

**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.]

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 FH 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]

Each department and college shall develop and annually update 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. [FH 620.00]

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.

The mission of Montana State University--Bozeman is three-fold: instruction, research and public service. The goals of the instructional program are to offer students a broad educational foundation for life-long cultural, intellectual, and personal growth as well as training for professional life. This educational foundation should help all students develop their abilities to think critically and creatively and to communicate effectively. Students should have a background in humanities, fine arts, social sciences, and natural sciences; an understanding of the social, political, and ethical issues in the modern world; and an appreciation of the cultural diversity in the United States and the world. Students should also see how their university studies are related to personal, national, and global issues.

"Montana State University (--Bozeman) adheres to the principle that a community of teachers and scholars can achieve its goals only if it maintains an atmosphere conducive to free inquiry, unfettered exploration of the unknown, and honest examination and evaluation of hypotheses and accepted bodies of knowledge (Role and Scope, 1978)."

The College of Letters and Science is the academic core of the University since it contains the central disciplines in the humanities and modern languages and in the mathematical, physical, biological, social and behavioral sciences. As the liberal arts college at Montana State University--Bozeman, the College of Letters and Science is the major contributor to the general education of all Montana State University students.

Thus, the teaching role of the College of Letters and Science is threefold: (1) to offer an academic curriculum that will provide for the general education of all Montana State University--Bozeman students, (2) to offer an enriched educational experience to students majoring in the many central disciplines of the College of Letters and Science, and (3) to provide a quality program of graduate study in those disciplines authorized to grant post-baccalaureate degrees.

The mission of the College of Letters and Science is not only to transmit knowledge but also to add to the body of knowledge within the central disciplines. Thus, every faculty member is expected to develop and maintain an active program of research and/or scholarship/creative activity consistent with their professional role. (Professional practice faculty may have a job description that emphasizes instruction and service.)

Because MSU--Bozeman is a Land Grant institution, public service is an important component of the Role and Scope of the College of Letters and Science. Professional outreach activities to the general public, and/or to state and local agencies, and/or to the academic disciplines are expected of each faculty member. Faculty also have a responsibility to serve on department, College, and University committees.

In summary, the College of Letters and Science performs three inter-related and complementary roles: undergraduate and graduate instruction, research/scholarship, and public service and/or outreach to the people of Montana. The development and continuation of each role is dependent upon the other two and all three are fundamental to our mission as a Land Grant University.

112.2 Role and Scope of the Department

Introduction

The Department of Earth Sciences is a vital component of the College of Letters and Science at Montana State University. As guided by the role and scope statement of this College, the Department of Earth Sciences supports the broad land grant mission which includes undergraduate and graduate instruction, research and service.

The role of the Department of Earth Sciences is to offer courses, conduct research, and provide service which integrate geographic and geologic principles to better understand Earth and it's inhabitants. This integration includes atmospheric, biological, geological, hydrologic, societal, cultural, historical, and economic perspectives. Geographic and geologic perspectives are equally important.

Teaching

Teaching is one of the department's key missions at Montana State University. Teaching scope includes general education, as well as disciplinary options and minors at the Bachelor of Science, Master of Science and doctoral levels (see Section 113.2). The Department fosters innovative and effective teaching which supports an integrative Earth Science view. This view includes primary material from Geography and Geology and integrative multi- and interdisciplinary perspectives. The departmental scope includes interaction with faculty and students from other disciplines in all colleges where an Earth Science perspective is relevant. The teaching program provides students with an appreciation for the breadth of the fields of Earth Science, Geography, and Geology as well as specialized knowledge and skills that can lead to opportunities for personal development, employment, and/or graduate education. Question asking, problem solving, integrative thinking, and critical thinking skills are stressed at all academic levels. Student advising at the undergraduate and graduate levels is an important component of teaching. Faculty provide academic counsel to students in their classes within the major, and on thesis and research committees both within and outside the department.

Research

Consistent with the role and scope of the College of Letters and Science, scholarship and creative activity are considered to be of equal importance to teaching in the Department of Earth Sciences. Active research programs with continuous records of accomplishment are maintained in conjunction with teaching responsibilities.

The scope of the Department's funded and unfunded research includes both "pure" and "applied" studies of the earth and its inhabitants. The validity and merits of both pure and applied research are of equal importance.

The scope of the Department's research complements its teaching/advising activities, especially at the graduate level, where student research often directly overlaps with the research interests of faculty.

Service

The Department of Earth Sciences is dedicated to providing service in the spirit of a land grant institution. The scope of service includes faculty participation on Departmental, College and University committees and administration; out-reach service to the community and general public; and service to the professions of geography or geology. Although service is a component of the role and scope of the Department, it is less important than the primary roles of education and research.

113 ACADEMIC PROGRAMS

113.1 Academic Programs of the College

Academic Programs

Biological Sciences, BS, MS, PhD
Biochemistry, MS, PhD
Chemistry, BS, MS, PhD
Earth Sciences, BS, MS
Economics, BS
English, BA
History, BA, MA
Mathematics, BS, MS, DEd, MEd, PhD
Microbiology, BS, MS, PhD
Military Science Air Force
Military Science Army
Modern Languages and Literatures, BA

Native American Studies
Philosophy, BA
Physics, BS, MS, PhD
Political Science, BA, MPA
Psychology, BS, MS
Sociology, BS
Statistics, MS, PhD
Women's Studies Minor

Centers

Antarctic Studies
Cellular and Molecular Biology
Community Center
Geographic Information and Analysis Center
Local Government Center
Math Tutor Assisted Courses Center (TAC)
Center for Native American Studies/Office of Tribal Services
Science Math Resource Center (SMRC)
Statistical Center
Writing Center

CLS faculty also make major contributions to the WAMI Regional Medical Education Program and the Mountain Research Center.

113.2 Academic Programs of the Department

Undergraduate

Bachelor of Science in Earth Sciences
Geography
GIS and Planning
Geohydrology
Snow Science
Paleontology
Geology

Minors in Earth Sciences

Geography
Geographic Information Systems
Geology
Earth Science Teaching

Graduate Level (Focus areas in Geology, Geography, and Geobiology)

Master of Science in Earth Science
Doctor of Philosophy in Earth Science

Programs with which Earth Sciences Cooperates

Undergraduate
Water Resource Minor

Graduate

Master of Science in Land Rehabilitation

Centers within Department

Geographic Information Analysis Center

Center with which Earth Sciences Cooperates
Mountain Research Center

114 RESEARCH AND CREATIVE ACTIVITY

114.1 Special Areas of College Research and Creative Activity

These areas are identified by the disciplines in the College of Letters and Science departments and by the special interests of the faculty.

