ROLE, SCOPE, CRITERIA, STANDARDS AND PROCEDURES FOR FORMAL REVIEW OF FACULTY

Montana State University-Bozeman
Department of Health and Human Development

SECTION 100 – ROLE AND SCOPE STATEMENTS

100 APPROVALS REQUIRED

Role, scope, criteria, standards, and procedures documents shall be approved by the department faculty, department head, the college review committee, the college dean, the UPT Committee, and the Provost and Vice President for Academic Affairs. **[FH 622.00]**

110 UNIVERSITY ROLE AND SCOPE

*Montana State University-Bozeman is committed to **"undergraduate and graduate** education**, research of both a basic and applied nature, and professional and public service to the state, region, and nation." (MSU Role and Scope Statement 1990)**. [See 100.00]. Faculty dedicated to this mission produce substantial benefits for society, including advances in fundamental and applied knowledge, technological innovation, new aesthetic experiences, improved health and well-being, and a broadly educated citizenry. Outreach is a fundamental component of this mission and is affirmed as an appropriate and laudable faculty activity. **[FH 603.00]** Revised 7/99*

Each department and college shall develop and annually review a document describing its role and scope, defining its responsibilities and obligations in furtherance of the mission of the university, and setting forth the criteria, standards, and procedures for review of faculty members. If the document is not updated annually, the last updated and approved document shall be effective.

*A candidate for retention will be subject to the department's criteria and standards (as detailed in the department's Role, Scope, Criteria, Standards, and Procedures document) in effect at the date of hire. A candidate for tenure will be subject to the department's criteria and standards in effect on the first day of the academic year in which retention is conferred. This policy does not cover the Procedures section of this Handbook or of any applicable Role, Scope, Criteria, Standards, and Procedures document; a candidate for retention or tenure will be subject to the Procedures in place at the time of each review. **[FH 620.00]** Revised 7/99 and 7/03*

111 COLLEGE AND DEPARTMENT ROLE AND SCOPE STATEMENTS

*The role and scope statement of the department and college defines the responsibilities of the unit and guides the department in developing the criteria, standards, and procedures for the review of faculty members. The role and scope statement of each college identifies how each department contributes to meeting the responsibilities of the college and forms the basis for the approval of departmental role and scope statements and for the review and approval of department criteria, standards, and procedures. **[FH 621.00]***

112 ROLE AND SCOPE

112.1 Role and Scope of the College

Mission of the College

The mission of the College of Education, Health and Human Development is to prepare highly qualified professional through exemplary programs, advance knowledge about education, health, and human development, and serve the people of Montana and the nation through outreach and practical application of its expertise.

Role and Scope of the College

The College of Education, Health and Human Development provides education for those *persons* interested in careers in the helping professions associated with teacher education, educational leadership, adult and higher education, family and consumer science, counseling, health, nutrition, and exercise science.

112.2 Role and Scope of the Department

Mission of the Department

The mission of the Department of Health & Human Development is to enrich human well-being through teaching, research, and outreach.

Role and Scope of the Department

The Department of Health & Human Development serves the public by:

1. Educating and training professionals in various fields related to health and human well being,
2. Conducting research and creative activities in areas related to health and human development, and
3. Conducting service/outreach activities that contribute to the general education and personal development of individuals, families, and systems within the university community and at local, state, national, and international levels.

113 ACADEMIC PROGRAMS

113.1 Academic Programs of the College

The College of Education, Health and Human Development is composed of two departments. The Department of Education is composed of two units: (1) Curriculum and Instruction for the preparation of undergraduate teacher education majors who seek teaching careers in either elementary or secondary schools and (2) Educational Leadership which offers graduate programs in curriculum and instruction, educational leadership, and adult and higher education.

The Department of Health and Human Development offers a variety of undergraduate and graduate opportunities from which to choose. There are six areas of undergraduate study and six areas of graduate study. Students may earn Bachelor of Science, Master of Education, or Master of Science degrees.

113.2 Academic Programs of the Department

Bachelor of Science in Community Health
Bachelor of Science in Early Childhood Education & Child Services
Bachelor of Science in Family & Consumer Sciences
Bachelor of Science in Food & Nutrition
Bachelor of Science in Health & Human Performance
Bachelor of Science in Health Enhancement k-12

Master of Education
- ❒ School Counseling

Master of Science in Health and Human Development
Options
- ❒ Counseling
  - ❒ Marriage and Family
  - ❒ Mental Health
- ❒ Exercise and Nutrition Sciences
  - ❒ Nutrition
  - ❒ Exercise Science
- ❒ Family and Consumer Sciences
  - ❒ Early Childhood Education/Child Development
  - ❒ Family Science
- ❒ Family Financial Planning
- ❒ Health Promotion and Education

114 RESEARCH AND CREATIVE ACTIVITY

114.1 Special Areas of College Research and Creative Activity

Research and creative activities in the college include: Exercise Science, Consumer Science, Early Childhood Education, Family and Consumer Sciences, Education and Extension, Human Development and Family Science, Food and Nutrition, Pre-Physical Therapy, Health Enhancement, Health Promotion, K-12 Teacher Education, Curriculum and Instruction, Educational Leadership, and Adult and Higher Education.

114.2 Special Areas of Department Research and Creative Activity

The department recognizes a wide range of research/creative activities due to the diverse nature of the departmental programs. Health and Human Development faculty conduct disciplinary and interdisciplinary research and creative activities at the local, state, national, and international levels in areas related to: Exercise Science, Early Childhood Education, Family and Consumer Sciences Education/Extension, Human Development and Family Science, Food and Nutrition, Pre-Physical Therapy, Health Enhancement, and Health Promotion.

115 OUTREACH/PUBLIC SERVICE

115.1 Special Areas of College Outreach/Public Service

Activities are directly related to and supportive of the role and scope, instructional programs, and research and creative activities. These activities are conducted at local, state, national, and international levels. Because of the diverse nature of the two departments, public service and outreach activities are based on individual faculty interest and areas of expertise. Faculty members also participate in activities related to their professional organizations and provide service to the university at all levels. Extension Specialists are faculty in both departments.

Centers located in the college are Center for Bilingual/Multicultural Education, Center for Community School Development and Testing Services, the Child Development Center, the Early Childhood Project, the Human Development Training and Research Clinic, and the Teacher Resource Center.

115.2 Special Areas of Department Outreach/Public Service

The department recognizes a wide range of outreach/service activities due to the diverse nature of the departmental programs. Service outreach activities generally include three areas: professional service, public service, and university service. Health and Human Development faculty conduct outreach/public service at the local, state, national, and international levels based on their individual interest and expertise in the areas related to: Exercise Science, Consumer Science, Early Childhood Education, Family and Consumer Sciences Education/Extension, Human Development and Family Science, Textiles and Clothing, Food and Nutrition, Physical Therapy, Health Enhancement, and Health Promotion. Additionally, faculty members are actively engaged in service activities within the university community at the program, department, college, and university levels.

SECTION 200 – CRITERIA AND STANDARDS

"Criteria" are the variables examined in an evaluation. "Standards" are the levels or degrees of performance which measure success in meeting criteria. ***[FH 602.00]*** *Revised 7/1/02*

200 CRITERIA FOR THE FORMAL REVIEW OF FACULTY PERFORMANCE

Montana State University-Bozeman is served by a faculty with a wide range of skills, interests and responsibilities. Thus, different faculty members may have very different assignments in terms of teaching, research/creative activity, and service. The Criteria and Standards portion of this document (630.00 to 633.03) carries forth this principle by distinguishing two general categories of academic faculty as defined in 602.00, those with "instructional' expectations and those with "professional practice" expectations who have responsibilities in any subset of these three areas. Faculty with professional practice expectations are not expected to meet the criteria and standards in any area in which they are not assigned responsibility. Each faculty member's letter of hire or subsequently negotiated role statement shall specify which category of expectations applies.

Faculty may be appointed to positions with professional practice expectations only by agreement of the department head, dean, and Provost and Vice President for Academic Affairs. Appointments may not be converted t or from positions with professional practice expectations without the express written consent of the Provost. Once appointed to a position, faculty will be reviewed according to the standards appropriate to instructional or professional expectations.

The section requires that differences in expectations be recognized, valued, and respected at all levels during the review of faculty performance. Faculty review must take into account the resources available to accomplish the faculty member's assignment including release time for scholarly activities, library support, and the availability of computing facilities and technical support staff. As an integral part of their assignments, faculty may be expected to seek available extramural funds appropriate to their field of study. ***[FH 603.03]*** *Modified 7/1/98*

210 UNIVERSITY CRITERIA

The criteria on which a faculty member with instructional expectations will be evaluated shall be the three areas of responsibility: teaching, research/creative activity, and service. A faculty member with professional practice expectations will be evaluated in the area or areas of responsibility (teaching, research/creative activity, or outreach) appropriate to his or her specific assignment.

