

## **4. FACULTY EVALUATION**

### **4.1. FACULTY PERFORMANCE CRITERIA AND EVALUATION MODEL**

Faculty performance criteria at Missouri State University are based on the purpose and mission of the institution. The general mission of the University, in relation to its faculty, is the advancement of learning, scholarly inquiry, and service, but this translates, in terms of its students, to the single purpose of developing educated persons. To accomplish this, the university's mission includes cultivating advanced knowledge and practices and serving its constituents. The specific public affairs mission of the university further enhances its purpose to include fostering the ideals of democratic responsibility among scholars at every level. The University honors the principles of academic freedom, academic excellence, diversity in scholarly and cultural perspectives, and equal opportunity.

Faculty members with standard appointments (not clinical or research faculty; refer to Sections 4.3 and 4.4) are evaluated in three categories of performance: teaching, research, and service. Clinical faculty members are evaluated in clinical education and service. Research faculty members are evaluated in research and service. This Section outlines the evaluation models and criteria for tenure, promotion, and performance reviews. These processes result in different outcomes, and the criteria for tenure and promotion are differentiated for all types of faculty appointments. The evaluation processes are specified in Section 4.6. Performance reviews are mission-related and should be consistent with tenure and/or promotion decisions. The criteria used for evaluation in each category are based on specific elements in the university's mission as specified below. All policies and procedures described herein for departments apply to any academic unit that has primary faculty evaluation responsibilities, for example, a school.

### **4.2. EVALUATION OF FACULTY WITH STANDARD APPOINTMENTS**

Faculty members are expected to be actively engaged in teaching, research, and service throughout their careers, but the University recognizes that, at different times, faculty members may shift emphasis from one category to another. It is generally expected that during the probationary period the emphasis should be on teaching and research and that at any time during one's career at Missouri State University, each faculty member must negotiate his or her workload with the Department Head (within broad University parameters approved by the Provost), with the conditions of employment laid out clearly at the time of employment, and adjusted thereafter through negotiation with the Department Head and Dean as approved by the Provost (refer to Section 4.6.5). The obligations of the academic unit should not fall disproportionately on one segment of the faculty. The faculty are also expected to adhere to standards of ethical conduct in all areas of performance (refer to Section 3.1).

#### **4.2.1. *TEACHING***

##### **4.2.1.1. *TEACHING MISSION***

The teaching mission at Missouri State University is to develop educated persons. In doing so, the University is committed to standards of excellence and academic integrity. An educated person:

- is someone who is literate in the broadest sense,
- has an appreciation of the responsibility of lifelong citizenship and an awareness of global issues,
- seeks solutions to problems by means of a broad base of knowledge, as well as in-depth mastery of at least

- one specific academic discipline,
- has the skills and motivation to continue to learn after leaving the university, thus being prepared from both lifelong learning and lifelong productivity.

In support of developing educated persons, the University seeks to provide high-quality education that is accessible to a broad spectrum of individuals, including those facing challenges involving distance, income, or disability. Furthermore, in recognizing the value of an open and free exchange of ideas, Missouri State University promotes diversity in all of its forms as a means to provide a wide variety of sources of knowledge and perspectives.

#### ***4.2.1.2. GOALS AND CRITERIA FOR EVALUATING TEACHING***

The following goals and criteria are the basis of evaluating faculty members' teaching effectiveness for tenure and promotion and for required performance reviews (refer to Section 4.2.1.3 for recommended methods of documenting teaching effectiveness). Please note that item 1 below is of paramount importance on this list, and that any faculty member, in order to succeed as a teacher at Missouri State University, must succeed in the areas of item 1 relevant to his or her teaching. Although items 2 a, b, c, and d are not individually prescriptive, they are inclusive of teaching and may be considered. Success in one or more of these areas, or related areas of equal weight, is required to attain tenure and promotion to Associate Professor. Sustained success in one or more of these areas is required for promotion to full Professor.

##### **1. Developing Educated Persons**

Success in this area both describes successful teaching at this university and is a prerequisite for tenure and promotion

- a. Faculty members meet this goal when they demonstrate their effectiveness in cultivating students' knowledge base and skills both basic and specialized within a specific discipline.
- b. Faculty should strive to make explicit the relationship between the general education curriculum and various disciplinary curricula so students can integrate their acquired knowledge and skills for lifelong application.
- c. Evidence of continuing professional development also contributes to this goal.

##### **2. Exceptional Modes or Qualities of Teaching**

The specifics in this area need to be described in writing by the department from the beginning of employment, with any exceptions dependent on negotiation between the faculty member and the Department Head and the Dean, as approved by the Provost.

###### **a. Outstanding Performance as a Classroom Teacher**

Beyond basic effectiveness as a teacher, outstanding performance may be evidenced by judgments made by students, peers, administrators, and colleagues with appropriate academic expertise. Further evidence may include external recognition for outstanding preparation of students for professional fields, and students receiving external recognition for outstanding work produced in the course.

Such evidence may also include noteworthy research work done with undergraduate and/or graduate students, noteworthy work in student advisement, and internal or external grants to support innovative teaching.

###### **b. Experiential Learning**

While it is expected that all of our teaching efforts contribute to developing citizen scholars, special efforts in this

regard may be used to meet this goal. Faculty should provide evidence of service learning components in their courses or provide evidence for other structured activities that apply the course material to social issues, problems, tasks or enhancement.

c. Accessibility

The criterion for this goal refers to efforts to increase accessibility to education beyond one's typical assignments. These may include, but are not limited to, offering distance learning, online courses, public lectures or workshops, working with the community and public schools in providing access to education, developing educational materials that address accessibility issues.

d. Diversity

Special efforts to bring diversity to students' educational experience might include inviting guest speakers who offer diverse viewpoints, taking students to locations where they will be exposed to an unfamiliar environment, and requiring students to seek out diversity as part of their course requirements.

**4.2.1.3. DOCUMENTING TEACHING EFFECTIVENESS**

There are two primary components to documenting teaching effectiveness: Instructor inputs and student outcomes. Everything that contributes to or derives from a teaching/learning experience should address one or more of the criteria above. The following table identifies input/ output elements and possible sources for documentation. The table below is not prescriptive, but offers faculty examples of ways to document teaching effectiveness. Student teaching evaluations can only be used for a maximum of 50% of the weight of evaluation in this area. Departments can refine these suggestions as appropriate for specific disciplines and a faculty member's specific job assignment. Only department and college administered hardcopy or online student evaluations may be used in the evaluation of annual review of appropriate progress toward tenure, tenure review, promotion, and annual performance review.