114.2 Special Areas of Department Research and Creative Activity

Emphasis in geology and geography using the outstanding natural laboratory of the Northern Rocky Mountains.

Emphasis on human-land interaction, both historically and in the modern context.

Applications of modern computer-based GIS technology to earth systems, mapping, modeling and analysis.

Earth surface processes, particularly those related to water and sediment.

115 OUTREACH/PUBLIC SERVICE

115.1 Special Areas of College Outreach/Public Service

These areas are identified by the disciplines in the College of Letters and Science departments and by the special interests of the faculty.

115.2 Special Areas of Department Outreach/Public Service

Geographic Information and Analysis Center

Collaboration with the Museum of the Rockies

Summer courses through Montana State University Extended Studies

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]

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 expectations in terms of teaching, research/creative activity and service. The Criteria and Standards portion of this document (FH 630.00 to 636.00) carries forth this principle by distinguishing two general categories of academic faculty, designated as those with "instructional" expectations and those with "professional practice" expectations. Each faculty member's letter of hire will specify which category of expectations apply.

Differences in expectations [must] 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]

210 UNIVERSITY CRITERIA

The University criteria on which faculty performance will be reviewed are teaching, research, and service.

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 602.03]

211.2 College Teaching Criteria

The College of L&S expects instructional faculty to contribute to the general education of Montana State University--Bozeman students, to the educational experience of students majoring in the many central disciplines of the College and where appropriate, to the graduate programs of students pursuing post-baccalaureate degrees. In addition to the university teaching criteria above, the College recognizes other faculty contributions, such as participation in the university core, the honors program, direction of independent study, undergraduate research and graduate research, advising of undergraduate and graduate students.

211.3 Department Teaching Criteria

Demonstrated competence in teaching is essential. The specific criteria tabulated below for teaching in the Department of Earth Sciences are not listed in any order of priority of importance. Criteria to be used to evaluate teaching include:

- Sponsorship of student individual special studies and theses;
- Extensive revisions of existing courses; development of special teaching materials and new methods of instruction;
- Help sessions, extra labs, field trips, and the like;
- Classroom performance;
- Direction of theses;
- Work as a member of the reading committee for graduate theses both within and outside the department;
- Advising: assistance with inquiries about Earth Sciences from nonmajors; career and curricular advising for graduate and undergraduate majors; assistance with curriculum checking; work as graduate representative; advising in the Undergraduate Scholars Program or Honors Program; and work advising undergraduate research or internships.
- Interaction where appropriate with academic staff and/or programs outside the department.
- Refereed publications regarding teaching.

212 RESEARCH 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 602.03]

212.2 College Research Criteria

The diverse nature of the College encourages a wide variety of scholarly activity. All faculty members with research expectations are expected to develop a continuous record of significant scholarly contributions. Publication, productivity, or funding appropriate to national norms in each discipline, as defined by the departments, will serve as the criteria for evaluation. Scholarship that focuses on the methods of teaching in a particular discipline is considered research/creative activity.

212.3 Department Research Criteria

The specific criteria tabulated below for research in the Department of Earth Sciences are not listed in any order of priority of importance. Criteria to be used to evaluate research include:

Publications and presentations:

- Articles published in refereed journals;
- Articles published in non-refereed journals;
- Published books and monographs; chapters of books;
- Book reviews, published letters, and commentary in refereed journals;
- Papers read at conferences; published abstracts of same;
- Invited papers at conferences and symposia; invitations to participate in professional symposia or panels; invitations to chair sessions at professional meetings;

Deleted:

Student research:

- Student theses done under the candidate's direction, especially if published and/or read at conferences;

- Other student research projects;

Grants:

- Grants submitted;
- Grants funded;

Research in progress:

- Research currently in progress; development of new research techniques; bringing new research specialties to campus.

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. [602.03]

213.2 College Criteria

Outreach and public service are important to the College of Letters and Science and will vary according to the individual departmental and faculty roles.

213.3 Department Criteria

The specific criteria tabulated below for service in the Department of Earth Sciences are not listed in any order of priority of importance. Criteria to be used to evaluate service include:

- Chairmanship of university or department committees;
- Membership on university or department committees;
- Professional services to outside organizations (gratis);
- Direction of professional workshops;
- Work on editorial boards or as editor for professional journals related to the Earth Sciences;
- Non-professional service activities related to Earth Sciences; and
- Other activities assumed by the candidate or assigned to by department head, dean, or higher administrators.

"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]

220 GENERAL UNIVERSITY STANDARDS

The University standards on which faculty performance will be reviewed are effectiveness and excellence.

Sustained effectiveness in all areas of a faculty member's assignment is a University-wide requirement for retention, tenure and promotion. [FH 603.04]

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]

The University criteria and standards defined herein are the minimum acceptable standards for the university; departments and colleges are expected to develop criteria and standards based on, and no less rigorous than, those described herein. [FH 622.00]

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]

220.1 Standards for Faculty with Instructional Expectations

Faculty with instructional expectations will advance the teaching, research/creative activity, and service missions of the University. [FH 632.00]

220.1 a. General College Standards for Instructional Faculty

For retention, tenure, or promotion, a faculty member must demonstrate effectiveness in all areas of the candidate's assignment: teaching, research/creative activity, and service. Teaching and research/creative activity are considered to be of primary and equal importance. Service, however, is also an important feature of every faculty member's role. Candidates for tenure and promotion to Associate Professor also must demonstrate the potential for excellence in either teaching or research/creative activity. Candidates for promotion to Full Professor must demonstrate a record of excellence in teaching and/or research/creative activity.

220.1 b. General Departmental Standards for Instructional Faculty

The fundamental commitment of the Department of Earth Sciences is to teaching and research. Service to the department, university, and/or community, although of lesser importance is a component that must be considered in awarding promotion and tenure. Substantial accomplishments in teaching, research, and/or service will be accepted as prima facie evidence of professional development.

The weighting given to teaching, research, and service may vary with the individual and should reflect performance expectations as outlined by role statements and annual review documents which are specified in Sec. 103.05 of the Faculty Handbook. At any level (tenure or promotion) a candidate's effectiveness in teaching, research and service must be demonstrated.

