
ROLE, SCOPE, CRITERIA, STANDARDS, AND PROCEDURES

OF THE

COLLEGE OF AGRICULTURE

MONTANA STATE UNIVERSITY -BOZEMAN

5/21/2014

APPROVALS	SIGNATURE	DATE
<hr/>		
<i>Approved by majority vote.</i>		
Department Faculty		
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<i>Approved by unanimous vote.</i>		
Department Heads		
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<i>Approved by unanimous vote.</i>		
College P&T Committee		
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<i>Approved.</i>		3/6/2006
College Dean	Jeff Jacobsen	
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<i>Approved.</i>		
University P&T Committee		5/4/2010
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Provost	Joseph Fedock	

SECTION 100

ROLE AND SCOPE STATEMENTS

100 APPROVALS REQUIRED

Role, scope, criteria, standards and procedures documents shall be approved by the department faculty not including the department head (or primary administrator), the department head serving as the primary administrator of the academic unit, the college review committee, the college dean, the UPT Committee, and the Provost and Vice President for Academic Affairs. In the event two of these entities cannot agree on a document, the disputing parties will meet with the administrator at the next higher level in order to produce a document upon which the disputants can agree. [FH 622.]

110 UNIVERSITY ROLE AND SCOPE

Montana State University 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 review a document describing its role and scope, defining its responsibilities and obligations in furtherance of the mission of the University, and setting forth the criteria, standards and procedures for review of faculty members. If the document is not updated annually, the last updated and approved document shall be effective. [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 College of Agriculture is the founding college for Montana's land grant university, and provides unique educational and research programs in the biological, chemical, physical, and social sciences. The College of Agriculture originated in 1893 with the establishment of the "Agricultural College of the State of Montana" when the Montana Legislature accepted the terms of the Morrill Act of 1862. This Act provided land grants to each state to support the establishment of such colleges. The Legislature also accepted the Hatch Act of 1887 that provided financial support for the establishment of an agricultural experiment station in each state. The mission of the Agricultural Experiment Station, established by state statute is "to conduct and promote studies, scientific investigations and experiments relating to agriculture, natural resources and rural life and to disseminate information thereby acquired among the people of Montana." The Smith-Leaver Act of 1914 established the Extension Service whose mission is to provide instruction and practical demonstrations in agriculture and related subjects. The contemporary mission is to:

- **create diverse learning programs that foster student success, support life-long learning, and prepare Montanans for the future,**

- **provide leadership in developing ambitious, competitive and imaginative research activities that create new discoveries, positively impact undergraduate and graduate learning and earn national and international recognition, and**
- **disseminate new research discoveries and deliver outreach programs that serve Montana in a global environment.**

The College of Agriculture and the Agricultural Experiment Station are administered by the Dean of the College of Agriculture/Director of the Montana Agricultural Experiment Station. The College has six departments and one division:

Departments:

**Agricultural Economics and Economics
Animal and Range Sciences
Land Resources and Environmental Sciences
Plant Sciences and Plant Pathology
Research Centers
Microbiology and Immunology**

Division:

Agricultural Education

The College provides educational programs to develop and enhance the ability to apply rules of logic and the principles, methods and results of science to problem-solving and decision-making. Funding for programs in the College comes from three traditional sources: the teaching budget of Montana State University, the budget of the Montana Agricultural Experiment Station and the budget of the Montana Extension Service. Faculty secure additional funding through grants, contacts, cooperative agreements and other sources. Undergraduate students focus on departmental curricula and develop an awareness and appreciation of the environment, citizenship skills, scientific curiosity, and skills to become lifelong learners. Graduate students, the professionals and scientists of tomorrow, challenge current boundaries to the body of knowledge and demand an environment that promotes the pursuit of knowledge. Off-campus students, not enrolled in degree programs, seek further development of their problem-solving and lifelong learning skills through extension and outreach programs.