<b>INPUTS AND OUTCOMES</b>	<b>DOCUMENTATION</b>
Instructor Inputs (developing educated persons)	
Clear identification of outcome goals in terms of knowledge and skills	Syllabi and assignment statements
Clear identification of relevance of courses to both major study and general education	Syllabi and assignment statements
Practiced and pedagogically informed delivery of course content	Teaching portfolio, evidence of professional development, peer evaluations
Up-to-date content and materials	Syllabi, sample materials (with explanatory narrative in dossier), curricular grants, development of new courses
Quality organization of course and diligence in application	Syllabi, sample assignments, peer evaluations, student evaluations
Appropriately rigorous expectations	Syllabi statements, quantity and quality of reading, writing, and performance assignments
Time, energy, and effectiveness	Teaching portfolio, peer evaluations, student evaluations

<b>INPUTS AND OUTCOMES</b>	<b>DOCUMENTATION</b>
Instructor Inputs (exceptional modes or qualities of teaching)	Opportunities for out-of-class application
Description of out-of-class activities, including service learning, field work, etc.	Special access opportunities such as distance- learning delivery
Syllabi and/ or descriptions of alternative de- livery methods/courses	Special efforts to diversify student experiences
Description of diversification objectives and efforts	Student Outcomes (all goals)
Majority of students make progress on knowledge and skill objectives from baseline starting point	Aggregate information on pre/post knowledge and/ or skill performance by students in each class (example: 10% of students were able to identify Renaissance art at beginning of semester, 75% by end)
Majority of students understand goals and relevance of courses, regardless of performance level	Student evaluations
Students receive external recognition for work produced in course	External letters, awards, commendations, re- views, news stories, etc.
Faculty member receives direct external recognition for preparation of students	Same as above

#### **4.2.2. RESEARCH**

The University recognizes the need to consider a broad spectrum of activities in the area of research due to the diversity and uniqueness of academic fields. Herein, research will be defined as the production and formal communication of creative scholarly works. The nature of research varies widely among different academic disciplines, but generally refers to the discovery, refinement, evaluation, and synthesis of information, the application of specialized knowledge to the solution of problems, and artistic activity. In the context of each academic discipline, research produces creative outcomes that are formally communicated to, and vetted by, peers. Specific modes of research include

Discovery: gaining knowledge of or ascertaining the existence of something previously unknown or unrecognized

Application: using established knowledge to solve significant problems

Synthesis: bringing knowledge together from disparate sources to produce a whole work that is greater than the sum of its parts

Criticism: using established values (aesthetic, logical, ethical) to evaluate quality of artifacts (e.g., art, legal decisions, news media)

Creation: production of unique forms of expression, generation of new interpretations, theory-building, and model-building

To qualify as research, activity in each of these areas must be disseminated and subjected to critical peer review or evaluation by the scholarly community so as to serve knowledge growth in a field or be of significant practical use.

These modes of research should be considered of equal weight and importance in the faculty evaluation process.

#### **4.2.2.1. RESEARCH MISSION**

The process of research is understood as the production and formal communication of original creative, scholarly work, and, while the definitions of "scholarly" and "creative" may differ across academic disciplines, the process is understood to support the University's general mission in all three fundamental areas of faculty responsibility: teaching, research, and service. Research both advances knowledge in a particular specialized academic field and encourages individual faculty development; it enhances the quality of education students receive. It also helps fulfill the University's service obligation by contributing to the public welfare. Society benefits from the results of both basic and applied research (refer to Section 1.3.6).

#### **4.2.2.2. GOALS AND CRITERIA FOR EVALUATING RESEARCH**

The following goals and criteria are the basis of evaluating faculty members' research for tenure and promotion and for required performance reviews. Item 1 below is of paramount importance on this list, and any faculty member, in order to succeed in the area of research at Missouri State University, must succeed in item 1. Although items 2, 3, and 4 are not individually prescriptive, they are inclusive of research and may be considered. Success in one or more of these areas is required to attain tenure and promotion from assistant to Associate Professor. Sustained success in one or more of these areas is required for promotion to full Professor.

##### **1. Expand Knowledge and/ or Demonstrate Growth in Area of Expertise**

Includes all five categories of research at equal weight.

Faculty members meet this goal if they have engaged in sufficient quantity and quality of peer-reviewed research in any of the five modes of scholarship appropriate to their field (as defined by department). The scholarship of teaching and learning is included here because any department may have faculty members who either specialize in education within their discipline, or who do research in this area because it is important to their academic field or part of their assignment by the department. This research content area should be fully recognized and evaluated according to the standards of one of the five modes of research.

##### **2. Application of Research to Benefit University Constituents**

The criterion for this goal refers to the application of research to solving problems or addressing situations significant to the public that require professional expertise.

##### **3. Transmission**

The criterion for this goal refers to transmission of scholarly product beyond that required for peer review in one's field. Faculty members meet this goal if they make a special effort to share knowledge and creative work with a broader audience.

##### **4. Involvement of Students**

Research is of added value in the University mission if the work involves students, either undergraduate or graduate, as active participants in the research process.

#### **4.2.2.3. ENGAGED PUBLIC SCHOLARSHIP**

Public scholarship supports the University's Public Affairs mission. It is scholarly or creative activity integral to a faculty member's academic discipline. It encompasses different forms of constructing knowledge about, for, and with diverse publics and communities. Through a coherent, purposeful sequence of activities, it contributes to the

public good and yields artifacts of public and intellectual value.

The University recognizes that engaged public scholarship is research and may be included in a department's tenure and promotion policy if a department so chooses. If included in a department's policy, this scholarly activity should involve a partnership with the public and/or private sector that enriches knowledge, addresses and helps solve critical societal issues, and contributes to the public good. Engaged public scholarship includes research focused on civic participation in public life, participation by engaged scholars, and the impact of public scholarship on all constituencies. Projects that advance engaged public scholarship must be subjected to critical academic peer review and should include input from a rigorous review conducted by involved community partners who collaborated with the public scholar. This input must assess the significance of the project, the quality of the relationship, and the impact on public good.

### **4.2.3. SERVICE**

#### **4.2.3.1. SERVICE MISSION**

Faculty service at Missouri State University serves three purposes: to support the academic tradition of shared governance, to support the professional and organizational needs of the disciplines, and to bring the products of University work to the public for its benefit.

#### **4.2.3.2. GOALS AND CRITERIA FOR EVALUATING SERVICE**

The following goals and criteria are the basis of evaluating faculty members' service for tenure and promotion and for required performance reviews. Item 1 below is of paramount importance on this list, and any faculty member, in order to succeed in the area of service at Missouri State University, must succeed in item 1. Although items 2, 3, and 4 are not individually prescriptive, they are inclusive of service and may be considered. Success in one or more of these areas is required to attain tenure and promotion from Assistant Professor to Associate Professor. Sustained success in one or more of these areas is required for promotion to full Professor.

##### **1. University Citizenship**

In the interest of maintaining broad participation in the decision-making process at the University, faculty should recognize their responsibilities to the organization and contribute fairly to the task of shared-governance. This includes, but is not limited to, service on program, departmental, college and university committees and task forces. In so doing, faculty members increase the level of self-determination in their ranks.

Service activities supporting University citizenship may also include collaborations and contributions for the collegiate well-being such as providing professional development, participating in campus discussions, and expanding opportunities for shaping the learning environment.