220.2 Standards for Faculty with Professional Practice Expectations

Faculty with professional practice expectations will advance the mission of their departments through activities appropriate to their specific assignments. [FH 632.00]

- a. *College standards for professional practice faculty are the same as those for instructional faculty, consistent with their specific assignments.*
- b. *Department standards for professional practice faculty are the same as those for instructional faculty, consistent with their specific assignments.*

221 EFFECTIVENESS IN TEACHING

221.1 University Standard of Effectiveness in Teaching

Faculty performance in teaching will be judged effective if it meets or exceeds the standards of the candidate's department and college. [FH 633.01]

221.2 College Standard(s) of Effectiveness in Teaching

Faculty performance in teaching as appropriate to the candidate's discipline, assignment, and rank, will be judged **effective** if it is consistent over time and of high quality and meets or exceeds the standards set by the candidate's department.

221.3 Department Standard(s) of Effectiveness in Teaching

The general standard for effectiveness is evidence that the candidate's teaching has had a positive and demonstrable influence on students, and that the candidate meets or exceeds the departmental and college standards appropriate to the candidate's discipline, assignment, and rank. Evidence of effectiveness in teaching includes:

1. ratings of good or better on the question asking about overall effectiveness and on the overall score on the University student teaching assessment forms;
2. updates and/or revision of courses, either in the context of subject matter or teaching techniques;
3. having the respect of the tenured Earth Science Staff as a teacher based on their interaction with the candidate through class room visitation, team teaching, joint graduate committee membership, and/or joint experience with advisees;
4. documentation of advising at graduate and/or undergraduate level that appropriately directs students to graduation, graduate school or employment; and
5. confidential letters provided by students who have graduated from the department and which comment on the effectiveness of the candidate's teaching.

222 EFFECTIVENESS IN RESEARCH/CREATIVE ACTIVITY

222.1 University Standard of Effectiveness in Research/Creative Activity

Faculty performance in research/creative activity will be judged effective if it meets or exceeds the standards of the candidate's department and college.

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

Faculty performance in research/creative activity as appropriate to the candidate's discipline, assignment, and rank, will be judged **effective** if it is consistent over time and of high quality and meets or exceeds the standards set by the candidate's department.

222.3 Department Standard(s) of Effectiveness in Research/Creative Activity

The general standard for effectiveness is evidence that the candidate's research and creative activities have had a positive and demonstrable influence on students, colleagues, and peers, and that the candidate meets or exceeds the departmental and college standards appropriate to the candidate's discipline, assignment, and rank. Evidence of effectiveness in research/creative activity includes:

1. active research, presentations at regional or national professional meetings, publication in refereed journals, and/or publication of a major book, and
2. evidence of respect of peers outside Montana State University for candidate's research.

223 EFFECTIVENESS IN OUTREACH/PUBLIC SERVICE

223.1 University Standard of Effectiveness in Outreach/Public Service

Faculty performance in outreach and public service will be judged effective if it meets or exceeds the standards of the candidate's department and college. [FH 633.01]

223.2 College Standard(s) of Effectiveness in Outreach/Public Service

Faculty performance in service as appropriate to the candidate's discipline, assignment, and rank, will be judged **effective** if it is significant and of high quality and if it meets or exceeds the standards of the candidate's department.

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

The general standard for effectiveness is evidence that the candidate's outreach/public service meet or exceed the departmental and college standards appropriate to the candidate's discipline, assignment, and rank. The minimum standard is active participation in department service activities to include curriculum development, staff meetings, and committee assignments.

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]

231.2 College Standard(s) of Excellence in Teaching

Faculty performance in teaching will be judged **excellent** if it has an innovative component and if it receives substantial recognition from students, colleagues, and /or peers in the profession.

231.3 Department Standard(s) of Excellence in Teaching

Faculty performance in teaching will be judged excellent if it has achieved substantial recognition in the judgment of current and former students, colleagues, and peers and if it contains an innovative component. Excellence may be demonstrated through awards and formal recognition at the college, university, state, national or international level, but may also be demonstrated through exploration and development of innovative teaching techniques and methods. Excellence may also be demonstrated through data in the portfolio as outlined in Section 241.3.

232 EXCELLENCE IN RESEARCH/CREATIVE ACTIVITY

232.1 University Standard of Excellence in Research/Creative Activity

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

Deleted: ,

232.2 College Standard(s) of Excellence in Research/Creative Activity

Faculty performance in research/creative activity will be judged **excellent** if it receives substantial national or international recognition from peers and colleagues as having made a substantial contribution to the candidate's discipline.

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

The general standard for excellence is that the candidate has achieved substantial national or international recognition in the judgment of colleagues and peers. Excellence may be demonstrated through awards and formal recognition at the college, university, state, national or international level, but may also be demonstrated through data in the portfolio as outlined in Section 242.3.

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]

233.2 College Standards of Excellence in Outreach/Public Service

Faculty performance in service will be judged excellent if it receives substantial recognition from colleagues and peers outside the University.

233.3 Department Standards of Excellence in Outreach/Public Service

The general standard for excellence is that the candidate's outreach/public service has achieved substantial recognition in the judgment of colleagues and peers outside the university. Excellence may be demonstrated through awards and formal recognition at the college, university, state, national or international level, but may also be demonstrated through data in the portfolio as outlined in Section 243.3.

240.1 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]

Deleted:

240.2 *The procedures for establishing the departmental report on any candidate will be developed by the candidate's department.*

241 DEMONSTRATION OF EFFECTIVENESS AND EXCELLENCE IN TEACHING

241.1 University Policy and Procedures

Effectiveness, excellence, and potential for excellence in teaching shall be demonstrated through evaluation by peers and colleagues within the University and through in-depth assessment of teaching performance, that draws upon current and former students, graduates, colleagues and

clients. Candidates shall follow the methods for in-depth assessment of teaching performance established by the department. [FH 633.03]

241.2 **College Policies and Procedures**

Methods for conducting an in-depth assessment of teaching performance are:

Effectiveness, excellence, and potential for excellence in teaching shall be demonstrated through evaluation by peers and colleagues within the University and through in-depth assessment of teaching performance and curricular enhancement and innovation that draws upon current and former students, graduates, colleagues, and/or clients. Candidates shall follow the methods for in-depth assessment of teaching performance established by the department. Excellence in teaching must be demonstrated in part through evaluation of the candidate's course materials and contributions. Evaluations by outside reviewers may be solicited.