The function of the Agricultural Experiment Station is to conduct and promote studies and scientific investigations relating to agriculture, natural resources, and rural life and to transfer this information to the people of Montana. The Agricultural Experiment Station also participates in regional and national research programs in concert with the State Agricultural Experiment Station system of the United States Department of Agriculture. Research is conducted in laboratory facilities, the Plant Growth Center, field facilities on the MSU campus, and at agricultural research centers throughout the state. Faculty may also conduct research on private and government lands.

112.2 Role and Scope of the Department

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document.

113 ACADEMIC PROGRAMS**113.1 Academic Programs of the College****Academic Programs Offered (degrees aligned by department)****Agricultural Economics and Economics Department**

Baccalaureate Degree: **Agricultural Business**
Options: **Agribusiness Management**
Farm and Ranch Management

Minor: **Agricultural Business**

Master of Science Degree: **Applied Economics**

Agricultural Education Division

Baccalaureate Degrees: **Agricultural Education**
Options: **Relations**
Teaching

Master of Science Degree: **Agricultural Education**

Animal and Range Sciences Department

Baccalaureate degrees: **Animal Science**
Options: **Equine Science**
Livestock Management & Industry
Science
Natural Resources and Rangeland Ecology
Options: **Rangeland Ecology and Management**
Wildlife Habitat Ecology and Management

Minors: **Animal Science**
Natural Resources and Rangeland Ecology

Master of Science Degree: **Animal and Range Sciences**

Doctor of Philosophy Degree: **Animal and Range Sciences**

Land Resources and Environmental Sciences

Baccalaureate Degrees: **Environmental Sciences**
Options: **Environmental Biology**
Geospatial & Environmental Analysis
Soil and Water Sciences
Land Rehabilitation
Options: **Land Resources Analysis and Management**
Sustainable Food and Bioenergy Systems
Option: **Agroecology**

Minor: **Soil Science, Entomology, Water Resources**

Master of Science Degree: **Land Rehabilitation**
Land Resources and Environmental Sciences
Entomology
Online Program in Environmental Sciences

Doctor of Philosophy Degree: **Ecology and Environmental Sciences**

Plant Sciences and Plant Pathology

Baccalaureate Degrees: **Biotechnology**
Option: **Plant Systems**
Environmental Horticulture
Options: **Horticulture Science**
Landscape Design
Plant Science
Options: **Crop Science**

	Plant Biology
	Sustainable Food and Bioenergy Systems
	<i>Option:</i> Sustainable Crop Production
<i>Minor:</i>	Environmental Horticulture
<i>Master of Science Degrees:</i>	Plant Pathology
	Plant Science
<i>Doctor of Philosophy Degree:</i>	Plant Science
	<i>Options:</i> Plant Genetics
	Plant Pathology
	<u>Microbiology and Immunology</u>
<i>Non-Degree Program:</i>	Pre-veterinary Medicine Program
	WIMU Veterinary Medicine Regional Program (cooperative)
<i>Baccalaureate Degrees:</i>	Biotechnology
	<i>Options:</i> Plant Systems
	Animal Systems
	Microbial Systems
<i>Master of Science Degree:</i>	Immunology and Infectious Diseases
<i>Doctor of Philosophy Degree:</i>	Immunology and Infectious Diseases

113.2 Academic Programs of the Department

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for Departmental academic programs, degrees, options and associated centers.

114 RESEARCH AND CREATIVE ACTIVITY

114.1 Special Areas of College Research and Creative Activity

In practice, our research programs develop an improved understanding of the physical, biological and economic principles in agricultural and natural systems. This enhances our knowledge of social and economic impacts of alternative production activities and policies related to the use and management of the human and natural resource base. Faculty are committed to disseminating scientific results to other researchers and the community at large.

114.2 Special Areas of Department Research and Creative Activity

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for special areas of research and creative activity emphasized in the Department.