##### **2. Professional Service**

The criterion for this goal refers to contributions to professional organizations within the faculty member's field. Professional association participation may include serving as a board member, division chair, officer, editor, reviewer, committee member, etc. Additionally, this may include sponsoring an active student organization, mentoring or advising, or providing opportunities for student experiences outside the expectations of teaching.

##### **3. Public Service**

Faculty members meet this goal when they provide evidence of using their professional skills and expertise to serve community, state, national or international public constituents. This may take the form of op eds or other articles in

newspapers or other print media or on television or radio, etc. In this way, Faculty Members not only further the mission of public outreach, but also serve as models for their students who are encouraged to engage in similar activities.

#### 4. Professional Consultation

Faculty members may meet this goal by providing evidence of providing professional expertise to business, industry, schools, community organizations, and colleagues in other university programs. Consultation services to external constituents within the faculty member's professional expertise may be included in this area.

### **4.3 EVALUATION OF FACULTY WITH CLINICAL APPOINTMENTS**

The University recognizes the need to evaluate faculty members with specialized assignments according to the requirements of their appointment letters. Clinical faculty should be so designated in appointment letters. The following addresses the evaluation of clinical faculty (Refer to Section 3 .6.11 for a definition of this category).

Clinical faculty are vital to the success of certain programs in professional fields such as communication sciences and disorders, nursing, physical therapy and physician assistant studies. Their primary purpose is to provide an authentic applied learning environment for students in these disciplines while maintaining their own applied expertise. Clinical faculty translate new knowledge in their discipline into clinical practice and clinical practice into new knowledge. Clinical faculty members have the same service requirements as those with standard appointments. (Refer to Section 4.2.3.2.) Areas of performance evaluation and evaluation for promotion specific to clinical faculty are clinical education and service.

#### **4.3.1. CLINICAL EDUCATION MISSION**

The Clinical Education Mission for Clinical Faculty encompasses the teaching mission to develop educated persons as defined in Section 4.2.1.1, and the specific mission to evaluate clinical competencies. Therefore, the goals and criteria for evaluating Clinical Education are specific to this faculty role.

#### **4.3.2 GOALS AND CRITERIA FOR EVALUATING CLINICAL EDUCATION**

Clinical faculty members have responsibilities for didactic and clinical instruction and/or supervision in clinical or field settings. These roles require communicating information and knowledge to students, promoting the acquisition of skills, fostering the development of critical thinking, modeling ethical behavior, and evaluating clinical competencies. Specific responsibilities may include the development of clinical settings, coordination of student field or clinical experiences, instruction, supervision and evaluation of students. Clinical faculty members must maintain appropriate professional credentials and currency in their practice through continuing education and training. There are two primary goals, with respective evaluative criteria. The first goal must be achieved for promotion.

##### 1. Developing educated persons who are competent clinical professionals

Success in this area both describes successful clinical education at this University and is a prerequisite for successful performance review and for promotion.

- a. Clinical faculty members meet this goal when they demonstrate their effectiveness in cultivating students' knowledge base and skills within a specific discipline including

- competencies for professional practice.
- b. Faculty should strive to make explicit the relationship between the general education curriculum and various disciplinary curricula so students can integrate their acquired knowledge and skills for lifelong application.
  - c. Maintenance of appropriate professional credentials and evidence of continuing professional development are required to meet this goal.

## 2. Exceptional Modes or Qualities of Clinical Education

The specifics in this area need to be described in writing by the department from the beginning of employment, with any exceptions dependent on negotiation between the clinical faculty member and the Department Head and the Dean, as approved by the Provost.

### a. Outstanding Performance as a Clinical Educator

Beyond basic effectiveness as a clinical educator, outstanding performance may be evidenced by judgments made by students, peers, administrators, and colleagues with appropriate academic and clinical expertise. Further evidence may include external recognition for outstanding preparation of students for professional clinical fields, and students receiving external recognition for outstanding clinical outcomes. Such evidence may also include noteworthy clinical outcomes or research done with undergraduate and/or graduate students, noteworthy work in student advisement, and grants to support innovative clinical education.

### b. Experiential Learning

While it is expected that all of our teaching and clinical education efforts contribute to developing citizen scholars, special efforts in this regard may be used to meet this goal. Faculty should provide evidence of service learning components in their courses, internships or other structured outreach activities that apply the course material to social issues, tasks or enhancement, especially within multidisciplinary clinical or practice contexts.

### c. Accessibility

The criterion for this goal refers to efforts to increase accessibility to clinical education beyond one's typical assignments. These may include, but are not limited to, offering distance learning online and continuing professional education for practitioners, public lectures or workshops, working with community agencies and health care institutions in providing access to education, clinical service/interventions and developing clinical educational materials that address accessibility issues.

### d. Diversity

Special efforts to use diversity in broadening students' perspectives and to develop cultural sensitivity may include inviting guest speakers who offer diverse viewpoints, establishing clinical experiences/ externships in diverse settings, or providing exposure to clinical populations with special needs.

## **4.3.3. SERVICE**

Goals and criteria for evaluation of service for faculty with clinical appointments are identical to those for faculty with standard appointments (Refer to Section 4.2.3.2).

## **4.3.4. PROFESSIONAL PRODUCTIVITY I RESEARCH**

Clinical faculty may be evaluated on professional productivity and research for promotion.

#### **4.3.4.1. PROFESSIONAL PRODUCTIVITY MISSION FOR CLINICAL FACULTY**

Professional productivity includes translation of new knowledge into measurable improvements in clinical outcomes through practice and communications with peers, as well as original research in any of the five modes identified in Section 4.2.2. Professional productivity/research advances knowledge and practices in clinical professions, promotes development of clinical faculty and enhances the quality of clinical education for students. Although there is inevitable overlap with the clinical education and service criteria, professional productivity/research criteria focus on professional outcomes, recognition, and development.

#### **4.3.4.2. GOALS AND CRITERIA FOR EVALUATING PROFESSIONAL PRODUCTIVITY/RESEARCH**

Below are the four goals with respective criteria for evaluating professional productivity/research. The first goal should be achieved for promotion.

1. Contributes knowledge to discipline

Translates new knowledge in their discipline into measurable improvements in clinical practice and outcomes and/or translates clinical practice into new knowledge. The criterion for this goal requires communication of outcomes to peers through conference presentations, workshops, peer-reviewed and non-peer reviewed publications or sponsored research/contracts. Participation on masters committees, selection as a reviewer for a major funding agency, collaboration on research in clinical settings, or the development of nationally recognized clinical service or practice standards also may be considered as evidence.

2. Application of clinical expertise to provide expert service to the local and professional community.

Evidence of positive outcomes within the practice setting may be documented through field assessments, employer surveys, or client/patient surveys. Evidence of recognition by professional peers in the form of awards, requests for service, commendations, citations, etc. may be considered as evidence.

3. Transmission

Clinical faculty members fulfill the criterion for this goal by documenting special efforts in transmission of clinical expertise or research to a broad audience.

4. Involvement of students

Professional practice and scholarly activities are of added value to the University mission if the work involves students, either undergraduate or graduate, as active participants in the process.