- a. **Teaching effectiveness** must be demonstrated, not merely asserted, through a narrative that reports student and peer evaluations of the candidate and by an assessment of advising quality. Specifically, the following methods may be utilized to demonstrate teaching effectiveness. Departments should take extra care to provide detailed information on both the quality and quantity of teaching.
- (1) Student evaluations should be both quantitative and qualitative: quantitative in order to allow comparison with other teachers, and qualitative to enable students to elaborate on their perceptions of strengths and weaknesses of the teacher.

In order to interpret the quality of teaching, the CLSPTRC (College of Letters and Science Promotion and Tenure Review Committee) also needs a detailed description of the procedures used in the evaluation of teaching. The CLSPTRC looks for a comprehensive summary of student evaluations for all courses taught by the candidate since the last review/hire, as well as a shorter summary of previous evaluations. The CLSPTRC also needs a narrative analysis of the data. If a departmental scale is used, what is the departmental range and the departmental mean? Whenever possible, comparisons should be made to similar classes, preferably from within the department, and, if appropriate, to college or university experience. Neither random statements from individual evaluations nor generalized, qualitative assertions (for example, "good", "very good", "excellent") are helpful in demonstrating a candidate's abilities as a teacher, without documented supportive evidence to back them up.

- (2) The department has the option to use its own evaluation form if comparative data can be made available. If the Department uses its own teaching evaluation form (rather than one of the standard university instruments), a copy of this instrument should be included in the file. One common teaching evaluation instrument must be used by all department members. The use of standardized student evaluation forms (such as the Knapp or Aleamoni forms) to solicit student feedback is strongly encouraged. Whatever the instrument used, an official "summary" sheet (such as the cover sheet that is part of each Knapp form or Aleamoni form) for each course should be included in the candidate's dossier, one which summarizes the raw statistical data of student responses--rather than merely a statement of such results prepared by the candidate. In addition, a complete set of actual student evaluations for every course taught during the review period should be available for review by the CLSPTRC if requested.
- (3) When letters from former students and graduates are employed, they must be solicited by the department head and/or the departmental promotion and tenure committee and must not be solicited by the candidate. The candidate should provide a list of names from which the departmental committee will choose, although the committee also should solicit letters from other students formerly taught by the candidate. (The departmental report should state clearly how the students were chosen; and a copy of the letter soliciting the students'

responses should be included in the candidate's file.) The letters should address the lasting effects of the candidate's courses and the degree to which the students were prepared for their professions/further education or their lives were enriched.

- (4) Peer evaluations, such as observation of teaching and/or reviewing teaching materials, are a form of reciprocal faculty development among and between staff members, and may be a regular part of the review process.

- (5) Academic advising of students is an important component of teaching effectiveness in cases where faculty are assigned this responsibility. In such cases, the amount and quality of advising must be documented by the Department Head or Department Promotion and Tenure Committee.
 - (6) General statements about credit or contact hours taught or about numbers of students taught have little meaning for committee members outside the candidate's field. For example, a 4-credit lecture course given to 200 students may involve less time per week than a 4-credit discussion course taught to 25 students if the discussion course involves many hours of individual conferencing. The CLSPTRC thus needs to have quantitative data interpreted. For example, approximately how many actual hours per week does the candidate spend directly on teaching or advising duties (this includes class preparation, in-class teaching, conferencing, direct supervision or laboratory work, grading and so forth).
 - (7) The departmental P&T committee should present the following information for each faculty member being reviewed: list of courses taught during the review period, number of credit and/or contact hours for each course, number of students per course, student evaluation data for every course, and some comparative information contextualizing the candidate's teaching within the department.
 - (8) Some departments may choose to supplement other empirical information by conducting a Danforth Review of teaching. Such a review should not be presented in lieu of other empirical evidence. In this type of review a well respected faculty member from another department who is not acquainted with the candidate interviews a dozen or so students who have had the candidate for a teacher. The reviewer asks penetrating questions of the students to assess the qualities of the candidate's teaching performance. A report is prepared and the reviewer is made known to the departmental committee and head but is anonymous to the candidate. If a department wishes to conduct a Danforth Review, the review should be conducted in accordance with the CLS guidelines available in the office of the dean.
- b. **Teaching excellence** must be demonstrated as above; however, excellence in teaching differs from effectiveness in teaching in that for excellence 1) there is an innovative component and 2) the work receives substantial recognition from peers, students, former students, and/or clients. An innovative component might include such accomplishments as making novel connections among bodies of knowledge, linking theory and practice, or developing inventive approaches to critical thinking, problem-solving, oral and written communication, or awareness of other cultures and epochs.

Documentation of both innovation and substantial recognition is necessary. Such documentation must include student evaluation, materials from former students and/or clients, and elements of peer review, including internal assessment of course materials to ascertain the degree to which course content is solid and current. (Since CLSPTRC and in some cases even departmental peers may be unable to judge teaching materials in a candidate's specialized area of expertise, departmental committees well may solicit external reviewers from those in the candidate's field. Such reviews should be handled in accordance with CLS guidelines for reviews, Section 242.2.) Documentation of excellence also may include, for example, teaching awards, materials demonstrating curriculum development, evidence of successful collaboration with the public schools or with other institutions of higher education, or teaching materials such as textbooks.

CLSPTRC also encourages candidates who may seek promotion to full professor on the basis of excellence in teaching to prepare teaching portfolios to be reviewed by the department and, if the candidate deems it appropriate, by external evaluators from related fields beyond the department. We suggest such portfolios because they are an effective means of organizing and presenting cumulative evidence of teaching excellence. Such portfolios should include a

brief statement from the candidate about teaching responsibilities and teaching philosophy, objectives, and strategies; representative course syllabi, with readings, handouts, and assignments; and summaries of student evaluation data. The portfolio might also include description of curricular enhancement and innovation, with supporting materials; description of steps taken to evaluate and improve teaching; statements from colleagues who have observed classes and reviewed materials; sample student essays, lab work, or creative projects; statements from former students and graduates; teaching honors or recognition; and invitations from outside agencies or other campuses to demonstrate teaching methods or participate in activities related to teaching.