115 OUTREACH/PUBLIC SERVICE

115.1 Special Areas of College Outreach/Public Service

115.2 Special Areas of Department Outreach/Public Service

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for special areas of outreach and public service emphasized in the Department.

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

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

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

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

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

Teaching shall be formally evaluated through means which shall, at a minimum, include review by peers, colleagues, and students.

Note: University's guidelines do not require an in-depth assessment of teaching for third-year (retention) reviews. However, college or department guidelines may require such an assessment [FH633.03 A]

211.2 College Teaching Criteria

Teaching in the College of Agriculture is conducted in both on- and off-campus settings as well as in non-traditional settings, including distance education and various other presentation modes. For Retention a candidate's teaching will be evaluated through the use of internal reviews; for tenure and promotion to the ranks of Associate Professor and Professor, a candidate's teaching will be evaluated through the use of both internal and external reviews. (See FH 811.00 F.) Departments will develop appropriate evaluation criteria to assess the quality of teaching and advising.

211.21 College of Agriculture Definition of Internal and External Reviews

- A. Internal reviews are those conducted by at least three appropriate peers and colleagues internal to Montana State University. The Primary Review Committee is charged with reviewing the candidate's entire document, which itself includes the results of an internal peer review. Therefore, to provide a richer review and to eliminate redundancy as well as to avoid potential confounding of findings, the Primary Review Committee should not serve as a candidate's internal review committee.**
- B. External reviews are those conducted by at least three appropriate peers and colleagues external to Montana State University.**

211.3 Department Teaching Criteria

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for the Departmental statement identifying specific criteria in such areas as course content, course development, curricular innovation, use of communications technologies, advising, etc.

212 RESEARCH CRITERIA

212.1 University Research Criteria

Effectiveness, excellence and potential for excellence in research/creative activity may be demonstrated in the following ways: through evaluation by on-campus review committees and administrators, and external peer reviews. Methods for soliciting external reviews are part of departmental criteria and standards documents.

Candidates shall list all publications, presentations, exhibits, and performances in their dossiers and, in addition, shall submit for review a set of articles, publications, creative endeavors, or other evidence that, in their judgment, represents their best efforts to advance the discipline or profession.

Creative activity shall be formally evaluated through means which shall, at a minimum, include review by peers in the academic and professional communities.

Research shall be formally evaluated through means which shall, at a minimum, include review by peers in the academic and scientific communities.

Note: University guidelines do not require external peer reviews for third-year (retention) reviews. However, college or department guidelines may require such an assessment. [FH633.03 B]

212.2 College Research Criteria

Faculty are expected to conduct quality research programs, publish their research findings in peer-reviewed publications and secure competitive funding at levels appropriate to their disciplines. Faculty with Montana Agricultural Experiment Station appointments are expected to conduct research relevant to Montana. For Retention, a candidate's research will be evaluated through the use of internal reviews; for tenure and promotion to the ranks of Associate Professor and Professor, a candidate's research will be evaluated through the use of both internal and external reviews. (See FH 811.00 F.) Departments will develop appropriate evaluation criteria to assess the quality of research.

212.21 College of Agriculture Definition of Internal and External Reviews

- A. Internal reviews are those conducted by at least three appropriate peers and colleagues internal to Montana State University. The Primary Review Committee is charged with reviewing the candidate's entire document, which itself includes the results of an internal peer review. Therefore, to provide a richer review and to eliminate redundancy as well as to avoid potential confounding of findings, the Primary Review Committee should not serve as a candidate's internal review committee.
- B. External reviews are those conducted by at least three peers and colleagues external to Montana State University.

212.3 Department Research Criteria

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for the Departmental statement identifying specific criteria for review in such areas as refereed publications, collaboration, writing of research proposals, awards of external funding, etc.