### **4.4. EVALUATION OF FACULTY WITH RESEARCH APPOINTMENTS**

The University recognizes the need to evaluate faculty members with specialized assignments according to the requirements of their appointment letters. Research faculty should be so designated in appointment letters. (Refer to Section 3.6.10 for a definition of this category.)

Research faculty members have the similar research and service requirements as those with standard appointments for performance review and promotion; however, research output expectations are naturally higher since teaching is

not required. Refer to the research and service criteria for standard appointments in Sections 4.2.2 and 4.2.3.2. Evaluations of State Fruit Experiment Station Research Faculty shall be based on research, teaching, outreach and service, commensurate with assigned duties

## **4.5. FACULTY POLICIES AND RESPONSIBILITIES**

### **4.5.1. TEACHING**

Beyond teaching, expected faculty workloads for faculty with standard appointments involve significant responsibilities for research and service. Accordingly, average departmental teaching loads for full-time faculty should approximate 18 equated hours per academic year, and no faculty should be expected to teach more than 24 equated hours per academic year. Teaching assignments for clinical and research faculty will vary.

#### **4.5.1.1. MEETING CLASSES**

Faculty members are expected to meet their assigned classes or to see that suitable arrangements have been made for learning experiences for their students in the case of a required absence of the Instructor because of unusual circumstances or because of attendance at a professional meeting. When Instructors are unable to meet a class because of illness, they must call the departmental office and make arrangements to notify their classes concerning the cancellation of classes and new assignments or to make other arrangements for the classes that will be missed.

#### **4.5.1.2. COURSE POLICY STATEMENTS**

Within the first week of classes the faculty member shall issue a written policy statement, in print or in electronic form, to each student summarizing the following:

1. Purpose: A statement of the general content of the course.
2. Course Objectives: A list of measurable and desirable outcomes to be achieved upon successful completion of the course.
3. Attendance Policy: A statement of attendance policy consistent with that of the University, and the policies regarding late arrival and early departure. Refer to <http://www.missouristate.edu/recreg/attendan.html>.
4. Academic Integrity Policy: A statement concerning the policies concerning plagiarism and cheating, including consequences. Refer to the Student Academic Integrity Policies and Procedures, <http://www.missouristate.edu/registrar/acintegrity.html>.
5. Textbooks: A list of textbooks and other sources to be used for the course and whether they are recommended or required reading.
6. Test Dates: A statement concerning the announcement of test dates and the test dates if known. If the dates are unknown, approximations should be offered.
7. Examinations: A general idea of the material to be covered on each exam.
8. Grading Scale: A statement of the grading policy to be used in the course.
9. Term Papers: (if applicable) A statement of the dates that term papers are due and general criteria used to determine how the papers will be graded.
10. Final Exam: A statement as to whether the final will be comprehensive or not, and a general idea of the subject matter to be covered.
11. Makeups: A statement of how or if makeups will be allowed for exams, papers, or other assignments.
12. Nondiscrimination Policy: A statement consistent with University policy. Refer to "Suggested Wording for Course Syllabi/Policy Statements" on the Provost web site.
13. Policy on Disability Accommodation: A statement consistent with University Policy. Refer to "Suggested Wording for Course Syllabi/Policy Statements" on the Provost web site

14. Cell Phone Policy: A statement consistent with University Policy. Refer to "Suggested Wording for Course Syllabi/Policy Statements" on the Provost web site.
15. Course policy statements must be on file in the appropriate departmental/school office.

#### ***4.5.1.3. REVIEW OF GRADED WORK***

After an examination prepared by a faculty member or any other assignment that has been graded, the work shall be made available to students so that the students can observe where they have succeeded or failed.

#### ***4.5.1.4. CLASS RECORDS***

All faculty members must keep accurate accounts of grades and attendance so that they will have factual information for a fair evaluation of each student. All faculty members must leave with their Department Heads/directors all grade books or a copy of all grade sheets at the time of leaving the employ of the University. In accordance with the Family Educational Rights and Privacy Act (FERPA) student grades are not to be publicly posted.

#### ***4.5.1.5. STUDENT ADVISEMENT***

Student advisement is the process of assisting students in negotiating the curriculum in order to achieve their educational goals. The process also involves aiding students in thinking through and arriving at educational goals based on an understanding of what higher education is and how it relates to all areas of life.

All faculty members are expected to assist in the advisement process through normal contacts with students both in the classroom and in the office. Most faculty members will be assigned individual student advisees for whom they share a particular responsibility for advisement throughout the student's experience at Missouri State University. Faculty members are expected to be knowledgeable of essential aspects of the curriculum and procedures of the University in order to provide accurate and timely advice to students.

In the advisement process, faculty members may not make representations or commitments which are inconsistent with authorized University policies.

#### ***4.5.1.6. OFFICE HOURS***

All faculty members must be available in their offices a minimum of five hours each week at times convenient for student access for consultation with students who are in their classes and with their advisees. The office hours must be posted in a place where students can see the notice and make plans to confer with the teacher. Faculty members are encouraged to accommodate students who cannot appear during the regular office hours because of schedule conflicts. Exceptions to this policy must be approved by the appropriate Department Head.

#### ***4.5.1.7. ACCESS TO AND RELEASE OF STUDENT ACADEMIC RECORDS***

Students' grades are not to be posted publicly. The Family Educational Rights and Privacy Act of 1974 (FERPA) forbids release of educational records unless authorized by statute.

Consult <http://www.missouristate.edu/registrar/FERPA.html> for current policy.

### ***4.5.2. RESEARCH***

#### ***4.5.2.1. INTELLECTUAL INTEGRITY AND ETHICAL CONDUCT***

From 3.1.1, intellectual honesty is essential to the conduct of productive scholarship, research, and creative activity.

Intellectual honesty demands avoidance of fabrication, falsification, and plagiarism.

Faculty members who do funded research are obligated to meet standards for integrity specified by their sponsoring agencies.

Some granting agencies impose standards on the conduct of scholarship, research, and creative activity by all faculty members as a condition on the receipt of grant funds by any faculty member. They include standards for ethical treatment of both human and animal subjects. Those faculty benefiting from such funds must, of course, follow such guidelines.

Ranked faculty and Instructors are full-time employees of the University during their contract periods.

Faculty consulting engagements may benefit the University, but they must not interfere materially with faculty responsibility. Therefore, faculty members are obligated to report consulting activities to the University. (Refer to also Section 11.)

Finally, the scholarship, research, and creative activity of a faculty member may be constrained by codes of professional ethics particular to his or her discipline. Adherence to discipline-specific professional codes is an appropriate subject for peer review of research performance.

#### **4.5.2.2. INTELLECTUAL PROPERTY**

Some teaching, scholarship, research, and creative activity outcomes are consequences of faculty effort assisted by University support. They may be commercially valuable. Guidelines for equitably sharing the proceeds of intellectual property between faculty and the University are referenced in Appendix A.

#### **4.5.3. SERVICE**

##### **4.5.3.1. SERVICE RESPONSIBILITIES**

Each full-time faculty member is expected to participate actively in the shared governance structure of the University by serving on departmental, college, and university committees and by assuming an appropriate share of the requisite duties. Service activities also expand opportunities for learning and shape the learning environment.

