have been completed.
3. When a faculty panel is participating in the review, the chair will make the file, including the review committee's report and recommendation, available to the faculty panel for its review. The file will be maintained in a location which safeguards its contents and that is reasonably accessible to the faculty panel. The chair will establish a date to convene the faculty panel to consider the file, discuss the faculty member's job performance, and vote on whether to recommend reappointment or to recommend nonreappointment.

The length of reappointment shall be consistent with Bylaws and Regulations of the LSU Board of Supervisors. The report of the departmental recommendation will be placed in the faculty member's file.

4. After considering the recommendation of the faculty panel, if applicable, the chair will make his or her decision, which is final, and will meet with the faculty member to advise him or her of that decision and to provide copies of the departmental report(s). If the decision is negative, the chair will provide written notification of nonreappointment in accordance with the Bylaws and Regulations of the LSU Board of Supervisors.

5. When a faculty panel has participated, the chair will inform the faculty panel of the decision.
6. In all cases, the chair will send to HRM a Personnel Action Form to carry out the decision. HRM will coordinate finalizing the personnel action form as appropriate.

IX. Promotion Reviews

IX.A. General Provisions

This section describes the formal process for reaching a decision on a promotion.

The promotions that may be considered are as follows:

- A promotion from one rank to a higher rank within one of the following series: visiting, research, clinical specialist, or professional practice
- A promotion from research associate, postdoctoral researcher, or senior postdoctoral researcher to a rank in the research, clinical specialist, or professional practice series
- Under extraordinary circumstances, a promotion from instructor to professional-in-residence

IX.A.1. When a Review Will Be Conducted

A promotion review will be initiated only as provided by this Policy Statement and is not mandated to occur at any given time with reference to a candidate's years of service.

A promotion review requires most of a year for completion. All activities related to a review must be timed to conform with the current timetable set by the provost and communicated through HRM, and with the timetables set in colleges and departments for their parts in the process.

A promotion review for a given faculty member may be proposed by the chair, proposed by a member of the appropriate faculty panel, or requested by the faculty member. The chair will then call a meeting of the faculty panel to decide whether to initiate the review. If the panel decides by majority vote that a review is warranted, then one will be conducted. If a candidate requests a review but the panel decides against it, then the chair will immediately advise him or her of the decision. The candidate may then ask the line officer to whom the chair reports to consider the matter. Said officer may either uphold the faculty panel's decision or order that a review will be conducted.

IX.A.2. Concurrent Reappointment and Promotion Reviews

A promotion review and a reappointment review may be conducted concurrently and always will be for faculty limited to one-year appointments (instructors and

those in the visiting and clinical specialist series). The reappointment decision may, of course, be positive even when the promotion decision is negative. Accordingly, the two decision procedures will proceed together. The review committee for promotion will serve also as the committee for reappointment and will report to each of the appropriate faculty panels, whose deliberations and votes will answer these questions:

1. Does the department recommend reappointment?
2. Does the department recommend promotion?

The final decision on the reappointment will be made, and the candidate notified, and will not in any event be delayed by reason of the promotion review procedures. If the final decision on the reappointment is negative, then the consideration of the promotion will proceed no further.

IX.A.3. An Early Review

An early review is unusual, and should proceed only when merit is well-established and clearly meets or exceeds the expectations applied in other reviews. If an early review ends with a negative decision on promotion or the candidate's withdrawal from the review, but a positive decision on reappointment, such a result will be without prejudice to future promotion reviews of the faculty member.

IX.A.4. The Review Committee

When outside experts are to be asked for letters of evaluation, the review committee will take part in their selection. After those letters have been obtained, the committee will consider the material in the review file, including the letters, and will prepare a report, which will be a comprehensive statement regarding the decision, observing the criteria for evaluating faculty job performance. The report will be placed in the review file.

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

This stage is required for every promotion to instructor, assistant professor, associate professor, or professor in the research series. It is also required in any case when scholarship is a substantial part of the job duties, or when the recognition and repute of the candidate's scholarship beyond the campus is important to the case for promotion.

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

Whether or not this stage is required, its regulations are not intended to hamper the use of letters of evaluation which chiefly address areas other than scholarship.

IX.B.1. Confidentiality

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

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

IX.B.2. The Use of Letters of Evaluation

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

1. A letter that is more than two years old will be excluded unless the letter is current on all aspects of the faculty member's record that it addresses and the review committee favors its inclusion.
2. A letter that is two years old or less may be excluded provided the evaluator has written a more recent letter to replace it.