Departments and colleges will establish specific standards for the review of faculty performance. ***[FH 632.00]*** *Revised 7/99*

211 TEACHING CRITERIA

211.1 University Teaching Criteria

Teaching, the imparting of knowledge, skills, and abilities to learners, is the heart of the university's mission. Faculty performance in teaching must be evaluated in terms of a wide range of criteria including course content and objectives, classroom effectiveness, student learning and achievement, and student advising. This document challenges faculty and administrators to adopt rigorous strategies for the assessment of teaching performance including peer, student, and self-evaluations. ***[FH 603.02]*** *Revised 7/1/99*

211.2 College Teaching Criteria

The college recognizes the diversity of teaching practices appropriate to the disciplines within each department. The college teaching criteria are:

A. Knowledge and application is demonstrated through the provision of state-of-the-art knowledge and its application to the discipline throughout the students'/clients' academic and postgraduate careers.
B. Organization of teaching is demonstrated through careful and thoughtful organization of learning experiences.
C. Instructional practices are demonstrated through diverse instructional strategies that are appropriate for the learning needs of students/clients.
D. Assessment is demonstrated through appropriate evaluation and feedback regarding a student's/client's conceptual and/or skill acquisition.
E. Advising and/or supervision of undergraduate and graduate students, clients, programs, and instructional labs.

211.3 Department Teaching Criteria

The following variables are included under the teaching function as appropriate to the academic appointment:

A. Classroom instruction, extension/outreach instruction, telecommunications.
B. Supervision of undergraduate and graduate internships, student teachers, paraprofessionals, practicum students, undergraduate scholars, independent studies, professional papers, and theses.
C. Development and maintenance of instructional labs.
D. Advising of undergraduate and graduate students, Extension personnel, and other professionals.
E. Program leadership and recruitment of students.

212 RESEARCH/CREATIVE CRITERIA

212.1 University Research Criteria

Research and creative activity, the means through which society increases its understanding of the natural world and the human condition, is a fundamental responsibility of the university community. In submitting documentation for tenure and promotion, faculty are expected to submit for review their scholarly works which have advanced their discipline or profession. ***[FH 603.02]*** *Revised 7/1/99*

212.2 College Research Criteria

The college recognizes the diversity of research and creative activities appropriate to the disciplines within each department. The college research criteria are:

A. Nature and level of inquiry is demonstrated through evidence substantiating its accomplishments and the level of scrutiny the works receive.
B. Significance of the contribution is demonstrated by the impact of the work on the field at local, state, regional, national, and international levels.

212.3 Department Criteria for Research/Creative Activity

The following variables are included under the research/creativity function as appropriate to the academic appointment:

A. Publications–books, chapters in books, articles in edited or reviewed journals, book reviews, technical and research reports, monographs.
B. Presentations, or poster sessions.
C. Grants and/or contracts, grant writing and/or substantial grant administration, or gifts.
D. Research projects in progress.
E. Development, production, and publication of instructional media–films, videos, computer programs, software, educational projects, and innovative teaching materials.

213 OUTREACH/PUBLIC SERVICE CRITERIA

213.1 University Criteria

Outreach and public service, the strategies through which the practical impacts of scholarship are made available to the state and nation, are essential to the university's land grant mission. This document calls upon faculty and their departments to revitalize their commitments to outreach and public service and challenges them to reward effectiveness and excellence in these activities. Departments and colleges shall establish procedures, criteria, and standards for the evaluation of service, outreach, and consulting activities submitted for faculty review. ***[FH 603.02]*** *Revised 7/1/99*

213.2 College Criteria

The college recognizes the diversity of outreach and service activities appropriate to the disciplines within each department. The college outreach/service criteria are:

A. Internal service at the department, college, university, or system level; and
B. External service in professional organizations at the local, state, regional, national, and international levels.
C. Outreach activities that provide assistance to and impact the people of Montana.

213.3 Department Criteria

The following variables are included under the outreach/service function as appropriate to the academic appointment:

A. Practical application of scholarship to: individuals, the general public, the department, the college, the university, professional organizations, and local, state, national, and international agencies.

220 GENERAL UNIVERSITY STANDARDS

"Effectiveness" means meeting or exceeding the standards of the department and college, discipline or profession as appropriate for the individual's assignment.

"Excellence" means achieving substantial recognition from students, clients, colleagues, and/or peers in the profession appropriate to the activity. ***[FH 602.00]***

Sustained effectiveness in all areas of a faculty member's assignment is a University-wide requirement for retention, tenure and promotion. In addition, the promise of excellence is required for tenure and promotion to Associate Professor rank; a record of excellence is required for promotion to Professor rank. ***[FH 603.04]***

Departments and colleges shall establish standards for retention, tenure, and promotion that are no less rigorous than those described below. Each faculty member must meet the following university-wide standards for appointment, retention, tenure, and promotion as well as the standards of his or her department and college. ***[FH 633.00]*** *Revised 7/99*

220.1 Standards for Faculty with Instructional Expectations

*The criteria on which a faculty member with instructional expectations will be evaluated shall be the three areas of responsibility: teaching, research/creative activity, and service.****[FH 632.00]***

220.2 Standards for Faculty with Professional Practice Expectations

A faculty member with professional practice expectations will be evaluated in the area or areas of responsibility (teaching, research/creative activity, or outreach) appropriate to his or her specific assignment. ***[FH 632.00]***

221 EFFECTIVENESS IN TEACHING

221.1 University Standard of Effectiveness in Teaching

*Faculty performance in teaching, research/creative activity, and service will be judged **effective** if it meets or exceeds the standards of the candidate's department and college. **[FH 633.01]** Revised 7/99*

221.2 College Standard(s) of Effectiveness in Teaching

The college recognizes the diversity of teaching practices appropriate to the disciplines within each department. The standards of effectiveness in teaching are:

A. Effectiveness in teaching for faculty with instructional expectations.
   Faculty with instructional expectations are expected to meet departmental standards of effectiveness in teaching consistent with the candidate's academic appointment.
B. Effectiveness in teaching for faculty with professional practice expectations.
   Faculty with professional practice expectations are expected to meet departmental standards of effectiveness in teaching consistent with the candidate's academic appointment.

221.3 Department Standard(s) of Effectiveness in Teaching

Faculty with teaching expectations (including instructional and professional practice faculty) shall be deemed effective in teaching by demonstrating all standards that are applicable to the academic appointment.

- ❒ Positive student evaluations typically at or above 2.0 on the Knapp (4-point scale) instrument or a comparable instrument approved by the department.
- ❒ Self-evaluation of teaching effectiveness that shall take into account factors that may influence teaching performance
- ❒ In-depth assessment of teaching reviews that report effectiveness.
- ❒ Undergraduate and graduate supervision that report effectiveness.

222 EFFECTIVENESS IN RESEARCH/CREATIVE ACTIVITY

222.1 University Standard of Effectiveness in Research/Creative Activity

*Faculty performance in teaching, research/creative activity, and service will be judged **effective** if it meets or exceeds the standards of the candidate's department and college. **[FH 633.01]** Revised 7/99*

222.2 College Standard(s) of Effectiveness in Research/Creative Activity

The college recognizes the diversity of research/creative activity appropriate to the disciplines within each department. The standards of effectiveness in research/creative activity are:

A. Effectiveness in research/creative activity for faculty with instructional expectations.
   Faculty with instructional expectations are expected to meet departmental standards of effectiveness in research/creative activity consistent with the candidate's academic appointment.

B. Effectiveness in research/creative activity for faculty with professional practice expectations.
   Faculty with professional practice expectations are expected to meet departmental standards of effectiveness in research/creative activity consistent with the candidate's academic appointment.

222.3 Department Standard(s) of Effectiveness in Research

The department recognizes the expectations articulated in the Faculty Handbook (603.03) that "… differences in expectations be recognized, valued, and respected at all levels during the review of faculty performance. Faculty review must take into account the resources available to accomplish the faculty member's assignment, including release time for scholarly activities, library support, and the availability of computing facilities and technical support staff. As an integral part of their assignments, faculty may be expected to seek available extramural funds appropriate to their field of study."

Standard(s) of Effectiveness in Research/Creative Activity.
Faculty performance in research/creative activity shall be judged effective by establishing a record of consistent and sustained activity that shall include publications in nationally refereed journals in addition to some combination of the research/creative departmental criteria outlined in Sec. 212.3. Research/Creative Activity performance will be judged in relation to the academic appointment, teaching load, and available resources.