### **4.6. FACULTY PERFORMANCE EVALUATION PROCESS**

All full-time faculty members participate in regularly scheduled performance reviews. For probationary faculty, annual reviews are completed for the purpose of evaluating appropriate progress toward tenure, tenure review, and promotion review, as well as yearly performance review. Tenured faculty participate in an annual performance review, and, as appropriate, promotion reviews. Ideally, each ranked faculty member should be evaluated no more than once annually.

The Provost will publish in the annual Master Calendar a university-wide timetable for all academic personnel decisions. All reviews occur according to this schedule. Faculty members shall submit application and/or review materials for annual review, tenure, promotion, and performance review to the department by the department-specified deadline that is based on the Master Calendar. (Faculty who begin in January will be formally evaluated for the first time in their first full academic year of employment). Each department is expected to have a personnel committee and a published set of personnel guidelines as described in Section 4.8.4. (It is to be understood that all policies and procedures described herein for departments apply to any academic unit that has primary faculty evaluation responsibilities, for example, a school.) Each department is expected to create and use a "paper trail" of

annual evaluations, and when appropriate, recommendations, in the tenure/promotion, promotion, and annual review process.

Annual review of progress toward tenure, tenure and promotion reviews, as well as annual performance reviews, proceed through a series of formal evaluations and recommendations beginning with the departmental personnel committee (herein referred to as the personnel committee). The personnel committee forwards its evaluation and recommendation to the Department Head. The Department Head forwards his or her evaluation and recommendation along with the department committee evaluation and recommendation to the Dean of the College. The Dean makes a recommendation on reviews of progress toward tenure, required performance evaluations, and sends a list of all required actions with appropriate documentation, to the Provost.

For tenure and promotion, the Dean forwards his or her recommendations along with all previous recommendations to the Provost. The Provost makes the final recommendation for tenure and promotion decisions to the President and the Board of Governors.

Discussions and/or negotiations will occur in those cases where the recommendations are not acceptable to the higher-level administrator. In instances of disagreement between the personnel committee and the Department Head, there shall be a good faith effort to resolve these differences. In all tenure and promotion cases where the recommendation of the Department Head, Dean, Provost, or the President differs from that of the departmental personnel committee, the administrator initiating the change shall state in writing to the affected faculty member, the departmental committee, and other involved administrators, compelling reasons why he or she cannot agree with the original recommendation.

Throughout the entire process, confidentiality of information must be maintained. Faculty members at every level of decision-making must assume personal responsibility to ensure confidentiality is not violated.

#### ***4.6.1. ANNUAL REVIEWS FOR PROBATIONARY FACULTY***

Annual Reviews are conducted for probationary faculty to assess appropriate progress toward tenure. Probationary faculty members initiate this process by submitting relevant materials to the chair of the departmental personnel committee by a date specified by the committee. The Department Head shall not be a participant in the voting or deliberations of the departmental committee. The personnel committee will annually assess the probationary faculty member's cumulative record as he or she progresses toward the tenure decision year, and will specify in writing one of three outcomes:

1. that progress toward tenure/promotion is satisfactory
2. that progress toward tenure/promotion is questionable, identifying areas for improvement and providing specific suggestions
3. that progress toward tenure/promotion is unsatisfactory, providing specific rationale

In all cases the committee will provide clear feedback, identifying areas for improvement, making specific suggestions or recommendations regarding continued appointment or non-renewal, and provide appropriate rationale in the event the committee recommends non-renewal.

The personnel committee will forward its annual evaluation with any accompanying recommendations, and the dossier of materials to the Department Head, who will then add his or her evaluation and recommendation in the case of nonrenewal and forward the evaluation, with any accompanying recommendations, and the dossier to the Dean. The Dean will make his or her evaluation and accompanying recommendation in the case of nonrenewal, and notify the Provost. The Provost may elect to review any annual evaluation and recommendation. Copies of all three evaluations and any accompanying recommendations shall be provided to the candidate. For the purpose of

acknowledging that they have been received, the candidate must undersign the evaluation from the committee, the Head/Director, and the Dean before they are forwarded. Signing the evaluation does not imply that the candidate endorses all that is stated therein. The candidate may append a response before the evaluation is forwarded (this response will remain attached throughout the evaluation process). The schedule of annual appointments is in accordance with the AAUP "Standards for Notice of Non-reappointment".

First-year faculty: continuation of appointment to a second year or notified of non-reappointment by March 1 of the first year.

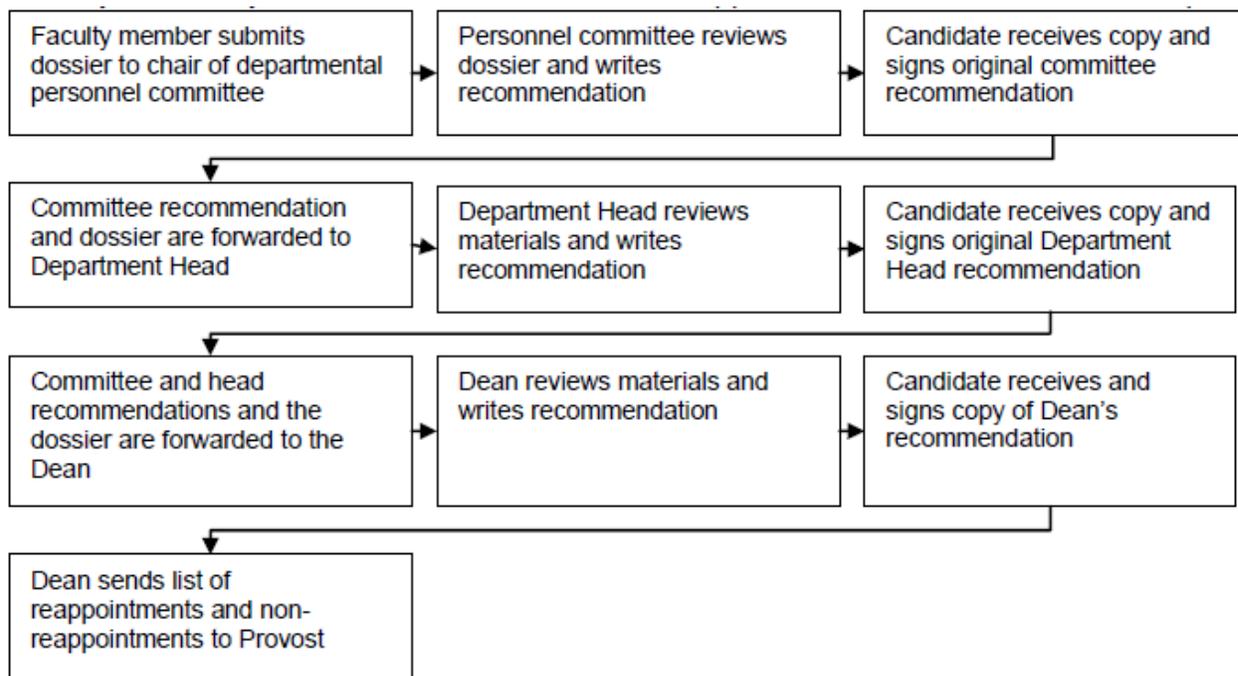
Second-year faculty: continuation of appointment to a third year or notified of non-reappointment by December 15 of the second year of service.

