

**Policy and Procedure Document  
Virginia Institute of Marine Science  
William & Mary**

**Number:** PPD-1308  
**Subject:** Procedures and Criteria for Faculty Appointment, Evaluation, Retention, Promotion and Award of Tenure<sup>123456</sup> as carried out by the Committee on Faculty Status and Tenure Review  
**Policy Date:** May 22, 2024

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<sup>1</sup> The current revision incorporates language that brings the document into alignment with PPD 1302 on NTE appointments (approved by PRC 8 April 2013), Memo from Provost Halleran to Deans, dated May 24, 2013 entitled *Promotion and Tenure Files, Faculty Handbook* of William & Mary (2008), the *Bylaws of the Virginia Institute of Marine Science* (approved by the Procedural Review Committee of William & Mary, 15 April 2008); the *Policy and Procedures for Appointment of Research Faculty, Research Scientists and Post-Doctoral Scientists* (approved by the Procedural Review Committee of the College of William & Mary, 20 December 2007); Memo from Provost Feiss to Deans, dated September 7, 2006 entitled *Promotion, Tenure and Interim Reviews*. As stated in the *Faculty Handbook*, the content of the memo was endorsed by the Faculty Assembly on 25 April 2006. The memo can be found at: [http://www.wm.edu/about/administration/provost/documents/promotion\\_and\\_tenure.pdf](http://www.wm.edu/about/administration/provost/documents/promotion_and_tenure.pdf).

<sup>2</sup> The original Procedures and Criteria document was approved on 19 October 1979. It was revised on 19 November 1982; 8 August 1983; 23 May 1984; 22 August 1984; 19 February 1986; 21 May 1986; 21 May 1987; and 5 June 1997

<sup>3</sup> A draft (dated November 21, 2008) incorporated edits and comments of members of the FS&TR: Schaffner, Kuehl, Lipcius, Reece, Steinberg and minor edits to a previous version (FS&TR\_P&C\_draft\_(all FS&TR edits)\_090808.doc)

<sup>4</sup> A draft (dated February 25, 2009) incorporated edits and comments of all departments made via FC representatives: Biological (Smith and Seitz), EAAH (Shields), Fisheries (Sutton, Hoenig), Physical (Maa, Shen), FC Chair (Hershner).

<sup>5</sup> A draft (10 April 2013) included comments from the FC subcommittee. A final draft was produced by FS&TR (22 February 2018) and passed by vote of the FC on 7 Mar 2018).

<sup>6</sup> A draft (13 October 2023) included edits from the administration, FS&TR and FC in order to bring this PPD into alignment with the new organization at VIMS (from departments to sections). A final draft was voted on by the faculty on October 27, 2023 and approved by W&M's Personnel Policy Committee on May 22, 2024.

## **I. Purpose of the Committee**

The Committee on Faculty Status and Tenure Review (hereafter FS&TR) has been established by the Faculty of the Virginia Institute of Marine Science (hereafter Faculty and VIMS) to evaluate faculty performance and ensure faculty development. Evaluations for retention, tenure, promotion and post-tenure/post-promotion review are guided by the criteria, general policies and procedures described in William & Mary *Faculty Handbook* Section III.C., Procedures for the Evaluation of Faculty, VIMS Bylaws, and VIMS Policies and Procedures Documents (PPD-1302 and this document PPD-1308). At VIMS these reviews shall be conducted in accordance with the expectations of academic institutions in general (i.e., scholarship, teaching and mentoring, professional and advisory service), consideration of our mission and long-term goals, and recognition of the Institute's unique role within William & Mary (hereafter W&M or the University) as an advisory body to the Commonwealth of Virginia.

## **II. Authorization of the Committee on Faculty Status and Tenure Review in the Bylaws**

The *Bylaws* of VIMS (hereafter *Bylaws*) and the School of Marine Science (hereafter SMS) of W&M recognize and establish faculty appointments within VIMS. The *Bylaws* also stipulate the composition and duties of the FS&TR.

### **A. Composition**

Members of FS&TR must hold the rank of Associate Professor/Research Associate Professor or higher. The FS&TR consists of one tenured faculty member from each Section plus three additional members representing the Faculty at-large. Two of the at-large members will be tenured and one will be non-tenure eligible (NTE). The NTE member is not eligible to vote on evaluation of tenured or tenure-eligible (TTE) faculty. Members of FS&TR are elected and serve according to the procedures stated in the *Bylaws*. A majority vote of the eligible voting members of the committee is required for all committee actions. No FS&TR member shall vote on their own status or when they have a clear conflict of interest. Electronic voting is acceptable in cases where committee members are away from the institute.

### **B. Duties**

The FS&TR will undertake the following duties according to policies, procedures, and criteria approved by the Faculty, and the Dean/Director, reviewed by the W&M Procedural Review Committee, and ratified by the W&M Personnel Policy Committee:

- 1) Review the credentials of applicants for Faculty status and make recommendations regarding Faculty appointments, rank, and status to the Dean/Director, to be forwarded through the Provost and President to the Board of Visitors of W&M;
- 2) In accordance with established schedules, review the record of Faculty members and make recommendations to the Dean/Director regarding Faculty retention, promotion, the award of tenure, and when required, post-tenure/post-promotion review;
- 3) Review Faculty appeals of annual performance evaluations and provide findings and recommendations to the Dean/Director; and,
- 4) Establish and follow procedures for the appeal of its decisions by Faculty.