213 OUTREACH/PUBLIC SERVICE CRITERIA

213.1 University Criteria

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

213.2 College Criteria

Faculty are expected to be involved in outreach and public service, at levels appropriate to their disciplines. For Retention, Tenure and Promotion to the ranks of Associate Professor and Professor, a candidate's outreach will be evaluated through internal and external reviews, as appropriate.

213.21 College of Agriculture Definition of Internal and External Reviews

- A. Internal reviews are those conducted by at least three appropriate peers and colleagues internal to Montana State University. The Primary Review Committee is charged with reviewing the candidate's entire document, which itself includes the results of an internal peer review. Therefore, to provide a richer review and to eliminate redundancy as well as to avoid potential confounding of findings, the Primary Review Committee should not serve as a candidate's internal review committee.

- B. External reviews are those conducted by at least three peers, colleagues or clients external to Montana State University.**

213.3 Department Criteria

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for the Departmental statement identifying specific criteria for review of outreach and public service activities including definitions of professional service, public service and University service.

"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 criteria and standards defined in this document 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

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

220.2 Standards for Faculty with Professional Practice Expectations

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

221 EFFECTIVENESS IN TEACHING

221.1 University Standard of Effectiveness in Teaching

Faculty performance in teaching 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 will be judged effective if it meets or exceeds the standards of the candidate's department.

221.3 Department Standard(s) of Effectiveness in Teaching

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for the Departmental statement defining the standard(s) of effectiveness in teaching.

222 EFFECTIVENESS IN RESEARCH/CREATIVE ACTIVITY

222.1 University Standard of Effectiveness in Research/Creative Activity

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

222.2 College Standard(s) 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.

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

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for the Departmental statement defining the standard(s) of effectiveness in research/creative activity.

223 EFFECTIVENESS IN OUTREACH/PUBLIC SERVICE

223.1 University Standard of Effectiveness in Outreach/Public Service

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

223.2 College Standards of Effectiveness in Outreach/Public Service

Faculty performance in outreach/public service will be judged effective if it meets or exceeds the standards of the candidate's department.

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

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for the Departmental statement defining the standard(s) of effectiveness in outreach/public service.

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 diverse teaching venues will be judged excellent if there is substantial recognition through an appropriate departmental- and college-approved evaluation instrument, such as student, peer and colleague evaluations. Successful mentoring of graduate students is a component of the teaching evaluation.

231.3 Department Standard(s) of Excellence in Teaching

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for the Departmental statement defining the standard(s) of excellence in teaching.

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]

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

Faculty performance in research/creative activity will be judged excellent if there is evidence of a focused and sustained research program that has resulted in achievement such as professional recognition, peer-reviewed publications and external funding, at levels appropriate to the faculty member's discipline.

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

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for the Departmental statement defining the standard(s) of excellence in research/creative activity.

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 Standard(s) of Excellence in Outreach/Public Service

Faculty performance in outreach/public service will be judged excellent if there is evidence of appropriate recognition according to the standards developed by the candidate's department.

233.3 Department Standards of Excellence in Outreach/Public Service

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for the Departmental statement defining the standard(s) of excellence in outreach/public service.

240 DEMONSTRATION OF EFFECTIVENESS AND EXCELLENCE

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

241 DEMONSTRATION OF EFFECTIVENESS AND EXCELLENCE IN TEACHING**241.1 University Policy and Procedures**

Effectiveness, excellence, and potential for excellence in teaching may be demonstrated in the following ways: evaluation by peers and colleagues within the University, and in-depth assessment of teaching performance that draws upon current and former students, graduates, colleagues and clients. Both peer

evaluation and an in-depth assessment of teaching are required for promotion and tenure reviews. Candidates shall follow the methods for in-depth assessment of teaching performance established by the department.

[FH 633.03]

241.2 College Policies and Procedures

Demonstration of effectiveness in teaching requires an internal review of a candidate's teaching performance; demonstration of the potential for excellence or for excellence of a candidate's teaching performance requires both internal and external reviews. These are further defined under section 211.21. Departments will establish methods for in-depth assessment of teaching performance using at a minimum, one or more college-approved evaluation instruments. Methods for assessing teaching performance will take into account the diversity of on-campus and off-campus teaching and will include an assessment of advising.