241.3 Department Policies and Procedures

Methods for conducting an in-depth assessment of teaching performance are:

Teaching performance will be evaluated based on the criteria listed under 211.3. Teaching portfolios should include University teaching evaluations for courses taught, annual faculty reviews of teaching performance by the Department Head, examples of syllabi and course outlines, documentation of extensive course revisions, written comments from former students (if available), explanations of innovative teaching techniques, including syllabi, papers on innovative methods, examples of student products, and anything else pertinent to the evaluation of teaching activities and performance.

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 shall be demonstrated through evaluation by on-campus review committees and administrators and external reviewers. 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]

242.2 College Policies and Procedures

Methods for conducting an in-depth assessment of performance in research/creative activity are:

The candidate's vita should separately indicate a) refereed books or book chapters, b) refereed journal articles, c) invited conference presentations, d) contributed conference presentations, e) seminars and/or colloquia, f) grant proposals submitted and grants funded, and g) other. Indicate complete authorship on papers, grants funded, etc. The departmental report also should indicate the quality and reputation of the vehicles in which the candidate publishes. When appropriate, the candidate's contribution to papers and grant proposals should be described and interpreted. Note work in progress or in submission/circulation; evaluate its quality. Letters of reference should especially address an evaluation of the candidate's scholarship/creativity. Confidential letters of evaluation from outside Montana State University--Bozeman are required for tenure and promotion reviews. A minimum of four such letters is required. All letters of evaluation received must be included in the candidate's file. Letters of evaluation should address the candidate's professional potential and accomplishments rather than personal qualities. Specific assessments of scholarship/creativity are essential.

Deleted:

Deleted:

Evaluators should be specialists in the candidate's field and familiar with the usual expectations for faculty performance. Letters from mentors, former colleagues, close collaborators, or personal

friends have less credibility and should not be solicited. A majority of the outside evaluators must be selected by the department head and/or departmental committee; a minority may come from a list of names submitted by the candidate. Candidates should not be informed of the identity of outside evaluators in order to protect the confidentiality of the review process.

Deleted:

The external review letters must be requested by the department head and/or the department promotion and tenure committee chair, and must not be solicited by the candidate. The department report should state clearly how external referees were chosen and should include a brief statement of their status in the field. A copy of the letter soliciting outside reviewers must be included in the candidate's file; referees should state either knowledge of or relationship to the candidate, if any.

External evaluators should be sent a copy of the candidate's vita, as well as a selection of relevant publications and/or unpublished manuscripts, along with other materials, as appropriate. They should be asked to comment specifically on the quality of the candidate's written scholarship and his or her productivity.

242.3 Department Policies and Procedures

Methods for conducting an in-depth assessment of performance in research/creative activity are:

Research performance will be evaluated for the criteria listed under 212.3. Research portfolios should include lists of all research grants submitted and received; a comprehensive list of all published articles, papers, books, chapters, abstracts, contributions to proceedings, etc.; descriptions of unfunded research activities; explanations of collaborative research endeavors, including research with graduate students; a list of presentations of research results at regional and national conferences; identification of invited talks and/or papers; and anything else pertinent to the evaluation of research activities and performance. Confidential letters of evaluation from outside Montana State University--Bozeman are required for tenure and promotion reviews. A minimum of four such letters is required. All letters of evaluation received must be included in the candidate's file. Letters of evaluation should address the candidate's professional potential and accomplishments rather than personal qualities. A majority of the outside evaluations must be chosen from a list prepared by the Promotion and Tenure Committee and not by the candidate. The external review letters must be requested by the department Promotion and Tenure Committee chair and not by the candidate. External evaluators should be sent a copy of the candidate's vita, a selection of the candidate's most significant publications, and other materials as appropriate.

243 DEMONSTRATION OF EFFECTIVENESS AND EXCELLENCE IN OUTREACH/PUBLIC SERVICE

243.1 University Policy and Procedures

Effectiveness in service shall be demonstrated through evaluation by peers and colleagues within the University. Excellence and potential for excellence in service shall be demonstrated through evaluation of professional and public service activities by peers outside 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.
[FH 633.03]

243.2 College Policies and Procedures

Methods for conducting an in-depth assessment of performance in outreach/public service are:

In addition to the university policy and procedures, the department report should describe the candidate's professional service activities to the University, the profession, and the people of the

state of Montana. Information about committee assignments, offices held, editing duties, service to professional organizations, outreach, and other professional tasks relevant to the candidate's defined role should be provided. Citizenship activities (c. f. service clubs, coaching, church involvement, etc.), while valuable in the community, are not considered as part of the promotion and tenure process unless an express part of the candidate's assigned role or relevant to the Earth Sciences. Review of service will be conducted internally and by external reviewers as required by university policy in Section 243.1. Guidelines for the solicitation of reviewers are the same as for teaching and research/creativity.

243.3 Department Policies and Procedures

Methods for conducting an in-depth assessment of performance in outreach/public service are:

Performance in outreach/service will be evaluated for the criteria listed under 213.3. Service includes not only public service, but service to the department, college and university, as well as professional service. Documentation of outreach/service should include lists of all memberships on campus or professional committees; service and outreach activities to the community or State which are related to and dependent upon Earth Sciences expertise; and anything else pertinent to the evaluation of outreach and service activities.

SECTION 300

STANDARDS FOR APPOINTMENT, PROMOTION, RETENTION AND TENURE

300 RESPONSIBILITY TO ESTABLISH STANDARDS

Departments and colleges will establish specific criteria for the review of faculty performance. [FH 632.00]

Departments and colleges shall establish standards for retention, tenure and promotion that are no less rigorous than those described below. [FH 633.00]

310 RETENTION AND SPECIAL REVIEW

Faculty members are formally reviewed for retention in their third year of appointment.

Faculty may also be reviewed at times other than those required for third year, tenure, and promotion. [Such 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 departmental review committee or by a special review committee composed of academic faculty. [FH 615.00]

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, and*
- 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 standards for retention are as above.

310.3 Department Standards for Retention

The Department of Earth Sciences standards for retention are as stated in Section 310.1.

320 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 (3) 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, and*
3. *demonstrated potential for achieving excellence in teaching and/or research/creative activity.* [FH 651.00]

B. College Standards

College-Wide Standards for Tenure are as above.

C. Department Standards

The Department standards for tenure are:

1. all standards for an Assistant Professor,
2. six years of experience as a teacher, researcher, and public servant, and
3. the standards as stated above in Section 321.1A.

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, and*
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

Appointments with Professional Practice Expectations are as above.

C. Department Standards

The Department standards are as stated above in Section 321.2A.