All actions of the Committee will be consistent with the provisions of the *Bylaws* and the *Faculty Handbook*.

### III. Fundamental Principles and Criteria for all Evaluations

#### A. General Principles and Criteria

VIMS faculty appointments are made on the basis of the strategic needs of VIMS with regards to research, education, and advisory service. Titles for persons in such appointments are Assistant Professor, Associate Professor, or Professor. (For the purposes of this document, we use the terms Assistant Professor, Associate Professor, or Professor to represent titles for full-time faculty at these ranks. Additional title modifiers may be required as per the *Faculty Handbook*.) Tenured and tenure-eligible Faculty (TTE) who are not full-time administrators are distinguished by an obligation to participate in the graduate education program. Non-Tenure Eligible (NTE) appointments are made on the basis of need with regard to the tripartite mission of VIMS. Individuals holding these appointments must have a level of independence and scholarship equal to that of the TTE faculty. Their responsibilities will be determined by their individual performance profiles (see PPD-1302, PPD-1304, and PPD-1310).

All faculty members, whatever their category of employment, shall be reviewed by FS&TR for initial appointment, retention, promotion, or tenure, if applicable, as specified by the *Faculty Handbook* and relevant VIMS/SMS policies and procedures. The criteria for evaluation are examined in relation to individual faculty profiles. These criteria are:

1. Possession of the professional education, experience and degrees appropriate for their duties;
2. Conscientious and effective teaching and mentoring;
3. Significant contributions to their fields through research and scholarly or creative activity, and through professional and advisory service;
4. Responsible participation in VIMS or W&M governance.

The *Faculty Handbook* states “Each case shall be judged on its own merits and not on comparisons with previous decisions.”<sup>5</sup> The FS&TR will treat each case individually, considering the category of employment and the particular strengths and interests of the faculty member (or potential faculty member) under review. All reviews should be conducted in a way that will foster a faculty member’s development throughout their career.

The level of achievement expected of candidates under review will naturally depend on the type of decision being evaluated: appointment, retention, promotion, or award of tenure. For all faculty, excellence is required in those areas that represent their primary commitments or responsibilities. However, individuals will not necessarily have equal commitments or responsibilities under each criterion. For all faculty, the expectations will be based on their profiles as outlined in their contract and as determined in consultation with the individual’s Section Chair and Center Director, if applicable, during the annual planning process. This profile will be shared with FS&TR.

An Assistant Professor should hold a terminal degree (usually the Ph.D.) in their field of specialization or have comparable research experience, and should demonstrate the potential for research, teaching, and advisory service commensurate with the expectations of the specific position. Promotion beyond this level should indicate that the candidate's potential as a scientist is being realized and that they are a valued member of the scientific community within VIMS and within their discipline. In addition, a Tenure-Eligible Assistant Professor is expected to teach and mentor students, and promotion above this level

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<sup>5</sup> William & Mary *Faculty Handbook* (2008), Section III.C.1.b  
Page 3 of 16

should indicate that the individual's potential as an educator is being fulfilled.

An Associate Professor should, in addition, have extensive experience in their research field, demonstrated success in directing the work of others, demonstrated significant scholarly activity, and be recognized at the national level for emerging leadership, service and scholarly contributions to their specialty. Tenured Associate Professors are further expected to have demonstrated experience in teaching and mentoring students, including as the major advisor.

A Professor should, in addition to the expectations above, have demonstrated outstanding and continuing scholarly activity in their field and be recognized at the national and international levels for significant leadership, service and scholarly contributions to that field. Tenured Professors are further expected to have extensive experience in teaching and will have demonstrated their value as a mentor to their students.

At each of the three ranks above, an expectation of teaching and mentorship may or may not apply to NTE faculty members, depending on their individual profiles. In addition, appointment to the Faculty should reflect a faculty member's commitment to faculty governance by participation on committees at VIMS or the University.

## **B. Comments on Evaluation Criteria**

### **Professional Background**

Degrees: For Assistant Professor and above, the Ph.D. degree or equivalent is normally expected. Under conditions of demonstrated exceptional contributions over a sustained period, the normal degree requirements may be waived.

### **Conscientious and Effective Teaching**

Teaching: All elements of teaching (both undergraduate and graduate) will be evaluated including an individual's course materials and progress in mentoring and student guidance. In addition, both faculty and student evaluations of the effectiveness of their teaching and advising will be considered. These evaluations will be summarized in letters to the FS&TR from the Section Chair and Associate Dean for Academic Affairs. Teaching is defined as contributing to the curriculum in a classroom, seminar, or field setting. Mentoring is defined as consistent and substantial service as an academic advisor, especially as a major professor. Committee service is a component of mentoring and is considered in evaluations.