241.3 Department Policies and Procedures

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for a description of how the Department will conduct an in-depth assessment of teaching performance including courses to be evaluated using student teacher evaluations and the instrument to be used in that evaluation.

242 DEMONSTRATION OF EFFECTIVENESS AND EXCELLENCE IN RESEARCH/CREATIVE ACTIVITY

242.1 University Policy and Procedures

Effectiveness, excellence and potential for excellence in research/creative activity may be demonstrated in the following ways: through evaluation by on-campus review committees and administrators, and external peer reviews. Methods for soliciting external reviews are part of departmental criteria and standards documents.

Candidates shall list all publications, presentations, exhibits, and performances in their dossiers and, in addition, shall submit for review a set of articles, publications, creative endeavors, or other evidence that, in their judgment, represents their best efforts to advance the discipline or profession.

Creative activity shall be formally evaluated through means which shall, at a minimum, include review by peers in the academic and professional communities.

Research shall be formally evaluated through means which shall, at a minimum, include review by peers in the academic and scientific communities. [FH 633.03]

242.2 College Policies and Procedures

Demonstration of effectiveness in research/creative activity requires an internal review of a candidate's research performance; demonstration of the potential for excellence or for excellence of a candidate's performance requires both internal and external reviews. These are further defined under section 212.21. Departments will establish methods for assessment of performance in research/creative activity.

242.3 Department Policies and Procedures

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for a description of how the Department will conduct an in-depth assessment of performance in research/creative activity, including methods for obtaining external peer reviews.

243 DEMONSTRATION OF EFFECTIVENESS AND EXCELLENCE IN OUTREACH/PUBLIC SERVICE

243.1 University Policy and Procedures

Effectiveness in service/outreach shall be demonstrated through evaluation by peers and colleagues within the University. Candidates shall list all service activities in their dossiers and, in addition, shall submit for review a set of articles, publications, professional endeavors or other evidence that, in their judgment, represents their best efforts to contribute to and advance the University, public, and profession.

[FH 633.03]

243.2 College Policies and Procedures

Demonstration of effectiveness or potential for excellence of a candidate's performance in outreach/public service require internal reviews. These are further defined under section 213.21. Departments will establish methods for assessment of performance in outreach/public service.

243.3 Department Policies and Procedures

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for a description of how the Department will conduct an in-depth assessment of performance in outreach/public service.

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 members may be reviewed at times other than those required for third year, tenure, and promotion. A special review may be recommended to the President by the department review committee, department head, college review committee, college dean, University Promotion and Tenure Committee or the Provost and Vice President for Academic Affairs. If the recommendation is accepted by the President, he or she shall initiate a special review by sending a written notice to the faculty member. The notice of special review shall set forth the nature of the review and identify appropriate deadlines for its conduct. A special review shall be conducted by the primary review committee or by a special review committee composed of academic faculty.

[FH 615.00]

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 of faculty members are:

- A. effectiveness in the execution of their responsibilities,**
- B. promise of continuing effectiveness, and**
- C. the promise of attainment of the standards for tenure and promotion, as demonstrated by a clear progression of accomplishment.**

310.3 Department Standards for Retention

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for the Departmental standards for retention are.

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 any subsequent 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

Same as the University Standards listed above.

C. Department Standards

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for the Departmental standards for tenure.

321.2 Standards for Faculty with Professional Practice Expectations

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

- A. *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,*
- B. *demonstrated potential of sustained effectiveness in the future, and*
- C. *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]*

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

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, or other appropriate audiences,**
- 3. qualifications to conduct research/creative activity in a specialized field, and**
- 4. interest in university and public service.**

C. Department Standards

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for additional Departmental standards for appointment or promotion to the rank of Assistant Professor, if any.