IX.B.3. Choosing Evaluators: Procedure

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

IX.B.4. Choosing Evaluators: Requirements

The following regulations and objectives must be observed. Exceptions require approval of the line officer to whom the chair reports.

1. The evaluators from whom letters are obtained must, taken together, have expertise that covers the areas of the candidate's work.
2. Each evaluator with a university faculty position must hold the equivalent of the rank of professor or a rank higher than that of the candidate.
3. Each evaluator must have appropriate professional standing. Examples:
 - A faculty position at a U.S. university whose Carnegie Classification, with regard to research and advanced study, is at least that of LSU.

- A senior position at a government or private-sector agency, institute, or laboratory with a comparable mission.
4. A person known to have a bias or conflict of interest relevant to the case will not be asked to serve as an evaluator.
 5. Letters of evaluation must be obtained from persons from at least three different institutions.
 6. Letters of evaluation must be obtained from at least three persons other than the candidate's major professor for the terminal degree or postdoctoral advisor.

IX.B.5. Communications with Evaluators

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

IX.C. Stage 2: Recommendation by the Department

The composition of the faculty panel depends on the action being considered and the rank of the person under review.

1. The chair will make the review file available to the faculty panel members for their study when the following items have been compiled:
 - the candidate's *C.V.* and other documentation as required by the LSU System, University, college, or department;
 - the chair's evaluations with attachments, if any, from each annual evaluation;
 - outside evaluations, if any, together with:
 - (a) name and address of those asked to provide an evaluation;
 - (b) for each evaluator, a brief statement of his or her qualifications, including academic rank and employing institution;
 - (c) a sample letter used to request the evaluations; and
 - (d) explanatory notes as needed, at the discretion of the chair or review committee.
 - the preliminary report of the review committee. Chairs will take appropriate measures to assure that confidentiality is maintained.

2. The chair will convene the faculty panel to consider the matter under review and to vote on its recommendation on the promotion. The report of the unit's recommendation will be prepared and placed in the review file. The report will incorporate the report of the review committee, revised as appropriate to reflect the deliberations of the faculty panel. In cases when more than one candidate is being considered for the same action, the report will not engage in rankings.
3. The chair will write his or her own statement indicating his or her recommendation.
4. The chair will meet with the candidate to advise him or her of the recommendation. The chair will provide copies of the reports written under the provisions of items 1 and 2 to the candidate, excluding those items that must be kept confidential, and will advise the candidate of his or her rights to write a formal response for inclusion in the review file. If the file is being forwarded, then the response must be sent to the chair, and also to the officer to whom the chair reports, no later than seven calendar days after the date when the candidate is advised of the recommendation.
5. If either the faculty panel or the chair makes a positive recommendation on the promotion, the chair will forward the review file to the line officer to whom he or she reports for consideration.
6. If the faculty panel and the chair agree that the promotion should not be granted, then that will be the final decision on promotion—unless the candidate makes a written request that the review file be forwarded to the line officer to whom the chair reports for review.

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

The provost and deans will employ advisory committees of tenured, tenure-track, and other faculty as they deem appropriate for Stage 3 reviews. No officer will make rankings of candidates. The steps of Stage 3, which occur if the review file is forwarded by the chair to the line officer to whom he or she reports, will be as described in this section. If the candidate withdraws from the promotion review at some point by means of a written request to the officer currently holding the review file, consideration of the promotion will proceed no further.

1. When (1) the promotion review is early and (2) both the faculty panel and the chair have made a negative recommendation on the promotion; if the reviewing officer concurs in the negative recommendation, then his or her decision will be final as delegated by the chancellor. He or she will notify the chair and will meet with the candidate to notify him or her of the decision.
2. When the dean is the line officer to whom the chair reports and item 1 does not apply, the dean will review the decision; forward his or her

recommendation and the review file to the provost; and notify the chair and the candidate of his or her recommendation. If the recommendation is negative, or if the candidate requests it, the dean will meet with the candidate.

3. When item 1 does not apply and the decision is submitted to the provost for review, he or she will consider the review file and will forward his or her recommendation and the review file to the chancellor.
4. The chancellor will submit his or her recommendation and the review file to the president of the LSU System. The chancellor will notify the candidate of the recommendation.
5. If the chancellor's recommendation is positive and the president agrees, he or she will submit it to the Board of Supervisors for approval.
6. The chancellor or his or her designee will notify the candidate of the final decision.