223 EFFECTIVENESS IN OUTREACH/PUBLIC SERVICE

223.1 University Standard of Effectiveness in Outreach/Public Service

*Faculty performance in teaching, research/creative activity, and service will be judged **effective** if it meets or exceeds the standards of the candidate's department and college. **[FH 633.01]** Revised 7/99*

223.2 College Standards of Effectiveness in Outreach/Public Service

The college recognizes the diversity of outreach/public service activities appropriate to the disciplines within each department. The standards of effectiveness in outreach/public service are:

A. Effectiveness in outreach/public service for faculty with instructional expectations.
   Faculty with instructional expectations are expected to meet departmental standards of effectiveness in outreach/public service consistent with the candidate's academic appointment.
B. Effectiveness in outreach/public service faculty with professional practice expectations.
   Faculty with professional practice expectations are expected to meet departmental standards of effectiveness in outreach/public service consistent with the candidate's academic appointment.

223.3 Department Standard(s) of Effectiveness in Outreach/Public Service

Faculty performance in outreach/public service shall be judged effective by establishing a record of consistent contributions as revealed in outreach/public service departmental criteria as outlined in Sec. 213.3 and in relation to the academic appointment, teaching load, and available resources.

230 STANDARDS OF EXCELLENCE

231 EXCELLENCE IN TEACHING

231.1 University Standard of Excellence in Teaching

*Faculty performance in teaching will be judged **excellent** if it receives substantial recognition from peers and colleagues as well as current and former students. **[FH 633.02]** Revised 7/99*

231.2 College Standard of Promise of Excellence/Excellence in Teaching

The college recognizes the diversity of teaching practices appropriate to the disciplines within each department. The standards of promise of excellence and excellence in teaching are:

A. Promise of excellence in teaching for faculty with instructional expectations.
   Faculty with instructional expectations are expected to meet departmental standards of promise of excellence in teaching consistent with the candidate's academic appointment.

B. Excellence in teaching for faculty with instructional expectations.
   Faculty with instructional expectations are expected to meet departmental standards of excellence in teaching consistent with the candidate's academic appointment.

C. Promise of excellence in teaching for faculty with professional practice expectations.
   Faculty with professional practice expectations are expected to meet departmental standards of promise of excellence in teaching consistent with the candidate's academic appointment.

D. Excellence in teaching for faculty with professional practice expectations.
   Faculty with professional practice expectations are expected to meet departmental standards of excellence in teaching consistent with the candidate's academic appointment.

231.3 Department Standards of Excellence/Promise of Excellence in Teaching

A. Promise of Excellence in Teaching
   Faculty with teaching expectations (including instructional and professional practice faculty) demonstrate promise of excellence in teaching by demonstrating all standards that are applicable to the academic appointment.
   - ❒ Positive student evaluations of 2.5 on the Knapp (4-point scale) instrument or a comparable instrument approved by the department.
   - ❒ Self–evaluation of the promise of excellence in teaching that shall take into account factors that may influence teaching performance.
   - ❒ In-depth assessment of teaching reviews that report promise of excellence.
   - ❒ Undergraduate and graduate supervision that report promise of excellence.

B. Excellence in Teaching
   Faculty with teaching expectations (including instructional and professional practice faculty) demonstrate excellence in teaching by demonstrating all standards that are applicable to the academic appointment.

- ❒ Outstanding teaching performance as demonstrated by positive student evaluations of 3.0 on the Knapp (4-point scale) instrument or a comparable instrument approved by the department.
- ❒ Self-evaluation of excellence in teaching that shall take into account factors that may influence teaching performance.
- ❒ In-depth assessment of teaching reviews that report excellence.
- ❒ Undergraduate and graduate supervision that report excellence.

232 EXCELLENCE IN RESEARCH/CREATIVE ACTIVITY

232.1 University Standard of Excellence in Research/Creative Activity

*Faculty performance in research/creative activity will be judged **excellent** if it receives substantial, international, or national recognition from peers and clients as having made a significant contribution to the body of knowledge and creativity germane to the candidate's discipline or profession. **[FH 633.02]** Revised 7/99*

232.2 College Standards of Excellence in Research/Creative Activity

The college recognizes the diversity of research/creative activities appropriate to the disciplines within each department. The standards of promise of excellence and excellence in research/creative activities are:

A. Promise of excellence in research/creative activities for faculty with instructional expectations.
   Faculty with instructional expectations are expected to meet departmental standards of promise of excellence in research/creative activities consistent with the candidate's academic appointment.

B. Excellence in research/creative activities for faculty with instructional expectations.
   Faculty with instructional expectations are expected to meet departmental standards of excellence in research/creative activities consistent with the candidate's academic appointment.

C. Promise of excellence in research/creative activities for faculty with professional practice expectations.
   Faculty with professional practice expectations are expected to meet departmental standards of promise of excellence in research/creative activities consistent with the candidate's academic appointment.

D. Excellence in research/creative activities for faculty with professional practice expectations.
   Faculty with professional practice expectations are expected to meet departmental standards of excellence in research/creative activities consistent with the candidate's academic appointment.

232.3 Department Standard(s) of Excellence/Promise of Excellence in Research/Creative Activity

A. Promise of Excellence in Research/Creative Activity.
   Faculty performance in research/creative activity shall be judged as promise of excellence by establishing a record of consistent and sustained activity that shall

include a significant number of publications in nationally refereed journals in addition to some combination of the research/creative departmental criteria outlined in Sec. 212.3. Research/Creative Activity performance will be judged as promise of excellence in relation to the academic appointment, teaching load, and available resources. Promise of excellence is demonstrated through a record consisting of a focused research agenda that clearly advances the discipline or profession.

B. Excellence in Research/Creativity.
   Faculty performance in research/creative activity shall be judged excellent by establishing a record of consistent and sustained activity that shall include a significant number of publications in nationally refereed journals in addition to some combination of the research/creative departmental criteria outlined in Sec. 212.3. Research/Creative Activity performance will be judged excellent in relation to the academic appointment, teaching load, and available resources. Excellence is demonstrated through a record of substantial national and/or international research/creative activities.

233 EXCELLENCE IN OUTREACH/PUBLIC SERVICE

233.1 University Standards of Excellence in Outreach/Public Service

*Faculty performance in service will be judged **excellent** if it receives substantial recognition by colleagues and peers outside the university. **[FH 633.02]** Revised 7/99*

233.2 College Standards of Promise of Excellence/Excellence in Outreach/Public Service

The college recognizes the diversity of outreach and public service activities appropriate to the disciplines within each department. The standards of promise of excellence and excellence in outreach and public service activities are:

A. Promise of excellence in outreach/public service activities for faculty with instructional expectations.
   Faculty with instructional expectations are expected to meet departmental standards of promise of excellence in outreach/public service activities consistent with the candidate's academic appointment.

B. Excellence in outreach/public service activities for faculty with instructional expectations.
   Faculty with instructional expectations are expected to meet departmental standards of excellence in outreach/public service activities consistent with the candidate's academic appointment.

C. Promise of excellence in outreach/public service activities for faculty with professional practice expectations.
   Faculty with professional practice expectations are expected to meet departmental standards of promise of excellence in outreach/public service activities consistent with the candidate's academic appointment.

D. Excellence in outreach/public service activities for faculty with professional practice expectations.

Faculty with professional practice expectations are expected to meet departmental standards of excellence in outreach/public service activities consistent with the candidate's academic appointment.

233.3 Department Standards of Excellence/Promise of Excellence in Outreach/Public Service

A. Promise of Excellence in Outreach/Public Service.
Faculty performance in outreach/public service shall be deemed to exhibit promise of excellence by a record of progressive involvement as revealed in success in outreach/public service departmental criteria as outlined in Sec. 213.3 and in relation to the academic appointment, teaching load, and available resources.

B. Excellence in Outreach/Public Service.
Faculty performance in outreach/public service shall be judged excellent if it manifests a substantial impact as revealed in success in outreach/public service departmental criteria as outlined in Sec. 213.3 and in relation to the academic appointment, teaching load, and available resources.

240 DEMONSTRATION OF EFFECTIVENESS AND EXCELLENCE

Department and college criteria for retention, tenure and promotion may recognize differential staffing and allow for individual uniqueness in faculty assignments. Standards should not make all faculty perform alike, but commensurate quality must be expected for all equivalent reviews. ***[FH 622.00]***

241 DEMONSTRATION OF EFFECTIVENESS AND EXCELLENCE IN TEACHING

241.1 University Policy and Procedures

Effectiveness, excellence, and potential for excellence in teaching may be demonstrated in the following ways: evaluation by peers and colleagues within the University, and in-depth assessment of teaching performance that draws upon current and former students, graduates, colleagues, and clients. Both peer evaluations and an in-depth assessment of teaching are required for promotion and tenure reviews. Candidates shall follow the methods for in-depth assessment of teaching performance established by the department. ***[FH 633.03]*** *Revised 7/00*

241.2 College Policies and Procedures

The college recognizes the diversity of teaching practices within each department. The college adopts the university standards.