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

Not applicable.

C. Department Standards

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for additional Departmental standards for appointment or promotion to the rank of Assistant Professor, if any.

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

Faculty seeking promotion to or appointment as Associate Professor shall have developed an effective teaching program, a focused and effective research program that has resulted in peer-reviewed publications and quality service activities. The faculty member must show a potential for excellence in teaching or research and the promise of continued scholarly achievement.

C. Department Standards

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for additional Departmental standards for appointment or promotion to the rank of Associate Professor, if any.

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

Not applicable.

C. Department Standards

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for additional Departmental standards for appointment or promotion to the rank of Associate Professor, if any.

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

Faculty seeking promotion to Professor shall have a sustained record of demonstrated excellence in teaching or research and effectiveness in service activities beyond Associate Professor standards at levels appropriate to their discipline.

C. Department Standards

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for additional Departmental standards for appointment or promotion to the rank of Professor, if any.

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

Not Applicable

C. Department Standards

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for additional Departmental standards for appointment or promotion to the rank of Professor, if any.

SECTION 400**PROCEDURES FOR FORMAL REVIEW OF FACULTY PERFORMANCE**

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

400 GENERAL PROCEDURES

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

Any committee identified herein may adopt "Standard Operating Procedures" that provide necessary interpretation of these policies so long as they do not conflict with the policies and procedures outlined in this section. Such procedures must be approved by the Chair of Faculty Senate and the Provost and Vice President for Academic Affairs. [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, as appropriate:

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

Note: University guidelines do not require an in-depth assessment of teaching for third-year (retention) reviews. However, college or department guidelines may require such an assessment.

- 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.)*

Note: University guidelines do not require external peer reviews for third-year (retention) reviews. However, college or department guidelines may require external reviews.

- 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 and assists faculty in meeting the expectations of the institution. Formal review for retention, tenure and promotion shall be conducted according to the procedures outlined in this section.

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

Primary Level of Reviews

Primary Review Committee and Primary Administrative Reviews

These reviews include reviews by a department committee and department head, except in the case of colleges without departments, then the college review committee and dean perform the primary reviews.

Intermediate Level of Reviews

Intermediate Review Committee and Dean's Reviews

This is always a college review committee and college dean. But, when a college has no departments, there is no intermediate level of review.

Final Level of Reviews

Final Review Committee (UTP Committee), Provost's and President's Review [FH 810.00]

411 MANDATORY CONSIDERATIONS AT ALL LEVELS OF REVIEW

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

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

Note: University's guidelines do not require an in-depth assessment of teaching for third-year (retention) reviews. However, college or department guidelines may require such an assessment

- F. *in cases of review for promotion and tenure, the written evaluations of external and internal peer reviewers,*

Note: University guidelines do not require external peer reviews for third-year (retention) reviews. However, college or department guidelines may require such an assessment.

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

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

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

412 RESPONSIBILITIES OF THE COLLEGE DEAN

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

The college dean is also responsible for:

- A. *Informing faculty members, committee members, and department heads of the applicable time lines for review.*

Due dates for candidates' materials shall be set by the Dean's Office no earlier than six weeks before the due date set by the Provost's office. Department heads will be notified of the due date and they will inform their faculty. All reviews will be completed during the period established by the Provost's Office.

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

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

413 REVIEW BY THE COLLEGE PROMOTION AND TENURE COMMITTEE

Each college that is not the primary level of review shall establish an "intermediate review committee" to consider the dossier submitted by each candidate and formulate its recommendation for retention, tenure, and/or promotion. [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 intermediate 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 at least 25% female and/or minority representation. If that representation is not achieved by election, the dean shall appoint such additional members as may be necessary to achieve that representation.

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

The college dean may be present at committee meetings, at the discretion of the committee, to present data that is essential to the committee's deliberations but shall not be present when the committee votes.