Third-year faculty: continuation of appointment to a fourth year or notified of non-reappointment 12 months before expiration of the appointment.

Fourth-year faculty: continuation of appointment to a fifth year or notified of non-reappointment 12 months before expiration of the appointment.

Fifth-year faculty: continuation of appointment to a sixth year or notified of non-reappointment 12 months before expiration of the appointment.

Sixth-year faculty: tenured or notified of non-reappointment 12 months before expiration of appointment.



#### **4.6.2. TENURE/PROMOTION REVIEW (PROMOTION FROM ASSISTANT PROFESSOR TO ASSOCIATE PROFESSOR RANK)**

In most cases, a probationary faculty member must apply for tenure/promotion no later than the sixth year of employment (except when the tenure clock has been temporarily stopped) to remain employed beyond the seventh

year. In cases where the faculty member has negotiated for a shorter probationary period, the final tenure application year is specified in the faculty member's initial letter of employment. Candidates denied tenure by the Provost in the final year for application are not permitted to reapply. Candidates who apply for early tenure (i.e., in a year prior to the final year for application as stated in the faculty member's initial letter of employment) may reapply up to and including the final year to apply. Although faculty hired at mid-year may "count" all work accomplished since the date of hire, the tenure clock for them begins the following August, unless otherwise negotiated.

Individuals whose initial appointment is to the Associate Professor rank must apply for tenure by the fourth year of their probationary status except in those circumstances where the Provost has granted a temporary stopping of the tenure clock.

The faculty member prepares a complete tenure/promotion dossier, and forwards it to the chair of the departmental personnel committee. The tenure/promotion dossier will include external reviews gathered according to departmental guidelines, and inserted by the department head.

The process for tenure/promotion review follows the steps of the annual probationary review until it gets to the Dean. When the Dean completes his or her recommendation, all recommendations and rationales and a current vita are forwarded to the Provost for review. Supporting materials are forwarded as far as the Dean's office; they are forwarded beyond the Dean's office at the request of the Provost. The Provost makes a final recommendation that is forwarded to the President and the Board of Governors for approval. At each stage of evaluation, the candidate will be given a copy of the recommendation and the written rationale for the recommendation. At each subsequent stage, a copy of the recommendation including probative rationale and any appended rebuttals from the candidate will also be furnished to the personnel committee for its information and records. A candidate for tenure/promotion may choose to withdraw the application from consideration at any stage of the process.

### ***4.6.3. PROMOTION REVIEW (PROMOTION FROM ASSOCIATE PROFESSOR RANK TO FULL PROFESSOR RANK)***

#### ***4.6.3.1. PRE-PROMOTION REVIEW***

Tenured faculty members may request a pre-promotion review one to two years prior to application for promotion. This review is optional, and the decision not to request a pre-promotion review does not preclude a favorable review at the time of application for promotion.

The personnel committee and the Department Head will specify in writing to the requesting faculty member one of the following three outcomes:

1. That progress toward promotion is satisfactory
2. That progress toward promotion is questionable, identifying areas for improvement and providing specific suggestions.
3. That progress toward promotion is unsatisfactory, providing specific rationale.

#### ***4.6.3.2. APPLICATION PROCESS FOR PROMOTION***

The faculty member prepares a complete promotion dossier and forwards it to the chair of the departmental personnel committee. The tenure/promotion dossier will include external reviews gathered according to departmental guidelines, and inserted by the department head. This review may complement the annual performance review and proceeds as indicated in the appointment flow chart above (4.6.1). Copies are maintained by the department, forwarded to the Dean and provided to the candidate, who must undersign to indicate receipt of the evaluation.

#### **4.6.3.3. APPLICATION PROCESS FOR PROMOTION FOR NON TENURE-TRACK FACULTY (INSTRUCTOR, CLINICAL FACULTY, RESEARCH FACULTY)**

The faculty member prepares a complete promotion dossier and forwards it to the chair of the Departmental personnel committee.

The promotion dossier will be compiled according to department and college guidelines. The process for promotion review follows the steps of the annual probationary review until it gets to the Dean. When the Dean completes his or her recommendation, all recommendations and rationales and a current vita are forwarded to the Provost's Office for review. Supporting materials are forwarded as far as the Dean's office; they are forwarded beyond the Dean's office at the request of the Provost. The Provost makes a final recommendation that is forwarded to the President and the Board of Governors for approval. At each stage of the evaluation, the candidate will be given a copy of the recommendation and the written rationale for the recommendation. At each subsequent stage, a copy of the recommendation including probative rationale and any appended rebuttals from the candidate will also be furnished to the personnel committee for its information and records. A candidate for promotion may choose to withdraw the application from consideration at any stage of the process.

#### **4.6.4. PERFORMANCE REVIEW**

Performance evaluations shall be conducted annually for all full-time faculty. The Department Head shall seek the written input of the departmental personnel committee on each faculty member and recommend a composite rating to the Dean of the college in which the department is located. However, in years when there will be no performance-based component to salary adjustments, the full-time faculty of a department may, by majority vote, opt to forgo a review by the departmental personnel committee; in those years, the review process shall start with the Department Head. The Dean shall either endorse or modify the recommended rating. In instances where the Dean modifies the rating, the Dean must provide a compelling rationale for the change in writing to the Department Head, to the departmental personnel committee, and to the affected faculty member.

At least five numerical or categorical ratings are to be used. The ratings are to be designed to recognize both outstanding and unsatisfactory performances as well as those appraised as degrees of good or satisfactory. Each department shall develop a clear set of expectations for satisfactory performance in the categories of teaching, research, and service

A faculty member may appeal the performance rating to the College Compensation Committee. (Refer to Section 5.)

#### **4.6.5. WORK ASSIGNMENT NEGOTIATION**

Work assignments are negotiated between the faculty member and the Department Head at the time of the annual review. If a change in a work assignment is needed before a review is done, the Department Head will negotiate that change with the faculty member. In making an appropriate assignment, the Department Head will take into consideration the needs of the department, and the professional objectives and recent productivity of the faculty member. The Department Head must make assignments within the parameters set by the University for expected workloads.

### **4.7. PROMOTION, TENURE AND REAPPOINTMENT REVIEW**

#### **4.7.1. EVALUATION CRITERIA**

Faculty members must be evaluated under the proper set of criteria from the appropriate academic year described

earlier in Chapter 3 and earlier in this chapter. Failure to use these criteria creates a grievable procedural issue.