IX.E. Late Events and Evidence

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

IX.F. Disposition of Supporting Material

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

X. Appeals

The faculty member may pursue the faculty grievance process in lieu of following the procedure set out in this policy. If the faculty member opts to use the process described by the Faculty Grievance Committee, then he or she is not entitled to use this policy's procedure.

X.A. Procedures

A faculty member may appeal a final reappointment or promotion decision seeking the reversal or other modification of the decision in question. The following procedure will be followed:

1. Within 30 calendar days of receipt of a decision under this policy, the faculty member will submit a written appeal to the chair and the dean describing the basis for appeal and the requested resolution. The dean, in consultation with the chair, will consider the appeal and submit a written response to the faculty member within two weeks. If the dean agrees with the appeal but lacks the authority to grant the request, he or she may forward the appeal and his or her response to the provost, and notify the faculty member of this action. If the dean denies the appeal or he or she agrees with the appeal and has authority to implement his or her decision, the dean will give the faculty member notice of his or her intent to do so. Within five working days of receipt of this notice the faculty member shall notify the dean of his or her acceptance or rejection of the decision. If the faculty member rejects the dean's decision he or she may appeal to the provost.
2. The provost may in his or her discretion, opt not to consider the appeal. In this case, he or she will, within two weeks, refer the matter to the chancellor for decision.
3. If the provost reviews the appeal, he or she may choose to submit the matter to the Faculty Senate Grievance Committee for an advisory opinion. With or without submitting the appeal to the Faculty Senate Grievance Committee, the provost will make a written response to the appeal. If the provost agrees with the appeal but lacks the authority to grant the request, he or she may forward the appeal and his or her response to the chancellor and notify the faculty member of this action. If the provost denies the appeal or if he or she agrees with the appeal and has authority to implement his or her decision, the provost will give the faculty member notice of his or her intent to do so. Within five working days of receipt of this notice, the faculty member shall notify the provost of his or her acceptance or rejection of the decision.
4. Upon receipt of notice that the appeal was not resolved to the satisfaction of the faculty member at the provost's level, the provost will forward the appeal to the chancellor for final review and action.

X.B. Grounds

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

1. The only procedural errors which can form the basis of an appeal are those which affect the faculty member's due process rights.
2. The purview of the Faculty Grievance Committee is restricted. The LSU Faculty Senate Bylaws state in part that the Committee "cannot substitute its judgment for an academic judgment made in a fair and reasonable manner, according to University evaluative procedures."

XI. Annual Departmental Reviews for Faculty Members

XI.A. Preamble

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

The annual review process should be understood and carried out in keeping with the principles of academic freedom.

The process is a framework for businesslike and collegial communication. PS-36-NT describes the minimum requirements of the process. The department or college may adopt its own rules and procedures in conformity with this policy.

XI.B. The Annual Review Process

In each annual review process for a faculty member, there will normally be only one reviewing officer, the department chair. If the chair or faculty member contends that a conflict of interest exists, the matter will be referred to the dean for resolution. If a conflict of interest does exist, the dean will review the faculty member. The reviewing officer will be responsible for following all applicable procedures, including college and departmental rules, and maintaining the resulting documents. The reviewing officer may delegate all or part of the reviewing activity. Evaluations by others will be incorporated as appropriate, for example when the faculty member has duties in more than one unit.

The process will occur every year of full-time, full-year service for every faculty member except when he or she is being reviewed for a promotion in faculty rank, or has been given notice of nonreappointment or termination. Other exceptions: He or she may suffer from physical, mental, or emotional illness, or other condition, to such a degree that a job performance evaluation cannot reasonably proceed in disregard thereof. In such a case the reviewing officer, acting under the guidance of HRM and with approval by the line officer to whom he or she reports, may suspend or modify the annual review process. See Policy Statement 59 entitled *Employee Assistance Program*.