(FH 815.01)

A department representative to an intermediate review committee shall not vote when a candidate from his or her department is reviewed. The representative may provide background information about the department but shall not express personal opinions about the candidate or the candidate's qualifications or experience.

The intermediate review committee:

- A. prepares a written recommendation, with vote tally, concerning the retention, tenure, and/or promotion of each candidate and*
- B. forwards the recommendation to the dean, sending a copy to the candidate. The recommendation becomes a permanent part of the faculty member's personnel files maintained in the dean's office.*

(FH 815.02)

The College Committee will be composed of five tenured faculty at the Associate Professor or Professor level. Elected members' terms are for three years. Each year near the end of the spring semester, one member will be elected allowing for staggered terms. A total of 3 members will be elected. The Dean will appoint the fourth member and will also appoint as fifth member a departmentally-approved alternate from an academic unit not represented on the committee. Appointed members will serve one-year terms. When possible, the committee will have 25% female and/or minority representation. Elected members may not serve consecutive terms and members cannot serve if being considered for promotion. No member can serve on any other promotion and tenure committee while a member of this Committee. Terms will begin immediately following the spring semester election.

Faculty are asked to nominate and/or volunteer to serve. The Dean's Office will ask all nominees if they are willing to serve on the College Promotion and Tenure Committee. The Dean's Office will then send out an official ballot to all tenurable College faculty for a vote. Whoever receives the majority of votes wins the election.

413.2 Responsibilities of the Committee

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

The intermediate review committee is also responsible for:

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

413.3 Actions of the Committee

The intermediate review committee:

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

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

The Dean will request nominations for election to a three-year term on the University Promotion and Tenure Committee. The representative and alternate to the University Promotion and Tenure Committee must be a tenured full Professor whose locus of tenure is with a College of Agriculture department. Nominations will be solicited from tenure track faculty including department heads. From those nominated, a ballot will be prepared and distributed to tenure track faculty who will elect one representative and one alternate to the University Promotion and Tenure Committee. The candidate receiving the majority of votes will be the elected representative; the candidate receiving the second greatest number of votes will be the elected alternate. No representative may be elected if he or she is a member of another promotion and tenure committee. Terms will begin at the start of fall semester.

414 RESPONSIBILITIES OF THE DEPARTMENT HEAD (Primary Administrative Reviewer)

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

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 access to the University, college, and department documents related to annual review, retention, tenure, and promotion.*

- D. *Preparing role statements, after negotiation with the faculty member that accurately describe the faculty member's current responsibilities, including any agreement regarding differential assignments which have been approved by the dean and Provost and Vice President for Academic Affairs.*
- E. *Informing faculty members of the applicable time lines for review.*
- F. *Providing the primary review committee with information and materials essential to their deliberations, according to department, college and University procedures.*
- G. *Forwarding the candidate's dossier, including recommendation(s), to the next administrative reviewer and sending a copy of the recommendation(s) to the candidate.*
- H. *Maintaining complete, accurate and up-to-date files on each faculty member, including a copy of any dossier submitted for formal review. Primary administrators shall ensure that peer review letters have been removed from the dossier before placing it in the employee's personal file. [FH 814.00]*

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for a description of additional duties of the department head, if any.

415 RESPONSIBILITIES OF THE DEPARTMENT REVIEW COMMITTEE (Primary Review Committee)

Each department or college without departments shall establish a "primary review committee" to consider the dossier submitted by each candidate for review and formulate its recommendation for retention, tenure, and/or promotion. Primary review committees shall conduct a fair, objective, independent, and substantive review of the candidates' dossiers based on College and University criteria and standards. (See 600.00.) [FH 813.00]

415.1 Membership and Procedures for Selection

Each department (or college) shall establish the policies and procedures for appointing and/or electing the primary review committee. The committee shall be composed only of tenured or tenurable faculty at least a majority of whom shall be elected by departmental (or college) faculty. The committee shall have at least twenty five percent (25%) female and/or minority representation whenever possible. No faculty member shall serve on the primary review committee during the year of the review of her or his own dossier. The primary administrative reviewer may be present at committee meetings at the discretion of the committee. The administrator may present data that is essential to the committee's deliberations, but shall not be present when the committee votes. [FH 813.01]

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

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for a description of the membership of the department promotion and tenure committee and the procedures by which members are elected and/or appointed.