#### **4.7.2. GROUND S FOR A PCTP APPEAL**

Appeals based on denial or granting of promotion, tenure or reappointment shall be filed with the Associate Provost for Faculty Affairs, and shall proceed to the Provost's Committee on Tenure and Promotion (PCTP). No finding of a prima facie case by the Associate Provost of Faculty Affairs is required. A PCTP appeal may be filed to challenge the denial of reappointment, tenure or promotion substantially affected by:

1. failure to use for evaluation of tenure and promotion the appropriate criteria in effect for that faculty member, or
2. failure to consider the substantive merits of applicant's performance, and fulfillment of appropriate University expectations, or
3. substantial failure to follow Faculty Handbook procedures, or
4. failure to provide timely notice for non-reappointment of probationary faculty as defined in Section 3.11, or
5. arbitrary and capricious failure to evaluate the faculty member in a fair manner and by comparable standards used to evaluate other faculty members being considered for reappointment, tenure or the same rank promotion, or
6. denial of reappointment, tenure or promotion based on gender or other protected status, or
7. retaliation for exercising academic freedom of speech or political speech/affiliation

#### **4.7.3. PROVOST'S COMMITTEE ON TENURE AND PROMOTION (PCTP) REVIEW**

##### **4.7.3.1. APPEAL RELATED TO REAPPOINTMENT, TENURE, OR PROMOTION**

An appeal or claim related to reappointment, granting of tenure or promotion decisions shall be initiated with the Associate Provost for Faculty Affairs and filed in the Faculty Senate Office. Such an appeal may be initiated by a tenured or tenure-track faculty member to challenge denial of reappointment, tenure or promotion.

##### **4.7.3.2. BURDEN OF PROOF**

The burden of proof shall be on the party initiating the appeal to demonstrate its case by the preponderance of the evidence.

##### **4.7.3.3. PCTP REVIEW**

The PCTP will conduct its review in accord with AAUP Recommended Regulation 16, AAUP Procedural Standard 6, the AAUP Statement on Procedural Standards in the Renewal and Nonrenewal of Faculty Appointments, and in accord with due process guarantees set forth in the University Hearing Panel process described in Chapters 13 and 14.

##### **4.7.3.4. REPORT**

Upon completion of its review, the PCTP shall prepare a written report divided into findings of fact and recommendations with supporting reasons which shall be presented to the Provost and the faculty member within 7 days of the conclusion of the hearing. A minority report also may be prepared.

#### ***4.7.3.5. IMPLEMENTATION OR APPEAL OF RECOMMENDATION***

If the Provost agrees with the PCTP recommendations, the Provost shall promptly implement the recommendation of the PCTP unless the faculty member appeals the results of that recommendation in writing, stating the reasons therefore within fourteen (14) days of the receipt of the PCTP Findings and Recommendations. Such appeal shall be filed at the Provost's office. The Provost will include whatever additional information and investigation the Provost determines necessary and promptly forward that information and PCTP Findings and Recommendations to the President for Final Determination. If the Provost decides not to adopt the PCTP recommendations, the faculty member may appeal that decision in the same manner set forth herein.

#### ***4.7.3.6. UNAVAILABILITY OF APGP APPEAL PROCESS***

If a faculty member reviewed under the PCTP process is denied promotion, tenure or reappointment any given year, that faculty member cannot file a separate Academic Personnel Grievance.

#### ***4.7.3.7. COMPOSITION OF THE PCTP AND ANNUAL REPORT TO FACULTY SENATE***

Six tenured faculty members shall be elected by the Faculty Senate to serve on the PCTP. One member shall come from each academic college (except the Graduate College). The Provost shall be responsible for convening this committee, which will review promotion, tenure, and reappointment decisions. The PCTP shall select a chairperson who shall be responsible for making an annual report to the Faculty Senate during the first fall meeting of its work

### **4.8. EVALUATION-RELATED POLICIES**

#### ***4.8.1. APPLICANT'S RIGHTS***

All faculty evaluations are based on university-level criteria and the guidelines and expectations specified in departmental and college documents and any specific contractual agreements that may exist.

Faculty applying for tenure will be evaluated according to their performance in accumulated assignments since employment at MSU unless otherwise negotiated at the time of initial employment. Faculty applying for promotion will be evaluated according to performance in present rank. If credit towards promotion is given for years in prior assignment, corresponding professional activities during those years of credit shall be considered in the promotion review process as long as they are contiguous to present assignment.

#### ***4.8.2. RESPONSIBILITIES FOR TENURE AND PROMOTION APPLICATIONS***

##### ***4.8.2.1. APPLICANT'S RESPONSIBILITIES***

Each faculty member making application is responsible for assembling evidentiary documentation, for making the case in support of the application, and for submitting materials according to established format and deadlines. The faculty member shall have access to all materials submitted to the head. Recommendations at each level will be based upon data supplied by the candidate as well as that collected by the department, such as student evaluation results.

#### ***4.8.2.2. RESPONSIBILITIES FOR EXTERNAL REVIEWS***

For tenure track actions, external reviews, based on departmental guidelines, will be solicited from comparable institutions by the department head to aid each tenure/promotion or promotion decision. External reviewers will be identified collaboratively by the faculty member, the Department Head and the departmental personnel committee. Departments must, in their policy documents, define the role of the personnel committee in this process: the committee's role may range from formal input on the selection process and approval of the reviewer list to availability for advice and consulting at the request of either the Head or the candidate. The list of reviewers will be submitted to the Dean who will certify that the selection process has followed guidelines. Reviewers may then be contacted.

The Department Head is responsible for obtaining a sufficient number of reviews. The absence of review will not be allowed to prejudice the tenure or promotion candidacy of the faculty member.

#### ***4.8.3. DEPARTMENTAL PERSONNEL COMMITTEES***

Departmental personnel committees are made up of all tenured faculty members in the department and serve as the initial evaluating body for all departmental faculty evaluations. The term personnel committee is understood to mean the departmental committee responsible for these evaluations. The personnel committee may designate subcommittees for specific assignments as described in its departmental guidelines. (In the event that the department has fewer than five tenured faculty members, additional tenured faculty members from the college may be appointed by the Dean to a total number of five. In such cases, the Department Head and the faculty applicant will submit a list of possible committee members for the Dean's consideration and appointment). The committee selects a chair that is responsible for working with the head to establish and communicate internal application deadlines. The chair convenes the committee's meetings and generally is responsible for writing personnel recommendations based on the deliberations of the committee. The personnel committee operates as an autonomous faculty body, and therefore the Department Head shall not participate in personnel committee proceedings or make decisions regarding its composition or actions. Tenured faculty members who have administrative assignments that require them to participate in personnel review at a higher level shall not participate in personnel decisions within his or her home department. A faculty member with a potential conflict of interest (usually evaluating a spouse) should not participate in the evaluation process for annual appointment, tenure, or promotion. Inappropriate actions by individuals on the committee should be addressed by the committee chair and for members of the personnel committee.

The candidate's credentials and/ or application will be presented to the chair of the personnel committee, who will undertake the security of the application dossier. At the time of evaluation for annual review of appropriate progress toward tenure, required performance reviews, promotion or tenure, the personnel committee will have access to the candidate's current vita as well as all prior personnel reviews generated by the Department Head and personnel committee. Additional materials, supporting teaching, research, and service, may be requested by the personnel committee.