330 APPOINTMENT AND PROMOTION

Faculty members may be appointed to the rank of Assistant Professor, Associate Professor, or Professor depending upon their qualification, thus *University-wide standards for appointment and promotion vary by rank.* [FH 660.00]

Normally, promotion is awarded after the completion of no fewer than five (5) 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 criteria and 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]

331 STANDARDS FOR APPOINTMENT AND PROMOTION 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, and*
3. *qualifications to conduct research/creative activity in a specialized field.* [FH 661.01]

B. College Standards

College-Wide Standards for Appointment and Promotion are as above.

C. Department Standards

1. A Ph.D. in an Earth Science discipline;
2. evidence of ability to generate, translate, and disseminate knowledge. A minimum standard is presentation of research results at professional meetings with published written abstracts;
3. evidence of sound oral communication skills as demonstrated by professional presentations before peers; and
4. evidence of interest in teaching, working with and appropriately advising students at all levels from nonmajors at an introductory level to undergraduate majors and graduate students.

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, and*
2. *demonstrated potential to carry out the primary duties of his or her assignments. [FH 661.02]*

B. College Standards

Appointments with Professional Practice Expectations are as above.

C. Department Standards

Same as stated in Section 331.2A

332 STANDARDS FOR APPOINTMENT AND PROMOTION TO THE RANK OF ASSOCIATE PROFESSOR

A candidate of Associate Professor rank shall be expected to be approved for tenure and promotion to Associate Professor simultaneously, unless Associate Professor rank has been previously awarded.

[FH 662.00]

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, and*
3. *demonstrated potential for achieving excellence in teaching and/or research/creative activity. [FH 662.01]*

B. College Standards

Standards for Rank of Associate Professor are as above.

C. Department Standards

The department standards for rank of Associate Professor are:

1. all standards for an Assistant Professor, and
2. the standards as stated in Section 332.1A.

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

Appointments with Professional Practice Expectations are as above.

C. Department Standards

Same as stated in Section 332.2A.

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, and*
3. *a record of excellence in teaching and/or research/creative activity. [FH 663.01]*

B. College Standards

Standards for Rank of Professor are as above.

C. Department Standards

1. Continue to meet all standards for Associate Professor;
2. demonstrate a record of excellence in teaching and significant contributions and leadership as an advisor and mentor, and/or

demonstrate ongoing productivity and leadership as a scholar and evidence of excellence in research and creative activity in his or her field, quality of work is of more importance than number of publications;

3. concrete and indisputable evidence of the candidate's dedication to his/her profession; and
4. irreproachable integrity as a scholar.

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

Appointments with Professional Practice Expectations are as above.

C. Department Standards

Same as stated in Section 333.2A.

SECTION 400

PROCEDURES FOR FORMAL REVIEW OF FACULTY PERFORMANCE

"Substantive review" means an assessment of the merit of a candidate's dossier in terms of the department, college, and University-wide criteria and standards appropriate to the type of review. [FH 802.00]

400 GENERAL PROCEDURES

The review of individual faculty [for retention, tenure, and promotion] is initiated at the department level, where the relevant disciplinary expertise is located, and is then carried to the college and University levels, where successively broader perspectives are employed. [FH 603.05]

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:

- A. The criteria and standards used to assess faculty members' contributions to the role of the department and evaluate their performance 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 [college and/or department] 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 241 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 241 above.)*
- F. The type of materials accepted or required in the documentation of research and creative activities and of outreach and public service. (See 242 above.)*
- G. The dates and times of review. (See 412 below.)*
- H. The procedures for obtaining outside peer reviews and soliciting internal letters of support/evaluation. (See 243. above and 415.3 below.)*
- I. The methods for designating and handling confidential materials. [See 415.2 below.] [FH 623.00]*

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: review by department committee, department head, college committee, college dean, University committee, and Provost and Vice President for Academic Affairs. [FH 810.00]

College Procedures for Formal Review of Faculty Performance

- A. Departments should follow the Uniform Data Format for departments presented in Section 421.2. For third year, tenure, promotion and special reviews, the faculty member must submit to the departmental committee all previous goal statements, annual review documents and previous promotion and tenure review summaries and other materials relevant to his/her performance.
- B. Departments must indicate explicitly the means by which their recommendations are determined. Since different departments may use different methods, it is essential to CLSPTRC and to the University Promotion and Tenure Committee to know what those methods are. For example, does the entire department vote, or only certain ranks, or only a departmental promotion and tenure committee? What documents are made available to the voters? What is the vote tally? In addition, the department head's vote and recommendation should be clearly differentiated from the departmental committee's; and the head's degree of concurrence with the candidate's peers should be clearly stated and supported.
- C. Departments must describe the standards used in their department for evaluating candidates in each of the three criteria areas. Included should be a general statement as to what the department expects from all faculty in terms of teaching, scholarship/creativity, and service. Departments should include the candidate's departmental role statement.
- D. Dissenting or minority opinions about the candidates by members of the department committee must be explained within the report.

411 MANDATORY CONSIDERATIONS AT ALL LEVELS OF REVIEW

In conducting the review, [promotion and tenure committees of the college and department] shall at a minimum, consider the following:

- A. *the University criteria and standards described above,*
 - B. *the previously approved role and scope, criteria and standards document of the college,*
 - C. *the previously approved role and scope, criteria and standards document of the department,*
 - 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 written evaluations of external peer reviewers.*
- [FH 811.00]

412 RESPONSIBILITIES OF THE COLLEGE DEAN

The dean shall determine, to the best of her or his ability, whether the candidate's preceding reviews were conducted in substantial compliance with the procedures set forth by the department, college and this Handbook. The dean shall also conduct an independent and substantive review of the candidate's dossier and make recommendations regarding retention, tenure, and/or promotion. In cases of non-concurrence with a preceding review, the recommendation shall include a written rationale for 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.*

Dates and times will be set by the Dean in accordance with those set by the Provost. In general this means the departmental review will be done by the end of fall semester.

- B. Ensuring that the election of faculty representatives to the college and UPT Committees is conducted in a timely manner.*

The election of the members of the CLSPTRC and the college representation to the UPTC, at the discretion of the CLSPTRC, may be conducted by the Dean's Office.