### **Significant Contributions through Research, Advisory and Professional Service**

Professional Communication: Professional communication of the results of research to the scientific community is essential to the scientific enterprise. Such communication influences not only the stature of the faculty member but also that of VIMS and the University as a whole. Publication in refereed media is the appropriate end-product of research and scholarship (see also PPD-1304).

Advisory Work: Service to the Commonwealth means service to the Commonwealth's agencies, Governor's Offices and General Assembly, regional agencies that include Virginia, local governments, industry, public interest groups, and the general public. Advisory service can be measured in terms of advisory publications, reports, effort or other products. An evaluation of the candidate's contributions to advisory work will be summarized in letters to the FS&TR from the Section Chair and Associate Dean for Research & Advisory Service.

Professional Service: VIMS faculty engage in service to regional, national and international government

agencies and to industry, public interest groups and the general public outside of the Commonwealth. Service to regional, national and international scientific review and policy boards and professional organizations, as a board member or elected officer, enhances the stature of VIMS and the University as a whole.

Leadership in one's field is a key criterion for promotion. Leadership and recognition in one's field can be displayed at many levels and include several benchmarks such as the number of first, sole, or co-authored papers published during the evaluation period, number of grants received as principal or co-principal investigator, participation and presentations at national and international meetings and panels, organization of sessions, workshops and meetings, invitations to speak at meetings and symposia, participation as an editor or associate editor for scientific journals and publications, participation as a reviewer for national and international funding agencies (NSF, NIH, EU Science Directive, etc.), organization of research, advisory or educational programs, and similar activities.

### C. Sources of Information for Faculty Evaluations

The sources of information submitted by the faculty member are:

1. A **Narrative Statement** of approximately three pages. This document should highlight the individual's overall goals and accomplishments as a faculty member with respect to teaching, research, and service (both professional and advisory), and future plans in all three areas. Because profiles vary within VIMS and between institutions, the narrative should include a summary of the profile of the candidate over the period of evaluation.
2. **Planning Letter** and **Self-Evaluation** from the most recent annual review cycle. These are only used for FS&TR review, they are not distributed to any other external or internal reviewers.
3. **Curriculum Vitae** in W&M/VIMS format.
4. A **List of External Reviewers** (minimum of six and maximum of eight peers or clients). These must not include collaborators or colleagues with a conflict of interest (see below).
5. A **List of Students and Post docs** mentored, with their contact information (Candidates may include all students they have mentored, including high school, undergraduate, and graduate students for which they have served as a member of their committee or as their major advisor. Comments will primarily be solicited from students for which the candidate has served as major advisor, but may be solicited from any students and postdocs listed.)
6. **Copies of Publications as .pdf documents** (since appointment or previous promotion).

In addition, the FS&TR may request other relevant materials that relate to a faculty member's professional activities, which are not listed above. Only items 1-3 are included for the interim review. The committee will solicit opinions of external reviewers, Associate Dean for Academic Affairs (based on the candidate's profile), Associate Dean of Research and Advisory Services, the faculty member's Section Chair, other members of the Section, the Faculty of VIMS at large, and present and former students.

External reviewers should come from programs, institutions or agencies of a quality commensurate with the reputation and standards of the University. Letters should be solicited whenever possible from individuals at or above the rank to which the candidate is being promoted.<sup>6</sup> Letters should not be solicited from individuals with whom the Candidate has a professional or personal relationship such that it would cast doubt upon the objectivity of the reviewer.<sup>7</sup> Approximately three (3) of the external reviewers will be selected from the list submitted by the individual, and an additional three (3) will be professional peers and clients in the faculty member's field, but external to the University faculty, who

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<sup>6</sup> Memo from Provost Feiss to Deans, dated September 7, 2006

<sup>7</sup> Memo from Provost Halleran to Deans, dated May 24, 2013

are known to the FS&TR.<sup>8</sup> A minimum of four (4) external letters are required by the Provost, but all letters received will be included in the candidates package.

Reviewers chosen by FS&TR are selected based on expert opinion of committee members, evaluation of the potential reviewers' CVs and available publications, and by their availability to undertake the evaluation. The Section representative on FS&TR often leads the development of a list of additional reviewers for members of their Section. The selection process also entails citation searches of the candidate's publications, discussion of reviewers selected by the candidate, discussion of external reviewers selected by members of FS&TR, and consensus reached for the final list of reviewers after their evaluation.

The *Curriculum Vitae* will include the information listed below, following the same format used by W&M during the annual evaluation process.