A personnel committee of tenured faculty members shall make the original recommendations in all cases involving annual review of appropriate progress toward tenure, promotion or tenure. If there is a personnel subcommittee, it will present its recommendations to the full tenured faculty, whose vote will establish the departmental faculty recommendation for a personnel action. When an applicant is being considered for promotion, only those tenured faculty members who hold a rank equal to or above the rank for which the candidate is applying shall participate in the decision-making process. If there is a split vote among tenured faculty, the minority may file a report, signed by each member of the minority, which will be forwarded with the majority decision.

In instances of disagreement between the personnel committee and the head, there shall be a good faith effort to resolve these differences. If resolution is not possible, the Department Head must offer in writing compelling reasons for disagreeing with the committee's recommendation before advancing his or her recommendation to the Dean.

#### ***4.8.4. COLLEGE PERSONNEL COMMITTEES***

All colleges shall have a personnel committee. The College Personnel Committee (CPC) will be comprised of one elected tenured representative from each department of the College.

If a department has no tenured faculty, the department may be represented on the College Personnel Committee for purposes of discussing compensation issues. The department will elect one faculty member to represent the department for the discussion of compensation.

If a college committee serves in an advisory capacity only on matters of tenure, promotion, and continuation of appointment, it generally should not be required to supply a written recommendation.

For the role of the College Personnel Committee in compensation, see section 5.3.

#### ***4.8.5. DEPARTMENTAL PERSONNEL AND GOVERNANCE DOCUMENTS***

All departments, schools and other academic divisions with faculty evaluation responsibilities must maintain current personnel and governance documents that are fully compliant with the University Faculty Handbook. All recommendations within the review process must adhere to the standards and requirements identified in the departmental documents. Departmental documents minimally must contain the following:

1. Specific guidelines or expectations for tenure, promotion and annual review of appropriate progress toward tenure; the policy must contain a progression of expectations, e.g., minimal expectations for annual appointment are not sufficient for tenure or promotion.
2. Guidelines for tenure and promotion must include criteria for “exceptional records of accomplishments: that could lead to early tenure and/or promotion. These criteria must require performance that significantly exceeds the normal expectations for tenure or promotion. Specific examples of exceptional accomplishments should be provided. At a minimum, accomplishments in both Teaching and Research must be exemplary.
3. Departmental personnel committee structure, rules and procedures
4. Required and recommended materials for application dossiers
5. Required format for the application dossier
6. A statement regarding policies for adding materials to the application dossier after the departmental deadline must be addressed in the departmental guidelines
7. Generic calendar specifying approximate dates of submission and review for all actions
8. Faculty mentoring policies
9. Policies and procedures for required performance evaluations for tenure track faculty
10. Policies and procedures for evaluating non-tenure track faculty
11. Descriptions of all other self-governance policies and procedures within the department, school or program, including procedures for amending the governance document itself.

The tenure and promotion document of each department shall be reviewed by a departmental committee at least every three years. This review is to ensure that the guidelines appropriately reflect the goals and mission of the department and remain in compliance with the criteria, goals and mission of the University community. The departmental review committee will first forward the reviewed document with or without changes to the

departmental faculty for approval. Upon receipt of faculty approval, the document will 1) be forwarded to the Department Head for review; 2) after review of the Department Head forwarded to the Dean for review; 3) and after review of Dean forwarded to the Provost's Office for review and final approval. A department's tenure and promotion guidelines are under the purview of the departmental faculty. If compelling reason or explanation is provided ( by the Department Head, Dean, or upper administration) to the faculty for modifications, it is the responsibility of the departmental faculty to consider suggested modifications, and for all parties to make a good faith effort to work collaboratively in achieving resolution. Administrators' recommendations should be based on issues of compliance and clarity.

Specifically, all departmental policies must meet the following requirements:

1. The department's personnel and governance document shall be presented in writing to the candidate at the time of employment. If it is expected that some of these criteria will be met at different points in a faculty member's career, the timetable must also be placed in writing with notification given to the Office of the Provost and Office of Human Resources.
2. The guidelines shall be appropriate to the discipline, achievable, and consistent with university criteria.
3. Promotion to a higher faculty rank requires documentation of sustained performance within rank at the level required by the University. Distinctions between performance expectations for the various ranks must be clearly and specifically stated in writing.
4. Only verifiable job performance indicators are valid considerations for personnel decisions.
5. Departmental guidelines will emphasize performance outcomes, meeting clearly stated goals and objectives and professional achievements. Guidelines shall be specific so that they can be applied consistently within a department.
6. Differential research guidelines may be applied to faculty members within a department whose professional specialties differ substantially in construction and delivery, as long as they do not disadvantage one group over another. For example, studio artists would generally be held to a different set of performance measures than art historians in the same department.

#### **4.8.6. DOCUMENTATION**

Both the faculty member and the Department Head shall maintain complete documentation for all aspects of the review of that faculty member's promotion, tenure, and annual review of appropriate progress toward tenure. This requirement shall begin at the date of employment.

Documentation shall include, but not be limited to, letters of understanding at the time of hire; applicable departmental guidelines signed by faculty member and Department Head; participation in teaching improvement activities; any recommendations made by departmental personnel committees prior to the final review; previous annual reviews, required performance reviews, and annual letters from the Department Head; summaries of all teaching evaluations; committee assignments and results; proposals written or grants received; and other scholarly/creative activities

At the time of evaluation for required performance reviews, promotion, tenure, or annual review of appropriate progress toward tenure, the candidate shall submit to the personnel committee a current vita as well as all the documentation that has been maintained up to that time. Additional materials supporting teaching, research, and service activities may also be submitted as required by the department/school/college. The personnel committee shall have access to all information to be used in the decision regarding teaching, research, or service.

#### **4.8.7. FACULTY AND DEPARTMENT HEAD PROCEDURAL AGREEMENT**

Each department shall supply new faculty with a copy of the departmental tenure and promotion guidelines in effect on the date of hire. During the first month of full-time employment, the new faculty shall meet with the Department Head and review the tenure and promotion document to ensure understanding of expectations and governing procedures. Clarifications of expectations emanating from the meeting shall be noted on the guideline document. Both the faculty and Department Head shall sign off on the guidelines, and this will be placed in the faculty member's personnel file. The signed guidelines should be provided for the faculty member's records. In the event that a department's tenure guidelines change during the probationary period of a faculty member pursuing tenure and for promotion, the faculty member has the right to remain within the domain of the guidelines under which he or she was hired or elect to be evaluated with the new guidelines. If it is the desire of the faculty member to be evaluated with the new guideline document, the signed guidelines shall be amended to reflect the change and a copy provided to the faculty member. A tenured faculty member pursuing promotion may remain within the domain of an earlier set of promotion guidelines provided they are no more than five years old at the time the faculty member applies for promotion.

Should the negotiated faculty workload change subsequent to the original agreement, this amendment to the faculty member's and Department Head's procedural agreement shall be reflected in all future evaluations.