241.3 Department Policies and Procedures

In-depth Assessment of Teaching

An in-depth assessment of teaching is required for promotion and tenure. It serves to evaluate effectiveness, promise of excellence, and excellence in teaching in relation to the letter of appointment and role, scope, criteria, standards, and procedures document. In-depth reviewers are scholars with expertise in teaching who conduct an in-depth assessment of teaching and advising. In-depth assessments of teaching will be conducted

by two tenured colleagues in a related field within the university, one of whom must hold a rank at least equal to the rank for which the faculty member is applying and both must be at least at an associate professor level. The reviewers will be chosen the academic year preceding the candidate's promotion and/or tenure review year.

Documentation. Candidates seeking promotion and/or tenure will follow the methods and procedures for an in-depth assessment of teaching established by the department and may include items as appropriate to his/her letter of appointment as follows:

Teaching Portfolio. A teaching portfolio (notebook form) will include:

1. Personal statement. The candidate will describe his/her philosophical and pedagogical approach to teaching and learning.
2. Course lists. The candidate will provide a list of courses taught, number of credits, contact hours, syllabi, samples of supporting materials, number of credit hours, and number of students per course over the review period.
3. Student/client evaluations. The candidate will provide a summary of scores from student/client evaluations of teaching for all courses taught during the review period using the Knapp or other departmentally approved form.
4. Self-evaluation. The candidate will submit a self-evaluation of teaching during the course of the review. Factors to consider in the self-evaluation may include narrative interpretation of the results of student/client evaluations, class size, level of instruction, type of instruction, number of courses taught, classroom condition, availability of equipment, and other influencing factors.
5. Advising. The candidate will address advising practices with students, clients, and colleagues.
6. Classroom teaching observations and written summary. The candidate will select two courses for in-depth review by separate reviewers. The observations will be conducted using the college guidelines for teaching (Sec. 211.2) including knowledge, organization, delivery, and evaluation. Written summary will include a description of classroom observation, review of course syllabi, personal conference with candidate, and selected student/client interviews.
7. Other evidence. The candidate may submit other evidence of teaching including, but not limited to, graduate theses, professional papers, innovative teaching materials or methodologies, special topics, publications and grants related to teaching, awards, and development and maintenance of teaching facilities.

Procedures. The candidate will submit two names of potential in-depth reviewers to the department head on or before April 1 in the year preceding his/her promotion and tenure review. The department head will select one in-depth reviewer, one of which may be chosen from the candidate's list. The department head will notify the candidate of the selected reviewers on or before May 1. It is the responsibility of the candidate to submit copies of the teaching portfolio (notebook form) to the reviewers by the beginning of the second week of October. The reviewers will conduct the in-depth assessment of teaching and submit their written reports to the department RP&T review committee by the end of the last week in October. Additional information related to specific dates and deadlines can be found in Appendix A.

242 DEMONSTRATION OF EFFECTIVENESS AND EXCELLENCE IN RESEARCH/CREATIVE ACTIVITY

242.1 University Policy and Procedures

Effectiveness, excellence and potential for excellence in research/creative activity may be demonstrated in the following ways: through evaluation by on-campus review committees and administrators and external peer reviews. Methods for soliciting external reviews are part of departmental criteria and standards documents. Candidates shall list all publications, presentations, exhibits, and performances in their dossiers and, in addition, shall submit for review a set of articles, publications, creative endeavors, or other evidence that, in their judgment, represents their best efforts to advance the discipline or profession. ***[FH 633.03]*** *Revised 7/00*

242.2 College Policies and Procedures

The college recognizes the diversity of research/creative activities within each department. The college adopts the university standards.

242.3 Department Policies and Procedures

Documentation. Candidates seeking promotion and tenure will follow the methods and procedures for an external peer reviews established by the department and will include items as appropriate to his/her letter of appointment which include the following:

1. Vita. The candidate will indicate publications, presentations, grant activity, research in progress, and other creative accomplishments.
2. Personal Statement from Dossier. The candidate will describe: his/her research responsibilities in relation to the vita, his/her research program, the importance or significance of his/her research to the field.
3. Supporting Documents. The candidate will submit supporting copies of his/her research/creative activities that best represent contributions to the field.

Procedures. External peer reviews of research are required for promotion and tenure reviews but not for retention reviews. A minimum of three external reviewers are required for promotion and tenure reviews. External reviewers are scholars with expertise in the faculty member's research/creative areas and are familiar with the usual expectations for faculty performance at comparable institutions and/or programs to MSU-Bozeman. External reviewers independently assess the quality of the faculty member's research/creative activities and write letters of evaluation for inclusion in the dossier. External peer reviewers may be professional associates but may not be mentors, former professors, co-authors, co-principal investigators, or personal friends.

Spring semester, prior to the candidate's promotion and/or tenure review, the candidate will provide the department head with the names of three nationally recognized scholars in his/her field but will not solicit his/her own review. The candidate will not make direct contact with any potential external reviewer regarding the impending review. The department Retention, Promotion and Tenure Review Committee will also provide the department head with the names of five nationally-recognized scholars in the candidate's field of expertise. The department head will select two external peer reviewers from the department review committee's list and one from

the candidate's list. In order to protect the confidentiality of the review process, the candidate will not be informed of the identity of the external peer reviewers.

By August 15, the candidate will provide a copy of the review documentation to the department head prior to the applicable deadlines. The department head will contact the three external peer reviewers and send a cover letter with the candidate's documentation. The department head will include a copy of the soliciting letter format (without identification) in the candidate's dossier as the primary review process begins. The department head will request an abbreviated vita from the external reviewers and a brief statement of any knowledge of or relationship to the candidate. The department head will include a copy of the external peer reviewer's vita and statement in the candidate's dossier as the primary review process begins.

External peer reviewers will assess the quality of the candidate's research/creative endeavors in relation to the letter of appointment, departmental criteria and standards, and the importance or significance to the field. The external reviewers' evaluations will be returned to the department head and, subsequently, to the department Retention, Promotion and Tenure Review Committee prior to the applicable deadlines for the completion of the departmental review.

243 DEMONSTRATION OF EFFECTIVENESS AND EXCELLENCE IN OUTREACH/PUBLIC SERVICE

243.1 University Policy and Procedures

Effectiveness in service/outreach shall be demonstrated through evaluation by peers and colleagues within the University. Candidates shall list all service activities in their dossiers and, in addition, shall submit for review a set of articles, publications, professional endeavors or other evidence that, in their judgment, represents their best efforts to contribute to and advance the University, public, and profession. Service/outreach shall be formally evaluated through means which shall, at a minimum, include review by peers, colleagues, and/or clients. ***[FH 633.03]*** *Revised 7/00*

243.2 College Policies and Procedures

The college recognizes the diversity of outreach/public service activities within each department. The college adopts the university standards.

243.3 Department Policies and Procedures

Methods for conducting an in-depth assessment of performance in outreach/public service are consistent with the college's policies and procedures as specified in Section 243.2. Candidates will provide a list of all outreach/public service activities in addition to his/her personal statement included in their dossier. If a component of the candidate's outreach/public service warrants an external review, the department head will solicit the external review by letter following the same procedures as in the external reviews for research/creativity.

SECTION 300 – STANDARDS FOR APPOINTMENT, PROMOTION, RETENTION, & TENURE

300 RESPONSIBILITY TO ESTABLISH STANDARDS

The criteria on which a faculty member with instructional expectations will be evaluated shall be the three areas of responsibility: teaching, research/creative activity, and service. A faculty member with professional practice expectations will be evaluated in the area or areas of responsibility (teaching, research/creative activity, or outreach) appropriate to his or her specific assignment.

Departments and colleges will establish specific standards for the review of faculty performance. ***[FH 632.00]*** *Revised 7/99*

Departments and colleges shall establish standards for retention, tenure and promotion that are no less rigorous than those described below. Each faculty member must meet the following university-wide standards for appointment, retention, tenure, and promotion as well as the standards of her or his department and college. ***[FH 633.00]***

310 RETENTION AND SPECIAL REVIEW

Faculty members may be reviewed at times other than those required for third year, tenure, and promotion. A special review may be recommended to the President by the department review committee, department head, college review committee, college dean, University Promotion and Tenure Committee or the Provost and Vice President for Academic Affairs.

If the recommendation is accepted by the President, he or she shall initiate a special review by sending a written notice to the faculty member. The notice of special review shall set forth the nature of the review and identify appropriate deadlines for its conduct. A special review shall be conducted by the primary review committee or by a special review committee composed of academic faculty. ***[FH 615.00]*** *7/99*

310.1 University Standards for Retention

The university-*wide standards* for retention *of faculty members are:*

A. *effectiveness in the performance of their responsibilities*
B. *promise of continuing effectiveness*
C. *if appropriate to the level of review, the promise of attainment of the standards for tenure and promotion, as demonstrated by a clear progression of accomplishment.* **[FH 640.00]**

310.2 College Standards for Retention

The college adopts the university standards.