1. Professional Background

Professional Training:

Degrees

Present Rank and Date of Appointment

Total Experience:

Previous Faculty Experience

Previous Non-Faculty Experience

2. Honors and Awards

3. Conscientious and Effective Teaching in Degree-Related Programs (note: profile-dependent for NTE Faculty)

Instruction:

Sole Instructor

Lecture Courses

Seminar Courses

Directed Readings Courses

Team Teaching

Occasional Lectures

Research and Educational Guidance (Extent and Quality):

Major Professor or Advisor - Undergraduate, M.S., Ph.D. Committee

Within Field

Out of Field

Committees at Other Universities

Student Evaluations

Educational Services:

University-Level Programs (outside of W&M)

Elementary and Secondary Level Programs

Public -At Large (separate from Development Office activities)

4. Significant Contributions Through Research and Advisory/Professional Service

Professional Communications:

Refereed Publications in Journals

Conference Proceedings

Books and Contributions to Books

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<sup>8</sup> Per the September 2006 memo from Provost Feiss, and September 2013 memo from Provost Halleran, to Deans, review committees for tenure and promotion shall provide Candidates with access to the reviews if requested, but will redact the name of a reviewer and any other information that might identify the reviewer.

- Distributed Non-review Publications
- Conference Proceedings, Virginia Institute of Marine Science papers in Marine Science
- Other Virginia Institute of Marine Science Publication Series
- Oral Presentations (documentation of such activities should be available)
- Society Meetings with Published Abstracts
- Presentations without Published Abstracts
- Invited Presentations (documentation should be available)

Advisory Work:

- Service to the Commonwealth, include information on effort and products resulting from this work

Professional Service:

- Service to the Nation
- International service

Professional Service Related to Research:

- Review of Manuscripts for Journals
- Grant Proposal Review
- Appointments to National or International Review and Policy Boards
- Appointments as Editor or Associate Editor of Peer-Reviewed Journals
- Appointments or Elected Positions in Professional Organizations

Research Administration:

- Project Administration
- Grant/Contract Initiation
- Contract Reports (significant final reports only; where possible, include information on any outcome resulting from the product)
- Principal Investigator Status

5. Responsible Participation in Section, School and University Governance

- Academic Administration
- Committee Activity (Elected and/or Appointed)
- Virginia Institute of Marine Science
- School of Marine Science
- William & Mary

**D. Minimum Terms**

To determine the sustained level of productivity of a faculty member, the normal minimum term before review for promotion to Associate Professor is five (5) years, whereas for review for promotion to Professor, a minimum term of six (6) years at the Associate Professor level is normally required. Time in service on the faculty at other institutions may be considered in recommendations for initial faculty status for new faculty members who have outstanding faculty experience. Per W&M Faculty Handbook section III.C.b.ii.(A).(2), reduction of the minimum time criterion may be requested by a faculty member following the timeline outlined by the Provost's office. To do so, the faculty member should submit a written request for early review to the Dean & Director, who will consult with FS&TR and the faculty member's Section Chair and submit a recommendation to the Provost's office for final approval/denial of early review.

The *Faculty Handbook* states the following with respect to the timing of the tenure review for Assistant Professors: "Per AAUP guidelines, the probationary period for a faculty member in a full-time position shall not exceed seven years, including full-time service at another accredited institution of higher learning..." except as noted in Section III.C.1.ii of the *Faculty Handbook*.

## E. Evaluation Schedule

To ensure that all evaluations for tenure, promotion, and interim reviews are performed at the proper time during the annual cycle, the FS&TR has established the following three timetables (all dates reflect the desired schedule of considerations):

Table 1. Timetable for promotions to Associate Professor and cases involving tenure decisions.

<b>Date</b>	<b>Procedure</b>
Mid-January	Office of Dean/Director notifies faculty members that are subject to promotion and/or tenure review during the coming academic year <b>AND</b> sends a list of faculty eligible for promotion to and/or tenure review in the coming academic year to the FS&TR and the Section Chairs
Late-January to Late-April	Section Chairs and Center Directors, if applicable, will discuss the intentions of the eligible candidates during the annual evaluation process
1 <sup>st</sup> week of June	Office of the Dean/Director sends letter to candidates requesting evaluation materials for promotion to Associate Professor and/or tenure
1 <sup>st</sup> week of July	Evaluation materials due to the Office of the Dean/Director; Office of Dean/Director will distribute materials to Section Chairs and Chair of FS&TR
Mid-July	Section Chairs will hold a meeting of faculty within their section and vote on each candidate's application and will notify the candidate of the results.
Late-July	Section Chair provides FS&TR written results of section discussion and vote (note: votes must be recorded) <b>AND</b> FS&TR provides the Office of the Dean/Director with the names and contact information for external evaluators
1 <sup>st</sup> week of August	Office of the Dean & Director sends evaluation package to internal (Associate Deans for Academic Affairs and Research & Advisory Services, and faculty at large) and external evaluators, and requests comments from current and former students/postdocs
1 <sup>st</sup> week of October	Receipt of internal and external evaluation letters
3 <sup>rd</sup> week of October	Draft FS&TR decision letters forwarded to candidates (at least 10 working days before final letter forwarded to Dean/Director)
Mid-November	FS&TR sends final recommendation and Associate Professor/tenure packages to the Dean/Director
Mid-December	Dean/Director sends decisions and Associate Professor/tenure packages to Provost
February	Board of Visitors makes decision on Associate Professor promotion and tenure cases