XI.B.1. Procedure

The annual review process will consist of the following steps:

1. When asked to do so by the chair, the faculty member will bring the documentation in the faculty member's file up-to-date.
2. When asked to do so by the chair, the faculty member will prepare an annual report on his or her activities, and may include a self-evaluation and/or plans and objectives for the future.
3. The chair will assure that the faculty member's file contains the reports from all formal evaluations that have been completed.
4. If required by a unit's rules or if the chair requests a faculty panel review, then the chair will provide the necessary information to the appropriate review committee who will conduct a full review of job performance resulting in a written report which will become part of the faculty member's file.
5. After giving due consideration to all the contents of the file, the chair will prepare and sign a document, called the chair's evaluation. The chair is responsible for this document, and it represents the chair's independent judgment. Nevertheless, the chair is free to delegate all or part of its preparation. The chair's evaluation will incorporate at least the elements in the following list. The department's rules may further specify and regulate the chair's evaluation.
 - (a) A precise advisory concerning the faculty member's job status and any upcoming formal review, giving references to PS-36-NT and the department's rules.
 - (b) The chair's evaluation of the faculty member's job performance.
 - (i) The chair's evaluation includes by reference all the contents of the faculty member's file. The chair may allow this material to speak for itself or may summarize or discuss its significance.
 - (ii) In evaluating the faculty member, the chair may be brief and is not required by PS-36-NT to engage in systematic rankings, comparisons, or classifications.
 - (iii) The chair's evaluation must be based on the faculty member's job duties, work assignments, or work plans, as appropriate. The criteria for evaluating faculty job performance must be observed.
 - (iv) The chair may call for improvements in the faculty member's job performance and, in so doing, must be specific and must offer appropriate advice and assistance.
6. The chair will provide a copy of his or her evaluation to the faculty member for review. The chair may hold a conference with the faculty member and must do so if the faculty member so requests.

7. The document will be signed by the faculty member under a statement that will read, at least in part and in effect, as follows: My signature indicates that:
- (a) I am aware of the contents of this file and have had the opportunity to provide my annual report and up-to-date documentation.
 - (b) I have read and understood the chair's evaluation.
 - (c) I have exercised, or else waived, my rights to discuss the evaluation with the chair of each unit in which I am employed.
 - (d) I understand that I have the right to attach a comment or dissent with materials in support thereof. I have/have not done so.
8. The chair will send a copy of the faculty report when one exists and a copy of the chair's evaluation file to the dean, who will send it to HRM. If the dean sends comments or recommendations pertaining to the faculty member, they will become part of the file and copies will go to the chair and to the faculty member.

XII. Appendices

A. Glossary

Appointment or Initial Appointment. LSU's agreement to employ a person for a specific term.

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

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

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

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

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

Departmentalized college. A college is said to be departmentalized if it has one or more subdivisions that are the direct employers of faculty.

Early review. For faculty in the visiting, clinical specialist, or professional practice series: either (1) a review for promotion to professor that takes place before the faculty member's fifth year of service at LSU in the rank of associate professor; or (2) a review for promotion to associate professor that takes place before the faculty member's sixth year of service in the rank of assistant professor at LSU. For faculty in the research series: either (1) a review for promotion to assistant professor to be effected before the candidate has five years of postdoctoral experience; or (2) a review for promotion to associate professor to be effected before the candidate has nine years of postdoctoral experience; or (3) a review for promotion to professor to be effected before the candidate has twelve years of postdoctoral experience.

Faculty (Faculty Members). PS-36-NT, except when it specifies otherwise, applies only to faculty who are not tenured or who are non-tenure-track faculty and uses the term faculty to refer to them only. Nevertheless the term *faculty* in other contexts is more inclusive. The Regulations of the LSU Board of Supervisors, 1-2.2.a., state that "full-time members of the academic staff having the rank of instructor or higher (or equivalent ranks) shall constitute the faculty of the campus on which they are appointed." Ranks and their faculty status are defined in detail in PM-23.

Faculty Member's File. Shall be the documents maintained by the academic unit to which the employee is assigned to perform his or her duties and will include,

where applicable, a current C.V. and supporting material; faculty member's annual reports; reports from all reviews conducted under PS 36-NT; all annual evaluations; and an index of the file's contents. The faculty member will have access to the file in accordance with PS-40 and applicable law, and may update its contents or add appropriate material at any time.

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

Full-time, Part-time. A faculty member at LSU is full-time if employed for 100% of effort by a single department or by multiple departments and/or campuses that collectively initiated the appointment. He or she is part-time if employed for anything less than 100% of effort in total or if he or she was hired separately by multiple units even when the percent effort equals 100%.

HRM. The Office of Human Resource Management.

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

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

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

LSU System. The system of colleges, schools, universities, institutions, programs, and facilities under the supervision and management of the Board of Supervisors of Louisiana State University and Agricultural and Mechanical College.

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

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

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

Primary appointment, primary department. A full-time faculty member employed by two or more units will ordinarily be employed for at least 51% of effort in one of those units, known as the primary department, or the unit in which he or she has primary appointment.