310.3 Department Standards for Retention

The department adopts the college standards for retention.

320 ELIGIBILITY FOR TENURE

Faculty members will be reviewed for tenure in their sixth year (or equivalent year if credited for prior service) of full-time service in a tenurable position. No more than three years of full-time service at another institution may be credited toward determining the sixth year of service. The amount of creditable prior service is determined at the time of initial appointment and must be confirmed in writing by the Provost and Vice President for Academic Affairs.

A faculty member's tenure review scheduled for the sixth year may be extended for good cause under exigent circumstances upon the approval of the faculty member's department head, college dean, and Provost. Extension may be granted for no more than two years and must be agreed to in writing by all parties. ***[FH 613.00]***

321 STANDARDS FOR TENURE

321.1 Standards for Faculty with Instructional Expectations

A. University standards

The university-wide standards for the award of tenure to faculty with instructional expectations are:

1. *demonstrated and sustained effectiveness in the performance of their responsibilities in the three areas of teaching, research/creative activity, and service, appropriate to the assignment as set forth in the letter of hire and role statements.*
2. *demonstrated potential for sustained effectiveness in each of these areas in the future.*
3. *demonstrated potential for achieving excellence in teaching and/or research/creative activity.* ***[FH 651.00]***

B. College standards

The college adopts the university standards.

C. Department standards

The department adopts the college standards for tenure.

321.2 Standards for Faculty with Professional Practice Expectations

A. University standards

The university-wide standards for tenure for faculty with professional practice expectations are:

1. *demonstrated and sustained effectiveness in the performance of the responsibilities of the assignment as set forth in the letter of hire and the role statements.*
2. *demonstrated potential of sustained effectiveness in the future.*
3. *demonstrated potential for achieving excellence in at least one of the areas of teaching, research/creative activity, or service, appropriate to the responsibilities of the assignment.* **[FH 652.00]**

B. College standards

The college adopts the university standards.

C. Department standards

The department adopts the college standards.

330 ELIGIBILITY FOR PROMOTION

Normally, promotion is awarded after the completion of no fewer than five years of service, which is generally considered the minimum time needed to meet the standards for promotion described in 660.00 and in the college and department documents.

Faculty who believe they have met the department, college, and university standards for promotion and wish to be considered for promotion should submit a formal request for consideration to the department head and department review committee. The department head may also request a faculty member to submit materials for promotion. Since promotion, except in cases of automatic review with tenure, is optional, a faculty member may withdraw his or her materials from further consideration at any time during the review process. **[FH 614.00]** *Revised 7/99*

331 STANDARDS FOR APPOINTMENT TO THE RANK OF ASSISTANT PROFESSOR

331.1 Standards for Faculty with Instructional Expectations

A. University standards

To be appointed as an Assistant Professor, a faculty member with instructional expectations shall, at a minimum, have:

1. *a terminal degree appropriate to the field or department.*
2. *demonstrated potential to teach at the undergraduate and/or graduate levels.*
3. *qualifications to conduct research/creative activity in a specialized field.* ***[FH 661.01]***

B. College standards

The college adopts the university standards.

C. Department standards

The department adopts the college standards.

331.2 Standards for Faculty with Professional Practice Expectations

A. University standards

To be appointed as an assistant professor, a faculty member with professional practice expectations shall, at a minimum, have:

1. *a terminal degree appropriate to the field or department.*
2. *demonstrated potential to carry out the primary duties of his or her assignments.* **[FH 661.02]**

B. College standards

The college adopts the university standards.

C. Department standards

The department adopts the college standards.

332 STANDARDS FOR APPOINTMENT AND PROMOTION TO ASSOCIATE PROFESSOR

332.1 Standards for Faculty with Instructional Expectations

A. University standards

To be appointed as an Associate Professor, a faculty member with instructional expectations shall, at a minimum, have:

1. *A terminal degree appropriate to the field or department.*
2. *A record of demonstrated and sustained effectiveness in each of the three areas of teaching, research/creative activity and service, appropriate to the assignment as set forth in the letter of hire and role statements.*
3. *Demonstrated potential for achieving excellence in teaching and/or research/creative activity.* **[FH 662.01]**

B. College standards

The college adopts the university standards.

C. Department standards

To be appointed as an Associate Professor, a faculty member with instructional expectations shall have:

1. A terminal degree appropriate to the field or department.
2. A record of demonstrated and sustained **effectiveness** in each of the three areas of teaching, research/creative activity, and service appropriate to the candidate's academic appointment as described in the **department standards for effectiveness** in sections 221.3 (teaching), 222.3 (research), and 223.3 (service).
3. A record of demonstrated **promise of excellence** in teaching and/or research/creative activity appropriate to the candidate's academic appointment as described in the **department standards for promise of excellence** in sections 231.3A (teaching) and/or 232.3A (research).

332.2 Standards for Faculty with Professional Practice Expectations

A. University standards

To be appointed as an Associate Professor, a faculty member with professional practice expectations shall, at a minimum, have:

1. *A terminal degree appropriate to the field or department.*
2. *A record of demonstrated and sustained effectiveness in the primary responsibilities of the assignment as set forth in the letter of hire and role statements.*
3. *Demonstrated potential for the achievement of excellence in at least one of the three areas of teaching, research/creative activity, and service.* **[FH 662.02]**

B. College standards

The college adopts the university standards.

C. Department standards

To be appointed as an Associate Professor, a faculty member with professional practice expectations shall have:

1. A terminal degree appropriate to the field or department.
2. A record of demonstrated and sustained **effectiveness** in the primary responsibilities of the assignment, (one or two of the three areas of teaching, research/creative activity, and service) appropriate to the candidate's academic appointment as described in the **department standards for effectiveness** in sections 221.3 (teaching), 222.3 (research), and 223.3 (service).
3. A record of demonstrated **promise of excellence** in one of the three areas of teaching, research/creative activity, and/or service appropriate to the candidate's academic appointment as described in the **department standards for promise of excellence** in sections 231.3A (teaching), 232.3A (research), and 233.3A (service).

333 STANDARDS FOR APPOINTMENT AND PROMOTION TO THE RANK OF PROFESSOR

333.1 Standards for Faculty with Instructional Expectations

A. University standards

To be appointed as a Professor, a faculty member with instructional expectations shall, at a minimum, have:

1. *A terminal degree appropriate to the field or department.*
2. *A record of demonstrated and sustained effectiveness in each of the three areas of teaching, research/creative activity, and service, appropriate to the assignment.*
3. *A record of excellence in teaching and/or research/creative activity.* ***[FH 663.01]***

B. College standards

The college adopts the university standards.

C. Department standards

To be appointed as a Professor, a faculty member with instructional expectations shall have:

1. A terminal degree appropriate to the field or department.
2. A record of demonstrated and sustained **effectiveness** in each of the three areas of teaching, research/creative activity, and service appropriate to the candidate's academic appointment as described in the **department standards for effectiveness** in sections 221.3 (teaching), 222.3 (research), and 223.3 (service).
3. A record of demonstrated **excellence** in teaching and/or research/creative activity appropriate to the candidate's academic appointment as described in the **department standards for excellence** in sections 231.3B (teaching) and/or 232.3B (research).

333.2 Standards for Faculty with Professional Practice Expectations

A. University standards

To be appointed as a Professor, a faculty member with professional practice expectations shall, at a minimum, have:

1. *A terminal degree appropriate to the field or department.*
2. *A record of demonstrated and sustained effectiveness in the primary duties of their assignment.*
3. *A record of excellence in at least one of the three areas of teaching, research/creative activity, or service as demonstrated by recognition of the outstanding nature of the candidate's contributions to the public, the discipline and/or profession from peers outside the university.* ***[FH 663.02]***

B. College standards

The college adopts the university standards.

C. Department standards

To be appointed as a Professor, a faculty member with professional practice expectations shall have:

1. A terminal degree appropriate to the field or department.
2. A record of demonstrated and sustained **effectiveness** in the primary responsibilities of the assignment (one or two of the three areas of teaching, research/creative activity, and service) appropriate to the candidate's

academic appointment as described in the **department standards for effectiveness** in sections 221.3 (teaching), 222.3 (research), and 223.3 (service).

3. A record of demonstrated **excellence** in one of the three areas of teaching, research/creative activity, and/or service appropriate to the candidate's academic appointment as described in the **department standards for excellence** in sections 231.3B (teaching) and/or 232.3B (research), and 233.3B (service).