Table 2. Timetable for promotion to Professor

Date	Procedure
Mid-January	Office of Dean/Director notifies faculty members that are eligible for promotion review during the coming academic year <b>AND</b> sends a list of faculty eligible for promotion to Professor in the coming academic year to the FS&TR and the Section Chairs
Late-January to Late-April	Section Chairs and Center Directors, if applicable, will discuss the intentions of the eligible candidates during the annual evaluation process
Mid-July	Office of the Dean/Director sends letter to candidates requesting evaluation materials for promotion
Mid-August	Evaluation materials due to the Office of the Dean/Director; Office of Dean/Director will distribute materials to Section Chairs and Chair of FS&TR
Early-September	Section Chairs will hold a meeting of the faculty within their section and vote on each candidate's application for promotion to Professor and will notify the candidate of the results.
Mid-September	Section Chair provides FS&TR written results of section discussion and vote (note: votes must be recorded) <b>AND</b> FS&TR provides the Office of the Dean/Director with the names and contact information for external evaluators
Mid-September	Office of the Dean & Director sends evaluation package to internal (Associate Deans for Academic Affairs and Research & Advisory Services, and faculty at large) and external evaluators, and requests comments from current and former students/postdocs
1 <sup>st</sup> week of December	Receipt of internal and external evaluation letters
Mid-January	Draft FS&TR decision letters forwarded to candidates (at least 10 working days before final letter forwarded to Dean/Director)
1 <sup>st</sup> week of February	FS&TR sends final recommendation and promotion package to the Dean/Director
1 <sup>st</sup> week of March	Dean/ Director sends decisions and promotion package to Provost
April	Board of Visitors makes decision on promotion to Professor cases

Table 3. Timetable for Interim reviews.

Date	Procedure
Mid-January	Office of Dean/Director notifies faculty members that are subject to interim review during the coming academic year <b>AND</b> sends a list of faculty up for interim review in the coming academic year to the FS&TR and the Section Chairs
Late-January to Late April	Section Chairs and Center Directors, if applicable, will discuss the interim review with the faculty member during the annual evaluation process
Mid-August	Office of the Dean/Director sends letter to candidates requesting materials for interim review
Mid-September	Interim review materials due to the Office of the Dean/Director; Office of Dean/Director will distribute materials to Section Chairs and Chair of FS&TR
Early-October	Section Chairs will hold a meeting of the faculty within their section and vote on retention or to terminate the faculty member's appointment and will notify the candidate of the results.
Mid-October	Section Chair provides FS&TR written results of section discussion and vote (note: votes must be recorded)

1 <sup>st</sup> week of November	Office of the Dean & Director sends interim review package to internal (Associate Deans for Academic Affairs and Research & Advisory Services and faculty at large) reviewers (Note: external letters and comments from current and former students/postdocs are <b>not</b> requested for interim reviews)
1 <sup>st</sup> week of December	Receipt of internal evaluation letters
Mid-January	Draft FS&TR decision letters forwarded to candidates (at least 10 working days before final letter forwarded to Dean/Director)
Mid-March	FS&TR sends final recommendation and interim package to the Dean/Director
Mid-April	Dean/Director sends interim review materials to Provost

#### **IV. Evaluation Procedures for Appointment, Retention, Promotion, and Award of Tenure**

##### **A. Initial Appointment to the Faculty of the Virginia Institute of Marine Science**

All nominees for an initial appointment to the VIMS Faculty shall be reviewed before release of the “Letter of Intent to Employ” or any other official offer of appointment. The Dean/Director shall, before the offer of appointment, forward to the FS&TR all materials pertinent to evaluation of the candidate selected for any position, including but not limited to the curriculum vita, description of prior research and academic experience (as indicated in the cover letter and/or candidate statement provided as part of the application packet), and letters of recommendation that were collected by the Search Committee along with any proposal for initial status or award of tenure. The FS&TR shall, within ten (10) working days, review these materials, and develop a recommendation by majority vote. The FS&TR shall forward to the Dean/Director its recommendation (including any minority views) regarding rank and status, noting any specific recommendations regarding any required probationary period before the award of tenure, tenure review, or promotion. In the event that the recommendation of the Dean/Director differs from that of the FS&TR, the Dean/Director shall meet with the FS&TR to discuss and resolve the difference before releasing the letter. The Dean/Director and FS&TR should attempt to reach a consensus at this time.

Based on the recommendation of the FS&TR and the Dean/Director regarding rank and tenure, the Letter of Intent to Employ or other contractual agreement will clearly state the rank and type of appointment offered, the amount of prior service (if any) credited toward tenure or promotion, and the year for the interim review by FS&TR (accounting for prior service credited toward tenure or promotion). Although VIMS recognizes prior service at other institutions of higher learning, and may give credit for such service, the Dean/Director in consultation with FS&TR reserves the right to require a probationary period of employment before an award of tenure or promotion recommendation is forwarded to the Provost. For faculty members with short periods of probation based on credit for academic employment elsewhere, the Dean/Director's Letter of Intent to Employ will indicate the schedule for an interim review unless a tenure or promotion review is scheduled during the first three years of service at VIMS.