- C. Providing the college review committee with information and materials essential to their deliberations, according to college and University policies and procedures.*

- D. Forwarding the candidate's dossier, with her or his recommendations, to the UPT Committee and sending a copy of the written recommendation to the candidate. [FH 816.00]*

413 REVIEW BY THE COLLEGE PROMOTION AND TENURE COMMITTEE

Each college shall establish a "college review committee" to consider the dossier submitted by each candidate and formulate its recommendation for retention, tenure, and/or promotion. [FH 815.00]

413.1 Membership and Procedures for Selection

Each college shall establish the policies and procedures by which the membership of the committee shall be established. The college review committee shall be composed only of tenured faculty, at least 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 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 that representation.

No faculty member shall serve on the committee during the 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 815.00]

The Committee is composed of five tenured faculty members of the College above the rank of instructor, three of whom are elected by the academic faculty of the College and two of whom are appointed by the College Dean. At the discretion of CLSPTRC, the Dean may be a non-voting participant and/or may serve as the chair of the committee. The Dean will not be present during votes.

Deleted:

413.2 Responsibilities of the Committee

The committee 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 [the Faculty] Handbook. The committee also conducts a fair, objective, independent, and substantive review of the candidate's dossiers based on department, college, and University criteria and standards. In cases of non-concurrence with a preceding review, the recommendation shall include a written rationale for non-concurrence.

The college 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 and*
- B. *preparing a written recommendation, with vote tally, concerning the retention, tenure, and/or promotion of each candidate for review.*
[FH 815.00]
- C. *reviewing, making suggestions for modification, and approving the role and scope, criteria and standards documents of the college.*

413.3 Actions of the Committee

The college 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]
- C. *for formal review of a candidate, the college committee first reviews the criteria listed in this document and the appropriate Departmental Role and Scope, Procedures, Standards and Criteria documents.*
- D. *following detailed discussion of the merits of each case, each member indicates her/his vote and the reasons for that vote. If the college committee supports the departmental recommendation, the college committee's first vote becomes its recommendation to the Dean. For those cases in which the college committee is divided or in which the college committee disagrees with the departmental recommendation, additional deliberations are scheduled (see below).*
- E. *if the CLSPTRC has questions or has not concurred with the department's recommendations, the committee may invite the respective department head and/or department P & T committee chair to discuss those cases with the college committee, or may solicit written information from them.*
- F. *after additional discussions on all cases in dispute, CLSPTRC takes final votes on each and makes final recommendations to the Dean.*
- G. *all recommendations are summarized by the college committee in a letter to the Dean and to each individual member under review. Copies of these letters are included in the files sent to the Provost and to the appropriate department head.*
- H. *each year, the college committee reports to the faculty the total number of recommendations received from the CLS departments, the number with which the college committee agrees or disagrees, and the degree to which the CLS Dean, the University Promotion and Tenure Committee, and the University President agree.*

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

A call for nominations is made to all CLS tenured and tenurable faculty. The nominees must be from among the tenured associate professors and full professors within the college. No faculty member up for review may serve on the committee. No UPTC member may simultaneously serve on either the college or departmental P&T committee. Members normally serve for one three-year term and cannot be reelected to consecutive terms. Each college should elect an alternate to serve if the elected member is unable to serve.

A ballot is drawn up from the list of nominees consisting of those that meet the criteria shown above and who agree to serve on the committee should they be elected. A college-wide election is held with the top vote-getter serving on the committee and the second vote-getter serving as an alternate.

414 RESPONSIBILITIES OF THE DEPARTMENT HEAD

The department head shall determine, to the best of her or his ability, whether the candidate's preceding review was conducted in substantial compliance with the procedures set forth by the department, college and this Handbook. The department head shall also conduct an independent and substantive review of the candidate's dossier and make recommendations regarding retention, tenure, and/or promotion. In cases of non-concurrence with the preceding review, the recommendation shall include a written rationale for non-concurrence.

The department head 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 a copy of the University, college, and department documents related to annual review, retention, tenure, and promotion.*
These documents are available from the main office of the Department of Earth Sciences.
- 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.*

All reviews will be conducted in a timely manner to meet yearly dead lines established by the College and University P&T Committees. The department head will inform personnel of upcoming reviews by April 30.

- F. Providing the department review committee with information and materials essential to their deliberations, according to department, college and University procedures.*

Deadlines for reviews as established by the College and University..

- G. Forwarding the candidate's dossier, including recommendation(s), to the college dean and sending a copy of the recommendation(s) to the candidate.*

H. *Maintaining complete, accurate and up-to-date files on each faculty member.*
[FH 814.00]

415 **RESPONSIBILITIES OF THE DEPARTMENT REVIEW COMMITTEE**

Each department shall establish a "departmental review committee" to consider the dossier submitted by each candidate for review and formulate its recommendation for retention, tenure, and/or promotion.
[FH 813.00]

415.1 **Membership and Procedures for Selection**

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

The department head may be present at committee meetings at the discretion of the committee. The department head may present data that is essential to the committee's deliberations, but shall not be present when the committee votes. [FH 813.01]

Department P&T Committee shall consist of 3 tenured faculty, with at least 1 full professor. Members shall serve for 3 years, and new members are elected by faculty at the beginning of each academic year. The committee will select a chair. An elected faculty member may not refuse to serve unless his or her case is under review during the year.

415.2 **Responsibilities of the Committee**

The role of the Department Promotion and Tenure Committee is to assess the candidate's portfolio regarding the effectiveness, excellence, and recognition of the candidate in the areas of instruction, research and creative activities, and service identified in the College Promotion and Tenure Document.

The department committee shall review all submitted materials and may solicit and obtain additional materials it deems necessary to make a thorough and substantive review of the candidate's qualifications. For all cases of retention, tenure, and promotion, the committee shall conduct an interview with the candidate and the candidate shall summarize in a formal presentation his/her accomplishments in research/creativity, teaching, and service. The candidate shall also address any questions posed by the committee to clarify the candidate's accomplishments. [The] committee shall conduct a fair, objective, independent, and substantive review of the candidates' dossiers based on department, college, and University criteria and standards. (See 600.00.) [FH 813.00]

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]

All confidential materials, including letters of support, letters from external reviewers, letters from internal reviewers and in-depth evaluations of teaching performance, will be solicited and maintained in confidence by the committee.