SECTION 400 – PROCEDURES FOR FORMAL REVIEW OF FACULTY PERFORMANCE

"Substantive review" means weighing all of the evidence in the dossier, including the rationales provided by preceding reviewers, and making a retention, promotion, and/or tenure decision based upon the criteria and standards of the candidate's department (if applicable) and college, and the University. Beyond this, substantive review has different implications at the various levels of review. ***[FH 802.00]*** *Revised 7/1/00*

400 GENERAL PROCEDURES

This section promotes University-wide academic oversight by establishing independent reviews at all levels (primary, intermediate and final). In this process, broad University ***criteria and standards,*** *stated below, are refined by the colleges, and articulated further by the departments. The review of individual faculty is initiated at the primary level, where the relevant disciplinary expertise is located and is then carried to the college and University levels, where successively broader perspectives are employed.*

Any committee identified herein may adopt "Standard Operating Procedures" that provide necessary interpretation of these policies so long as they do not conflict with the policies and procedures outlined in this section. Such procedures must be approved by the Chair of Faculty Council and the Provost and Vice President for Academic Affairs. ***[FH 603.05]***
Revised 7/1/99

401 REVIEW BASED ON EVALUATION OF TOTAL PERFORMANCE

Third year, tenure and promotion reviews are based upon cumulative performance in each area (teaching, research/creative activity, and service) over the total period preceding review. In contrast, annual reviews assess the faculty member's performance averaged over all areas within a year. Thus, a record of having met performance expectations as indicated by Annual Reviews does not necessarily guarantee the candidate has assembled and demonstrated a cumulative record that meets the standards for retention, tenure or promotion. ***[FH 611.00]***

402 MANDATED CONTENTS OF DOCUMENTS

The criteria, standards and procedures documents of the department and college shall, at a minimum, contain the following information, as appropriate:

- *A. The criteria and standards used to assess a faculty member's contributions to the role of the department and evaluate their performance (effectiveness, excellence, promise of excellence) in their assigned responsibilities and in teaching, research/creative activity, and service, according to the type and level of review (See section 200 above)*
- *B. Any quantitative and qualitative expectations in terms of job performance, teaching, research/creative activity, and/or service. (See section 300 above)*
- *C. The procedures used in selecting the membership of review committees. (See sections 413.1 and 415.1 below)*
- *D. The department's designation as to courses and presentations which are to be evaluated using student evaluation forms and the evaluation instruments to be used. (See sections 221.3 and 231.3 above)*
- *E. A description of the methods, in addition to student evaluations to be used to obtain formal, in-depth assessment of a faculty member's teaching performance. (See section 241.3 above)*

F. The type of materials accepted or required in the documentation of research and creative activities and of outreach and public service. (See sections 242 and 243 above)
G. The dates and times of review. (See section 412 below)
H. The procedures for obtaining outside peer reviews and soliciting internal letters of support/evaluation. (See sections 242.3 and 241.3 above and 415.31 and 415.4 below)
I. The methods for designating and handling confidential materials. (See 242.3 above and 415.31 below) ***[FH 623.00]*** *Revised 7/1/00*

410 PROCEDURES FOR THE CONDUCT OF FORMAL REVIEWS OF FACULTY

The formal review of academic faculty supports the mission and goals of Montana State University-Bozeman and assists faculty in meeting the expectations of the institution. Formal review for retention, tenure and promotion shall be conducted according to the procedures outlined in this section.

Third year, tenure, promotion, and, unless otherwise specified special reviews are conducted on the following levels:

Primary Level of Reviews *(Primary Review Committee and Primary Administrative Reviews)*
Intermediate Level of Reviews *(Intermediate Review Committee, and Dean's Reviews)*
Final Level of Reviews *(Final Review Committee (UPT Committee), Provost's and President's Review* ***[FH 810.00]*** *Revised 7/1/00*

411 MANDATORY CONSIDERATIONS AT ALL LEVELS OF REVIEW

In conducting the review, each review committee and reviewing administrator shall consider the following:

A. The dossier submitted by the candidate and the recommendation of each preceding level of review,
B. The University criteria and standards described above,
C. The previously approved role and scope, criteria and standards document of the department and college,
D. The letter of hire and any subsequent faculty role statements, including any differential staffing/differential assignment, and
E. In cases of review for promotion and tenure, the in-depth assessment of teaching, and
F. In cases of review for promotion and tenure, the written evaluations of external and internal peer reviewers.

Each review committee or reviewing administrator may request further documentation from the candidate and solicit and obtain additional materials deemed necessary to make a thorough and substantive review of the candidate's qualifications.

No materials except required documentation specified in the role, scope, criteria, standards and procedures of the department and college may be added to or deleted from a candidate's dossier without notice to the candidate and an opportunity for the candidate to respond (See FH 471.05, 471.06, and 812.03) and notice to any preceding review committees and reviewing administrators and an opportunity to respond (See FH 811.01).

Each review committee and reviewing administrators shall determine, to the best of its ability, whether a candidate's preceding reviews have been conducted in substantial compliance with the procedures set forth by the department, college and this Handbook. ***[FH 811.00]*** *Revised 7/1/00*

412 RESPONSIBILITIES OF THE COLLEGE DEAN

The college dean, when serving as the administrative reviewer at the intermediate levels of review, shall review all submitted materials, provide any required materials, conduct an independent and substantive review of the candidate's dossier and make recommendation regarding retention, tenure, and/or promotion in accordance with 811.00. The recommendation shall include a written rationale or statement of concurrence. If the intermediate level of administrator's recommendation does not concur with those of primary review committee or the primary administrative reviewer, the administrator's rationale must explain the point(s) of difference, i.e., the reason for the non-concurrence.

The college dean is also responsible for:

A. *Informing faculty members, committee members, and department heads of the applicable time lines for review.*
B. *Providing the intermediate review committee with information and materials essential to their deliberations, according to college and University policies and procedures.*
C. *Forwarding the candidate's dossier, with her or his recommendations to the UPT Committee and sending a copy of the written recommendations to the candidate.* ***[FH 816.00]*** *Revised 7/1/00*

413 RESPONSIBILITIES OF THE INTERMEDIATE REVIEW COMMITTEE

Each college that is not the primary level of review shall establish an "intermediate review committee" to consider the dossier submitted by each candidate and formulate its recommendation for retention, tenure, and/or promotion. The intermediate review committee shall review all submitted materials, provide any required materials, conduct a fair, objective, independent and substantive review of the candidate's dossier based on department, college, and University criteria and standards and make recommendations regarding retention, tenure or promotion, in accordance with 811.00. The recommendation shall include a written rationale. If the intermediate review committee's recommendation does not concur with those of the primary review committee or the primary administrative reviewer, the committee's rationale must explain the point(s) of difference, i.e., the reason for the non-concurrence.

The intermediate review committee is also responsible for:

A. *Reviewing, making suggestions for modification, and approving the role and scope, criteria and standards documents of the departments.*
B. *Conducting the election for faculty representatives to the college and UPT Committees.*
C. *Preparing a written recommendation, with vote tally, concerning the retention, tenure, and/or promotion of each candidate for review.* ***[FH 815.00]*** *Revised 7/1/99*

413.1 Membership

Each college shall establish the policies and procedures by which the membership of the committee shall be established. The intermediate review committee shall be composed only of tenured faculty, a majority of whom shall be elected by college faculty. A department head may serve on the committee only if elected by the college faculty. Whenever possible, the committee shall have at least 25% female and/or minority representation. If that representation is not achieved by election, the dean shall appoint such additional members as may be necessary to achieve representation.

No faculty member shall serve on the committee during the year of review of her or his own dossier.

The college dean may be present at committee meetings, at the discretion of the committee, to present data that is essential to the committee's deliberations but shall not be present when the committee votes. ***[FH 815.01]*** *Revised 7/1/99*

413.2 Procedures

[For colleges with three or more departments,] a department representative to an intermediate review committee shall not vote when a candidate from his or her department is reviewed. The representative may provide background information about the department but shall not express personal opinions about the candidate or the candidate's qualifications or experience. [For colleges with only two departments (e.g., the College of Education, Health and Human Development), the restrictions on participation will apply not to the department level, but to the unit/option level.]

The intermediate review committee:

A. Prepares a written recommendation, with vote tally, concerning the retention, tenure, and/or promotion of each candidate and
B. Forwards the recommendation to the dean, sending a copy to the candidate. The recommendation becomes a permanent part of the faculty member's personnel files maintained in the dean's office. ***[FH 815.02]*** *Revised 7/1/99*

413.3 Procedures for Electing College Representatives to the University Promotion and Tenure Committee

According to the calendar and procedures established by the provost, the college dean will prepare a written ballot containing the names of tenured college faculty, at the rank of associate or full professor, to be voted on by full-time instructional and professional practice faculty within the college. The person receiving the most votes will serve a three year term and may not be reelected. The person receiving the second highest number of votes will serve as alternate and will serve if the college representative is a candidate for review.