During the first annual evaluation of a newly hired member of the Faculty, the Section Chair will review with them the procedures for retention, promotion and the award of tenure, including the general principles and criteria used to evaluate faculty performance as outlined in this document.

##### **B. Reviews for Retention, Promotion, and Award of Tenure**

Unless otherwise noted, the same procedures and review processes are used for evaluation, retention and promotion of both TTE and NTE Faculty. The first review, or interim review, following initial appointment shall occur no earlier than the fourth semester and no later than the sixth semester of the appointment, unless another period is stipulated in the Letter of Intent to Employ and initial contract, or unless a tenure or promotion review is scheduled within the first three years of the appointment. The

purpose of the interim review is to assess each faculty member's progress toward and potential for a positive promotion or tenure decision, and may result in a recommendation for improvement or a recommendation against retention. The FS&TR shall review all materials received and develop a recommendation for improvement, retention, or other actions. FS&TR shall then provide a draft copy of the evaluation and recommendation to the candidate at least ten (10) working days before submission of the final recommendation to the Dean/Director and Section Chair.

In most situations the second review, or promotion review, following initial appointment shall occur at the beginning of the fifth year of employment. The purpose of the review is to evaluate the individual for promotion to Associate Professor and, for TTE faculty, the award of tenure. Note that the conditions for extension of the promotion or tenure review time period are outlined in the *Faculty Handbook* III.C.1.b.ii.(A).(1). Requests for extension of the tenure review period must be made following the timeline established by the Provost (typically, prior to March 15 of the year in which the review for tenure is to occur and certainly before any actions have been taken in the tenure review process). In rare cases, the faculty member, may initiate an earlier review for promotion or tenure in advance of the scheduled review date. Per W&M Faculty Handbook section III.C.b.ii.(A).(2), reduction of the minimum time criterion may be requested by a faculty member following the timeline outlined by the Provost's office. To do so, the faculty member should submit a written request for early review to the Dean & Director, who will consult with FS&TR and the faculty member's Section Chair and submit a recommendation to the Provost's office for final approval/denial of early review.

On or about 15 January each year, the Dean/Director shall notify those individuals who are subject to retention, promotion and/or award of tenure review during the coming academic year. The Dean/Director will also notify FS&TR and the appropriate Section Chairs prior to the annual evaluation cycle. Section Chairs should discuss the retention, promotion and tenure review processes and expectations with faculty members as part of the annual evaluation process. Faculty subject to retention, promotion or tenure review shall be given written notification by the Dean/Director following the timeline outlined above. The notices shall include a request for materials required for review as stipulated in this document.

The faculty member to be reviewed (hereafter Candidate) shall submit to the Dean/Director all requested materials (see list in III, B; other materials may be provided as deemed appropriate by the Candidate) according to the timelines in Tables 1 to 3. With the exception of the interim review, a list of external reviewers (see section 3.C.) is required with the review materials submitted by the Candidate. Reviewers should be from programs, institutions or agencies of a quality commensurate with the reputation and standards of W&M<sup>9</sup>. Reviewers should not have a conflict of interest with the Candidate. It is the responsibility of each Candidate to respond to the request in accordance to the stipulated timeline; failure to do so may result in no action being taken by the Section or the FS&TR Committee. The Dean/Director will distribute evaluation materials to the Section Chair and Chair of FS&TR.

Following the timelines in Tables 1 to 3, the Section Chair will send a copy of the materials submitted for review by the Candidate (CV, narrative, and publications only, excluding the list of external reviewers and students/postdocs and the annual planning letter and self-evaluation), to the faculty of the Section. Faculty within the Candidate's Section will meet to discuss the merits of the Candidate, and faculty of equal or higher rank will indicate by voting whether they support retention, promotion or the award of tenure. NTE faculty may not vote on promotion or tenure of TTE faculty. However, NTE faculty at the appropriate rank may vote on the promotion status of other NTE faculty. The Associate Deans and Dean/Director will not participate in the Section discussion or vote since they evaluate the candidates and provide recommendations on retention/promotion/award of tenure separately.

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<sup>9</sup> Provost Feiss's memo to Deans, September 2006, and Provost Halleran's memo to Deans, May 2013  
Page 11 of 16

After the discussion, the Section Chair will summarize in writing the Section's vote tally and recommendation for the Candidate and FS&TR. If the majority of those faculty eligible to vote do not support retention, promotion or the award of tenure, the Candidate will be notified by the Section Chair with the vote tally as indicated below. For promotions not involving tenure (i.e., promotion from Associate to Full Professor), the candidate has the option to withdraw their application at this time. However, the Candidate may also request that their materials be reviewed by FS&TR in full knowledge of the Section discussion and vote. All Candidates due for consideration of retention, promotion to Associate Professor or award of tenure will be reviewed. The Section Chair is responsible for forwarding a letter stating the vote of the Section to the FS&TR according to the timeline in Table 1 to 3. The Section Chair's letter should contain the faculty vote tally, an evaluation of the candidate's teaching and research abilities, and the Section's recommendation for or against promotion. Because the vote tally is shared with the candidate, the Chair may also provide a separate letter if a more candid assessment of the candidate's abilities is needed.