Reappointment review. The formal review process used to determine whether a faculty member will be reappointed.

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

Review committee. The *review committee* for a candidate may be the entire faculty panel, or a subset thereof, charged with either (1) a role in the reappointment review process; or (2) investigating the case for a promotion; or (3)

a role in the annual review process for a faculty member. The review committee is chaired by someone other than the department chair and appointed by the department chair unless otherwise provided by the department's rules.

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

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

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

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

Year, years. In references to duration of employment service for purposes of PS-36-NT, a *year* ordinarily means either (1) two consecutive semesters of full-time service, for a person appointed on an academic-year basis; or (2) twelve months of full-time service, for a person appointed on a fiscal-year basis.

B. Sample Notice of Nonreappointment

Dear (---)

In accordance with the provisions of Chapter II, Section 2-7, of the *Regulations of the Board of Supervisors*, this is to notify you that you will not be appointed beyond (date). You are encouraged to contact the HRM Benefits Service Center for information regarding whether you may continue insurance coverage and options for disposition of retirement benefits upon separation. We suggest that you contact HRM as soon as possible because the information may be useful to you as you pursue other employment opportunities.

Sincerely,

(-----)
Chair

xc: Office of Human Resource Management

C. Faculty Panel*

ACTION	RANK	FACULTY PANEL COMPOSITION
Appointment	As Instructor, General Librarian, or any rank in Visiting Series	Faculty panel not required except as specified by rules of the unit or by department chair
Appointment	As Professional-in-Residence, Assistant Professor, Associate Professor, or Professor in Research, Clinical Specialist, or Professional Practice Series	All tenure-track and tenured faculty or a committee of the tenured and tenure-track faculty
Reappointment for 1 year or less except if it results in continuation of Instructor, General Librarian, or Professional-in-Residence beyond 7 years of service	Any rank covered by PS-36-NT	Faculty panel not required except as specified by rules of the unit or by department chair
First reappointment for 1 year or less resulting in continuation beyond 7 years of service**	As Instructor, General Librarian, or Professional-in-Residence	All tenure-track and tenured faculty
Reappointment for term longer than 1 year	Any rank covered by PS-36-NT	All tenure-track and tenured faculty
Promotion***	To Professional-in-Residence or Assistant Professor in Visiting, Research, Clinical Specialist, or Professional Practice Series	All tenure-track and tenured faculty and/or a non-tenure track LSU faculty member of Professor or higher rank of the candidate
Promotion ***	To Associate Professor in Visiting, Research, Clinical Specialist, or Professional Practice Series	Tenured and Tenure-Track Associate Professors and Tenured and Tenure-Track Professors
Promotion***	To Professor in Visiting, Research, Clinical Specialist, or Professional Practice Series	Tenured and Tenure-Track Professors

*Faculty panels will not be required for personnel actions in the Laboratory School except as may be specified in the School's rules.

** Note that in view of the notice of nonreappointment requirements, the decision on the said "first reappointment" will take place during the sixth year—at least when the current appointment is not for a multi-year term.

***A faculty member holding a rank in the Visiting series at LSU who receives a promotion at his or her home institution may receive the corresponding change of rank within the series without the formal LSU promotion review process thus without faculty panel participation.

D. Sample Letter To External Evaluator

Dear [. . .]:

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

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

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

We request that your letter respond to the following points.

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

[*Include 2, 3 and 4 as applicable.*]

2. We seek to form an objective assessment of the candidate's scholarship [*Scholarship being defined in a broad sense (see PS-36-NT, Section IV), the wording here should be appropriate to the department*]. We wish to apply national standards, and we would be grateful if your letter addresses the matter in those terms. To that end, please consider responding to each of the following questions.

- (a) How widely, and to what degree is the candidate's work recognized?
- (b) What is the scope and significance of the candidate's program of work?
- (c) Does the candidate's record suggest promise for future growth as a [*scholar, or other appropriate wording, depending on the discipline*]?
- (d) How do the candidate's achievements compare with those of other persons when they were at the same career stage, who have received the corresponding promotion, in cases with which you are familiar?

3. Please assess the candidate's abilities as a teacher or expositor, if you are in a position to form an opinion. [*The wording here may be chosen to make it appropriate to the discipline.*]
4. Please assess the candidate's service to the profession, if you are in a position to have an opinion. [*The wording here may be chosen to make it appropriate to the discipline.*]
5. Provide any additional insights or advice that you believe should be considered as we make our decision.

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

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

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

Yours sincerely,