414 RESPONSIBILITIES OF THE PRIMARY ADMINISTRATIVE REVIEWER

The primary administrative reviewer shall review all submitted materials, provide any required materials, and conduct an independent and substantive review of the candidate's dossier and make recommendations regarding retention, tenure, and/or promotion, in accordance with 811.00. The recommendation shall include a written rationale. If the administrator's recommendation does not concur with that of the primary review committee, the administrator's rationale must explain the point(s) of difference, i.e., the reason for the non-concurrence.

The primary administrator is also responsible for:

A. *Accurately describing, in the initial letter of hire, the primary duties, responsibilities and conditions of employment, including the instructional or professional practice expectations of the appointment and years of credit toward tenure, of the faculty member.*
B. *Informing the faculty member of the University, college, and department role and scope, criteria and standards documents which form the basis of formal review.*
C. *Ensuring that each faculty member has access to the University, college, and department documents related to annual review, retention, tenure, and promotion.*
D. *Preparing role statements, after negotiation with the faculty member that accurately describe the faculty member's current responsibilities, including any agreement regarding differential assignments which have been approved by the dean and Provost and Vice President for Academic Affairs.*
E. *Informing faculty members of the applicable time lines for review.*
F. *Providing the primary review committee with information and materials essential to their deliberations, according to department, college and University procedures.*
G. *Forwarding the candidate's dossier, including recommendation(s), to the nest administrative reviewer and sending a copy of the recommendation(s) to the candidate.*
H. *Maintaining complete, accurate and up-to-date files on each faculty member, including a copy of any dossier submitted for formal review. Primary administrators shall ensure that peer review letters have been removed from the dossier before placing it in the employee's personal file.* ***[FH 814.00]*** *Revised 7/1/98, 7/1/99*

415 RESPONSIBILITIES OF THE PRIMARY REVIEW COMMITTEE

Each department or college without departments shall establish a "primary review committee" to consider the dossier submitted by each candidate for review and formulate its recommendation for retention, tenure, and/or promotion. Primary review committees shall conduct a fair, objective, independent, and substantive review of the candidates' dossiers based on department, college, and University criteria and standards. (See 600) ***[FH 813.00]*** *Revised 7/1/99*

415.1 Membership

Each department (or college) shall establish the policies and procedures for appointing and/or electing the primary review committee. The committee shall be composed only of tenured or tenurable faculty at least a majority of whom shall be elected by departmental (or college) faculty. The committee shall have at least twenty five percent (25%) female and/or minority representation whenever possible. No faculty member shall serve on the primary review committee during the year of review of her or his own dossier.

The primary administrative reviewer may be present at committee meetings at the discretion of the committee. The administrator may present data that is essential to the committee's deliberations, but shall not be present when the committee votes. ***[FH 813.01]*** *Revised 7/1/99*

415.11 Primary Review Committee

The primary review committee shall be comprised of at least three tenured faculty members, all of whom must be tenured at the rank of Associate Professor. In the event of a candidate seeking the rank of professor, one of the primary review faculty members must be at the rank of professor. In the fall of each year, committee members shall be elected for a one-year term from eligible tenured faculty members only. A chairperson will be identified by the committee members at the first committee meeting. The committee shall have at least one third female and/or minority representation. In the event that the faculty elections identify three committee members of the same gender, a fourth member of the opposite gender shall be appointed to the committee by the Department Head. If an Extension faculty member is up for review and an Extension faculty member is not elected to the primary review committee, the Department Head shall appoint an Extension faculty member to the review committee.

In addition to University criteria, recommendations made by the primary review committee regarding retention, tenure and/or promotion shall be based on formal motions from which are recorded the total number of votes in favor of the motion, in opposition to the motion, and in abstention.

415.2 Procedures of the Committee

The primary review committee shall review all submitted materials, provide any required materials, and solicit and obtain additional materials it deems necessary to make a fair, objective, independent, thorough and substantive review of the candidate's qualifications, in accordance with 811.00. The committee shall prepare its written recommendation, concerning the retention, tenure, and/or promotion of each candidate. This recommendation shall include a rationale explaining the reasons for the decision, vote tally and will be forwarded to the primary administrative reviewer with a copy sent to the candidate. The recommendation becomes a permanent part of the faculty member's personnel files maintained in the department or college offices. ***[FH 813.02]*** *Revised 7/1/99*

415.3 Procedures for Obtaining External Peer Reviews

Each department (or college) shall establish the specific procedures by which external peer reviews shall be conducted. When required, peer reviews shall be obtained from no fewer than three (3) external reviewers, the majority of whom shall be recommended by the primary review committee, the minority of whom shall be recommended by the candidate. ***[FH 813.03]*** *Revised 7/1/00*

415.31 Departmental External Peer Reviews

See Departmental Policies and Procedures, Section 242.3

420 RIGHTS AND RESPONSIBILITIES RELATIVE TO FORMAL REVIEW

421 RESPONSIBILITY TO PREPARE AND SUBMIT DOSSIER

In cases of retention, tenure, promotion, or special review, it is the responsibility of the candidate to collect, organize and submit all appropriate data and material at the beginning of the formal review process, in accordance with Section 812.00.

Candidates shall submit the "Cover Sheet–Candidate's Dossier" and Table of Contents available from the Office of the Provost and Vice President for Academic Affairs. Dossiers shall include those materials specified in the Cover Sheet and any other materials required by the department and college criteria and standards document. Pages of the dossier submitted by the candidate shall be consecutively numbered. Candidates may submit supporting documentation in accordance with Section 812.00. ***[FH 471.00]*** *Revised 7/1/00*

421.1 Personal Statement or Self-Evaluation

The case for retention, tenure, and/or promotion shall be made, in part, through a personal statement or self evaluation in which the candidate shall discuss his or her accomplishments in teaching, research/creative activity, outreach/public service and provide the framework for review of the dossier. These statements will not be sent to external reviewers.

421.2 Other Materials to be Submitted With the Dossier

Candidates shall submit to the department committee or department head a dossier which lists all research, creative activities and service and includes the set of articles, publications, creative endeavors, or other evidence that, in their judgment, represents their best efforts to advance the discipline or profession.

The "Cover Sheet–Candidate's Dossier" available from the office of the Provost shall be used as the cover page of the dossier.

For third year, tenure and promotion reviews, six sets of typed summary notebooks shall be prepared by the candidate to correspond to the sample notebooks available for use in the departmental offices. Tabbing is essential for clarity. Each person being reviewed shall place in the teaching/advising, research/creative activity, and outreach sections of these notebooks a carefully developed self evaluation wherein departmental criteria and standards are stated and a personal assessment of how one has met those criteria and standards. A listing of the primary evidence and the location for finding this evidence in the primary documentation notebook shall be included for each section. Under the research/creative activity section, a notation shall be made for each journal's standing in the field, its submission review process, circulation, and if national/international or regional distribution.

Original copies of all documentation shall be carefully organized into a Primary Documentation set of notebooks that are organized in a similar manner as the Summary Notebooks and shall include the Departmental Promotion, Tenure and Annual Review Standards and Criteria

Document. Both the primary and summary notebooks are submitted for consideration at all levels of review.

421.3 Soliciting Letters of Support Prohibited

Each candidate shall submit a list of persons from whom the department committee or department head may solicit evaluations and letters of support. Candidates shall not themselves solicit letters of support. ***[FH 471.01]***

See section 242.3, Department Policies and Procedures, for a description of departmental policies regarding soliciting letters of support and handling confidential materials.

421.4 Deadline for the Submission of Dossiers

Each candidate shall submit her or his dossier by the date established by the Provost, dean, and department head. Unless provided in accordance with Sections 471.03, 471.04, 471.05 and 812.00, materials submitted after this date shall not be considered.