FS&TR will select the external reviewers and send the names to the Dean/Director by the times specified in Tables 1 to 3. Materials for promotion and tenure reviews (Candidate's CV, narrative statement, and publications, as well as an overview for reviewers of FS&TR guidelines for tenure/promotion) will then be sent to external reviewers. The external reviewers will be asked to evaluate the candidate's effectiveness in the areas of research, teaching and advisory service. At the same time, FS&TR will also make each Candidate's CV, narrative and publications available to internal reviewers (Associate Dean for Academic Affairs, Associate Dean of Research and Advisory Services, and the VIMS Faculty at large) and will seek their comments on the Candidate's suitability for promotion and tenure. FS&TR will also solicit comments from current and former students and postdocs, except in the case of interim reviews.

The FS&TR shall review all materials received and develop a recommendation by majority vote. Tenured faculty of equal or higher rank will indicate by voting whether they support retention, promotion or the award of tenure on a case-by-case basis. NTE faculty on FS&TR may not vote on Tenured or Tenure-eligible promotions. However, NTE faculty at the appropriate rank may vote on the promotion of NTE faculty. FS&TR shall then provide to each Candidate a draft copy of the evaluation and recommendation at least ten (10) working days before submission to the Dean/Director.

If the Candidate believes that the decision was based on inadequate consideration, they may within ten (10) working days of receipt of the draft evaluation and recommendation from the FS&TR, request in writing further review. They may submit additional materials as appropriate, and comments solicited from additional peers. Upon the written request and submission of additional materials, the FS&TR shall undertake a timely review (generally within 10 working days) and notify the Candidate of the results. If the review action by the FS&TR does not satisfy the affected faculty member, they may make written request for an appearance before the committee and the Dean/Director. Within five (5) working days following the special meeting, the FS&TR shall deliver its final written recommendation (and any minority views) to the Candidate and Dean/Director. Both the committee's vote and the date of that vote will be recorded.

The Dean/Director shall review the final written recommendation of the FS&TR and the recommendations from the Section. If a difference exists between reports, the FS&TR and the Dean/Director shall meet to discuss and attempt to resolve them. The Dean/Director shall then forward their written recommendation to the Provost of the University along with the FS&TR evaluation and recommendation document and other supporting documentation, including copies of the letters sent to external reviewers, a CV for each external reviewer and an explanation of how the reviewers were chosen.

For NTE and TTE faculty, in the case of a negative decision on retention, tenure, or promotion to Associate Professor, termination of faculty appointments at VIMS will follow the procedures outlined for

TTE faculty in the *Faculty Handbook* Section III.C.1. Appeals of recommendations by the FS&TR or the Dean/Director are permitted on procedural grounds as described in the *Faculty Handbook* Section III.C.1.d.

To comply with deadlines for faculty contracts and termination notices as set forth in the current *Faculty Handbook*, the final dates by which all reviews shall be completed and recommendations forwarded to the Dean/Director are outlined in the timetables given above (Tables 1-3).

#### **V. Evaluation Procedures for Post-Tenure/Post-Promotion Review**

NB: Except as noted, this next section is derived almost unchanged from the 2008 Faculty Handbook; minor edits have been made to tailor it to VIMS specifics in terms of administrative units and document names.

As stated in the *Faculty Handbook*, the purpose of this review is “to provide a mechanism for faculty peers to review and evaluate a colleague’s work and to assist those faculty members whose performance is found to require improvement” Post-tenure/post-promotion review at VIMS is conducted in accordance with the standards and procedures outlined for “post-tenure review” in Section III.C.1.c of the *Faculty Handbook*.

At VIMS, post-tenure/post-promotion reviews are conducted when the Section Chair determines, based on annual merit reviews, that a faculty member’s performance during the most recent three-year period has been unsatisfactory overall. The post-tenure/post-promotion review is conducted by FS&TR. This review shall commence by or before the beginning of the next academic year and be completed by the end of the fall semester. The basic standard for appraisal shall be whether the faculty member under review discharges conscientiously and with professional competence the duties appropriately associated with their position.

Post-tenure/post-promotion reviews shall result in a determination of either “satisfactory overall performance” or “unsatisfactory overall performance.” The FS&TR will consider a current curriculum vitae and annual review materials, including the annual planning and narrative statements prepared by the faculty member, as well as the annual evaluations from the Section Chair for the period under review. The FS&TR’s review will approximate the detail of tenure or promotion reviews. While external reviews are not required, the FS&TR will seek external reviews when either they or the faculty member considers it appropriate. The FS&TR shall review all materials received and develop its review by majority vote.

The FS&TR shall submit the report of its findings to the Section Chair and to the Dean/Director. Where appropriate, the Section Chair may request additional information or may append comments to the report; they shall evaluate the performance as “satisfactory overall” or “unsatisfactory overall” and submit the report to the Dean/Director. The Dean/Director may also request additional information or append comments.