Deleted:

A. *No materials may be added to the dossier without notice to the candidate and opportunity for the candidate to respond.* [FH 813.02]

B. *The department committee is also responsible for annually reviewing, making suggestions for modification, and approving the role and scope, criteria and standards document of the department.*

415.3 Establishing Procedures for Obtaining External Peer Reviews

Each department shall establish the specific procedures by which external peer reviews shall be conducted. If they are required, peer reviews shall be obtained from no fewer than four (4) external reviewers, the majority of whom shall be recommended by the department committee, the minority of whom shall be recommended by the candidate. [FH 813.03]

A minimum of five external reviews shall be obtained for each candidate. External reviewers shall be selected based on the recommendations of P&T committee members and inquiries from colleagues in appropriate fields at other institutions. Reviewers shall be selected to the best of the committee's ability to ensure objectivity and independence. Reviewers shall be selected from comparable peer institutions. A limited number of letters of support may also be solicited from other sources deemed appropriate by the Earth Sciences Promotion and Tenure Committee. Candidates should submit a list of those individuals who would not qualify as external reviewers based on conflict of interest. The candidate may recommend potential reviewers, but reviewers chosen from this list must make up a minority of the total reviewers selected by the department committee. At most, one external review may be solicited from a Co-PI and/or coauthor. Specifically, former mentors and former thesis and dissertation advisers are not acceptable external reviewers. External reviewers shall be made aware of the appropriate expectations for effectiveness/excellence required for a given level of review. The committee shall summarize the criteria used to select each external reviewer and provide brief c.v.'s of reviewers as a brief addendum to the committee's review letter. Deadlines shall be established each year based on the dates set forth by the college and university P&T committees.

Deleted:

College policies and procedures are described in 410.

415.4 Establishing Procedures for Obtaining Internal Reviews

Each department shall establish the specific procedures by which letters of support and/or internal reviews by students, staff, and other faculty shall be obtained. Candidates shall not solicit letters of support or internal reviews for themselves. [FH 813.04]

Not applicable.

415.5 Actions of the Committee

The department 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 department head, sending a copy to the candidate. The recommendation becomes a permanent part of the faculty member's personnel files maintained in the department office.*

[FH 813.00]

420 RIGHTS AND RESPONSIBILITIES OF THE CANDIDATE

421 RESPONSIBILITY TO PREPARE AND SUBMIT DOSSIER

It is the responsibility of the faculty member under review to demonstrate to the satisfaction of colleagues and professional peers that high standards of performance have been met.

The candidate is responsible for preparing the dossier and making her or his case for retention, tenure or promotion.

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 and service and provide the framework for the review of the dossier. This personal narrative shall be included in the dossier and may be forwarded to external and internal reviewers according to the procedures of the college and/or department.

The Department of Earth Sciences requires personal statements in the dossier for college and university reviews and as part of the materials 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.

Procedures for the Conduct of Formal Review

A. Mechanical Procedures

1. Notebooks containing the materials presented by the Departments are prepared by the Dean's Office. The material should include the dossier assembled in the order listed on the "Candidate's Cover Sheet," namely:
 - I. Title Page (listing name, department and college)
 - II. Review documents (for review committees and administrators)
 - III. Letter of Hire; Role Statements
 - IV. Curriculum Vitae
 - V. Self-Evaluation or Personal Statement
 - VI. Teaching Performance
 - VII. Research/Creative Activity
 - VIII. Service

Plus the additional documents, such as solicited confidential letters.

2. Once the notebooks have been submitted to the Dean's Office, no materials may be added or deleted except as requested by the CLSPTRC.
3. All files are confidential.

421.3 Requests for Additional Documentation

Each review committee or reviewing administrator may request further documentation from the candidate.

421.4 Prohibition Against Altering Dossier Once It Has Been 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:

1. updating the status of materials in support of tenure unknown at the time the dossier was submitted,
2. responding to a review committee's or reviewing administrator's notice that materials in addition to those identified in the role, scope, criteria, standards and procedures documents have been added to the dossier (see 471.00 and 813.00), or
3. responding to a request for further documentation from a reviewing administrator or review committee.

[FH 812.00]

421.5 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 415.2 above for description of department and/or college policy regarding soliciting and handling letters of support and other confidential materials.]

421.6 Deadline for the Submission of Dossiers

Each candidate shall submit the dossiers by the dates established by the Provost, dean, and department head. 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 third year review, the faculty member who fails to submit a dossier shall receive notice of termination effective at the end of the academic year. In cases of tenure review or special review for retention, the faculty member shall be issued a terminal contract for the next contract term. [FH 472.02]

422 CANDIDATE'S 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 FH 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 the 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-assessment, 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.

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]

Role statements may be updated on a yearly basis during annual review by the Department Head.

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]

510.01 College Procedures

510.02 Department Procedures

Each faculty member shall compile all information necessary to demonstrate accomplishments and performance in teaching, research and service for the calendar year. Annual reviews will be scheduled with the Department Head early in each calendar year (January-February), and the Department Head will respond with a written summary of his/her evaluation. Also, faculty shall provide additional information pertinent to the CLS Annual Report and university workload reports at the same time information is provided for annual reviews.

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]

Deleted:

511.1 Procedures for Making Salary Recommendations

Salary recommendations 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.

- A. *The department head shall submit a proposed salary recommendation for each faculty member to the college dean.*
- B. *The dean will approve or modify the salary recommendation, and submit it to the Salary Review Committee by the established deadline.*
- C. *A written copy of the salary recommendation will be given to the faculty member.* [FH 722.00]

512 RESPONSIBILITIES OF THE SALARY REVIEW COMMITTEE

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 CANDIDATE'S RIGHTS RELATIVE TO ANNUAL REVIEW

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. [FH 731.00]

The SRC does not hear appeals or grievances from individual faculty regarding their salaries. [FH 462.00]

513.2 Right to Appeal Annual Performance Evaluation

A faculty member who disagrees with a performance evaluation or rating may append to the annual review document a rationale for his or her disagreement and forward it to the college dean. Rationales must be filed with the dean within ten (10) days of signing the rating card. The dean shall consider the appeal and prepare the salary recommendation to be sent to the Salary Review Committee. The dean shall notify the faculty member, in writing, of the decision regarding the appeal.

A faculty member who disagrees with a salary recommendation may send a letter with a rationale for his or her disagreement to the college dean. Disagreements must be filed with the dean within ten (10) days of learning of the department head's salary recommendation. The dean shall consider the disagreement and prepare the salary recommendation to be sent to the Salary Review Committee. The dean shall notify the faculty member, in writing, of the decision regarding the disagreement.

Faculty members who are not satisfied with the decision of the dean may seek conciliation. (See 1314.00.) [FH 462.00]