The candidate who fails to submit the dossier by the established deadline forfeits his or her opportunity for review. In cases of retention, tenure or special review for retention, the faculty member who fails to submit a dossier shall be issued a terminal contract for the next contract term. ***[FH 471.02]*** *Corrected 7/1/99*

421.5 Candidate's Rights and Responsibilities Once Dossier is Submitted

The candidate may not add to, alter, modify, delete or remove documents from his or her dossier once it has been submitted except by:

- *A. Updating the status of materials in support of tenure unknown at the time the dossier was submitted,*
- *B. Responding to a review committee's or reviewing administrator's request for additional materials or notice that materials in addition to those required by the role, scope, criteria, standards and procedures document have been added to the dossier (See 812.03), or*
- *C. Responding to a negative recommendation from the departmental review committee and/or the department head as set forth in Section 812.04.* ***[FH 471.03]*** *New section added 7/1/98*

421.6 Responding to Requests for Additional Materials in the Candidate's Possession

Each review committee and reviewing administrator may request additional material or documentation from the candidate. The candidate shall provide the requested materials, to the best of his or her ability, within five days of receiving the request. The candidate may submit a brief statement or explanation with the requested material. The candidate shall submit the requested material to the review committee or reviewing administrator making the request and send copies to all preceding review committees and reviewing administrators. The response shall be added to the dossier if it is received within the time frame set forth above. (See Section 812.03). ***[FH 471.05]*** *New section added 7/1/98*

421.7 Responding to a Notice of a Request for Materials Not in the Possession of the Candidate

Each review committee and reviewing administrator may request additional materials not in the possession of the candidate. The committee chair or reviewing administrator shall notify the candidate of the request for additional materials in writing. The candidate may submit a brief statement or explanation about the requested materials to the review committee or reviewing administrator making the request and send copies to preceding review committees and reviewing administrators. The response shall be added to the dossier if it received within five days of the receipt of notice of the request. (See Section 812.03) ***[FH 471.06]*** *New section added 7/1/98; revised 7/99*

422 RIGHT TO GRIEVE/TIME LIMITS

After the Provost and Vice President for Academic Affairs has made and communicated the recommendation(s) regarding retention, tenure, and/or promotion, the faculty member has the right to pursue the formal grievance procedures outlined in 1330.00. If the Provost's recommendation is positive, a negative action in a prior review cannot be grieved. If the Provost's recommendation is negative, the candidate may cite a negative action in a prior review in the grievance. Grievances must be filed with the chair of the Grievance or Conciliation Committee no later than thirty (30) days from the date the faculty member is notified of the recommendation. ***[FH 472.00]***

SECTION 500 – ANNUAL REVIEW

500 PURPOSE OF ANNUAL REVIEW

Annual review assesses faculty member's performance over the preceding calendar year and is based upon the faculty member's letter of hire, role statements, annual assignments, self-assessments, and the department head's evaluation of the individual's performance. Reviews must be completed by April 10 or the date specified by the Provost and Vice President for Academic Affairs. The annual review with ratings and any written appeals to the review shall be included in the candidate's personnel file. ***[FH 711.00]*** *Revised 7/1/98*

501 LETTER OF HIRE/FACULTY ROLE STATEMENT

The letter of hire identifies the instructional or professional practice expectations of the faculty member's appointment. The faculty member and the department head are responsible for developing, and updating as necessary, the Role Statement which identifies the broad responsibilities each faculty member is expected to perform. Any substantive changes in the expectations and/or the role of the faculty within the department must be approved by the dean, department head, and the Provost and Vice President for Academic Affairs, after negotiation with the faculty member.

Annual reviews evaluate the faculty member's success in meeting expectations identified in the letter of hire and the role statement. ***[FH 712.00]***

510 PROCEDURES FOR CONDUCTING ANNUAL REVIEWS

The following procedures should be used in conducting annual reviews:

A. The faculty member and department head annually review the faculty member's performance relative to the faculty member's role and responsibilities Evaluations are expected to recognize the requirements and expectations of the position and the proportionate time and resources officially allocated to particular activities.

B. The department head rates the performance of each faculty member and submits the rating card to the college dean using the rating system prescribed by the Salary Review Committee (SRC).

C. The faculty member must sign the card on which the rating is communicated to the SRC. The signature of a faculty member does not indicate concurrence with the rating; rather it signifies that he or she has seen the rating. If the faculty member refuses to sign the card, the card shall be forwarded with the notation that the faculty member refused to sign it.

D. Copies of all annual reviews and the performance ratings of each faculty member shall be maintained in the faculty member's file in the department. These files shall be kept confidential and maintained in conformity with 453.00. ***[FH 720.00]***

510.1 College Procedures

The college dean is responsible for reviewing the annual rating cards and procedures used by the department. The dean will forward the rating cards to the Provost.

510.2 Department Procedures

Criteria and standards upon which annual evaluations of faculty performance are based shall be recorded in the appropriately dated document titled, “Department of Health and Human Development: Standards for Merit Evaluations.” All tenured/tenure track faculty members are required to complete an annual report (Faculty Activity Database) and provide it to the Department Head in January as soon as student evaluations are returned to faculty:

1) a current professional vita;
2) all raw data from student perception forms (Knapp or other departmentally accepted forms)
3) documentation of any research-related activities (letters of acceptance of articles, presentations, grant awards, etc.)
4) any additional materials that would assist the Department Head in an evaluation such as
    a. self evaluation
    b. self reflection
    c. yearly performance goals for the subsequent year will be developed collaboratively between the department head and the faculty member

The Department Head shall review each faculty member’s materials and submit a draft of the annual review letter to the faculty member prior to the scheduling of the formal meeting. Faculty members shall schedule an appointment with the Department Head following their review of the draft report from the Department Head.

Upon faculty review, corrections and clarifications shall be discussed during the review. The Department Head shall finalize and sign the annual review letter of evaluation either

- during the Annual Review meeting or
- within one week following the appointment.

The faculty member will sign one copy of the formal annual review document and the Annual Review – Overall Rating Card and be presented with a second copy of the formal annual review document signed by the Department Head.

511 RESPONSIBILITIES OF THE DEPARTMENT HEAD

The department head shall assign each faculty member the specific duties and responsibilities which meet department needs and enable the faculty member to fulfill the responsibilities of the position. The department head shall ensure that, taken collectively, the assignments of the faculty shall meet the department’s and college’s obligations to the University. The department head and the faculty member shall annually review the faculty member’s role within the department and make any modifications as may be necessary, after consultation with the faculty member. Any substantial modification of the faculty member’s role within the department must be approved by the department head, dean, and Provost and Vice President for Academic Affairs, after consultation with the faculty member. ***[FH 721.00]***

511.1 Procedures for Making Salary Recommendations

Merit increases are based on the faculty member's performance as assessed in the annual review process. Salary recommendations are not guarantees; the faculty member's actual salary may be changed by the SRC, by the President, or the Board of Regents.

The department head shall submit a proposed salary recommendation for each faculty member to the non-departmental administrator, if applicable and the college dean for the academic department.

In the case of Extension faculty, the salary recommendation is also sent to the Vice Provost and Director of Extension, and both the college dean for the academic department and the Vice Provost and Dean of Extension will, together, approve or modify the salary recommendation.

The salary recommendation is then submitted to the Salary Review Committee by the established deadline. Written notice of the salary recommendation will be given to the faculty member by the college dean of the academic department. ***[FH 722.00]*** *Revised 7/1/99*

511.2 Department Procedures for Making Salary Recommendations

Salary recommendations are based on performance evaluations calculated during the annual review process. In the event that there is raise money available that the MSU Administration deems 'merit', salary recommendations will be determined by:

- Applying the following weights to evaluation categories
    - EXCEEDS EXPECTATIONS = 2x
    - MEETS EXPECTATIONS = 1x
    - BELOW EXPECTATION = 0x
- Determine the total number of 'x's within the faculty eligible for raises (ie, if 25 faculty EXCEEDS EXPECTATIONS and 5 MEETS EXPECTATIONS, the total number of 'x's = 55 (25*2)+(5*1)
- Divide the total amount of raise dollars allocated to the department by total number of 'x's (if total salary dollars = $30,000 , then 30,000 / 55 = $545.45)
    - Faculty achieving EXCEEDS EXPECTATIONS would earn $1090.90 (2x) merit
    - Faculty achieving MEETS EXPECTATIONS would earn $545.45 (1x) merit
    - Faculty BELOW EXPECTATIONS would not receive a merit raise

A rating of "meets expectations" is necessary before one can be considered for a merit pay increase. An overall evaluation of "meets expectations" require that faculty meet expectations in all areas of their job assignments.

In the event that no monies are allocated to the department for one or more years, annual evaluations for each of those years will be averaged with the evaluation rating given in the first year that monies are awarded. No averaging will be done if raise monies were awarded the previous year.

The department's floor salary for tenure-track faculty may be determined by the department head in consultation with and approval by the dean. Full-time adjunct faculty members, who have had three continuous years of appointment in the department, will be eligible for merit raises in years for which monies are available.

512 RESPONSIBILITIES OF THE SALARY REVIEW COMMITTEE

The Salary Review Committee shall be appointed and charged according to 253.00. The Committee shall review all salary recommendations for conformity in the application of the standards of the University's salary administration plan and forward them to the President. ***[FH 722.01]***

513 FACULTY RIGHTS RELATIVE TO ANNUAL REVIEW

Tenurable faculty shall be involved in the review of administrators. ***[FH 730.00]***

513.1 Right to Timely Review

A faculty member who is not reviewed or does not receive a copy of the written annual review with performance rating by April 11 may bring the matter to the attention of the dean. The faculty member should inform the dean in writing, no later than April 15. (See 461.00) ***[FH 731.00]***

513.2 Right to Appeal Performance Evaluation

A faculty member who disagrees with a performance evaluation or rating should follow the procedures outlined in 462.00. ***[FH 732.00]***