- Where the FS&TR, the Section Chair and the Dean/Director are in agreement that the performance is “satisfactory overall,” the decision is final. The Dean/Director shall forward a report to the Provost for their information.
- Where the FS&TR, the Section Chair and the Dean/Director are in agreement that the performance is “unsatisfactory overall,” the decision is final, subject to appeal as described below. An “individual improvement plan” shall be developed according to the procedures set forth below, and the Dean/Director shall forward a report to the Provost for their information.
- Where the FS&TR, the Section chair and/or the Dean/Director disagree, the Dean/Director shall forward the reports to the Provost for decision.

A faculty member who receives a finding of “unsatisfactory overall performance” may pursue a grievance according to the procedures set forth in Section III.G. of the *Faculty Handbook*.

When a faculty member’s post-tenure/post-promotion review results in a finding of “unsatisfactory overall performance,” the faculty member, in consultation with FS&TR, the Section Chair and the Dean/Director, shall develop an “individual improvement plan” to address the area(s) of deficiency. This plan must be submitted, in writing, by the faculty member within 10 working days after the final decision of “unsatisfactory overall performance”. The plan must be submitted and acceptable to the FS&TR, the Section Chair and the Dean/Director. Unless, upon the recommendation of the Dean/Director, the Provost grants an extension, the plan must be accepted no later than forty-five (45) calendar days from the date the faculty member receives notice of a finding of “unsatisfactory overall performance” as determined under the provisions of Section III.C.1.c. above, or forty-five calendar days from the date the faculty member receives notice that an appeal of such a finding has been denied, whichever last occurs. Where agreement cannot be reached, the final determination of whether or not an “individual improvement plan” is acceptable ultimately belongs to the Dean/Director; however, in deciding whether or not to approve the plan, the Dean/Director shall apply the standards of the specific program, section, and/or school for “satisfactory overall performance.” A copy of the approved plan shall be included in the faculty member’s personnel file.

If a faculty member fails to submit within ten (10) working days and in writing an acceptable improvement plan, the Dean/Director, after consulting with FS&TR and the Section Chair may seek impositions of sanctions, including dismissal for misconduct or neglect of duty in accordance with Section III.F.4. of the *Faculty Handbook*. Sanctions (excepting dismissal) do not obviate the need for improvement in performance; the Dean/Director shall also order revision and resubmission of the performance plan.

The guidelines for follow-up reviews will be as detailed in the *Faculty Handbook* Section III.C.1.c.ii.

Insuring the integrity of the post-tenure/post-promotion review process is a duty of the Provost. To that end, the Dean/Director shall present an annual report to the Provost about the functioning of the post-tenure/post-promotion review process at VIMS. In addition to the duties described above and in Section III.C.1.c.ii of the *Faculty Handbook*, the Provost may grant an extension of any deadline in the process upon recommendation of the Dean/Director; the Provost also has the authority to postpone the review process for an individual faculty member if the Provost decides that it is in the University’s interest to do so.

## **VI. Review of Faculty Appeals of Annual Performance Evaluations**

Annual performance reviews of faculty members are an administrative matter involving the individual, the Section Chair, and the Dean/Director. In order to provide faculty members with a route of appeal within VIMS, the *Bylaws* stipulate that the FS&TR will “review faculty appeals of annual performance evaluations and provide findings and recommendations to the Dean/Director.”

In the event that a faculty member cannot resolve a dispute with the Dean/Director arising from an annual evaluation, they shall notify the Dean/Director in writing of their desire for an independent review by FS&TR. The Dean/Director shall, within five (5) working days, submit to the FS&TR all documentation about the annual review and a statement of the basis for their position. The faculty member shall, simultaneously, submit materials that support their position in the dispute.

The FS&TR shall within ten (10) working days, assess the merit of the appeal. If appropriate, the FS&TR may solicit additional materials that pertain to the issues of dispute. Based on a review, the FS&TR shall, by majority vote, provide a report and recommendations to the faculty member and the Dean/Director. In

the event that the Dean/Director does not concur with the evaluation, they shall meet with the FS&TR and the faculty member to discuss the issues. The committee shall then, by majority vote, produce a final report to be forwarded to the individual and the Dean/Director. The Dean/Director may use this report as the basis for a revision of the annual performance review. The report will become part of the permanent record of the faculty member.

### **VIII. Committee Records**

The originals of all materials provided for review and all memoranda of recommendation to the Dean/Director shall be retained in the official records of VIMS/SMS under the custodial care of the Dean/Director.

**Confidentiality:** It is essential that records of all proceedings of the FS&TR and all review materials shall remain confidential. Following the Virginia Freedom of Information Act, all written materials with respect to a particular faculty member shall be available to that faculty member upon request. External reviewers are notified of this potential request. Copies of materials submitted for review may be distributed to a FS&TR member during a review and shall be held in the strictest confidence. Any duplicate materials shall be returned to the FS&TR Chair upon completion of the review and shall be destroyed immediately. Only the original review materials shall be retained as a record of FS&TR action as stipulated above.

**Record Storage and Retention:** Documentation associated with cases for promotion, tenure, and retention shall be placed in the official records of the Institute under the custodial care of the Dean/Director. Records will be maintained in accordance with all federal and state regulations.