415.2 Responsibilities of the Committee

Each department or college without departments shall establish a "primary review committee" to consider the dossier submitted by each candidate for review and formulate its recommendation for retention, tenure, and/or promotion. Primary review committees shall conduct a fair, objective, independent, and substantive review of the candidates' dossiers based on department, college, and University criteria and standards. (See 600.00.) [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]

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for a description of how confidential materials, including letters of support, letters from external reviewers, letters from internal reviewers and in-depth evaluations of teaching performance, will be solicited, handled, and maintained by the committee.

- A. *No materials except required documentation specified in the role, scope, criteria, standards and procedures of the department and college may be added to or deleted from a candidate's dossier without notice to the candidate and an opportunity for the candidate to respond (See 471.05, 471.06, and 812.03) and notice to any preceding review committees and reviewing administrators and an opportunity to respond. (See 811.01.) [FH 811]*

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for a description of which materials are included and how candidates will be notified.

- B. *Each department and college shall develop and annually review a document describing its role and scope, defining its responsibilities and obligations in furtherance of the mission of the University, and setting forth the criteria, standards and procedures for review of faculty members. If the document is not updated annually, the last updated and approved document shall be effective. [FH 620]*

415.3 Establishing Procedures for Obtaining External Peer Reviews

Each department (or college) shall establish the specific procedures by which external peer reviews shall be conducted. When required, peer reviews shall be obtained from no fewer than three (3) external reviewers, the majority of whom shall be recommended by the primary review committee, the minority of whom shall be recommended by the candidate.

Note: University guidelines do not require external peer reviews for third-year (retention) reviews. However, college or department guidelines may require such an assessment. [FH 813.03]

College procedures by which external peer reviews shall be conducted are the same as the University procedures.

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for a description of the number of external reviews required, the process by which reviewers are selected and contacted, deadlines for receipt of materials from the candidate, and parties responsible for each activity, including if requirements of external review differ for teaching, research/creative activity, and outreach/public service or for faculty with instructional versus professional practice expectations.

415.4 Establishing Procedures for Obtaining Internal Reviews

Each department (or college) 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]

College procedures by which internal peer reviews shall be conducted are the same as the University procedures.

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for a description of the internal review process, if any, including how reviewers will be selected and contacted, the deadlines for receipt of materials, the parties responsible for each activity and if requirements of internal review differ for teaching, research/creative activity, and outreach/public service or for faculty with instructional versus professional practice expectations.

415.5 Actions of the Committee

The department review committee:

- A. *prepares its written recommendation, concerning the retention, tenure, and/or promotion of each candidate, and*
- B. *forwards this recommendation including a rationale explaining the reasons for the decision and vote tally to the primary administrative reviewer with a copy sent to the candidate.*
[FH 813.02]

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for a description of additional department review procedures, if any.

420 RIGHTS AND RESPONSIBILITIES OF THE CANDIDATE**421 RESPONSIBILITY TO PREPARE AND SUBMIT DOSSIER**

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

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

421.1 Personal Statement or Self-Evaluation

The case for retention, tenure and/or promotion shall be made, in part, through a personal statement or self-evaluation in which the candidate shall discuss his or her accomplishments in teaching, research, creative activity, outreach 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.

421.2 Other Materials to be Submitted with the Dossier

Candidates shall submit the "Cover Sheet--Candidate's Dossier" and Table of Contents available from the Office of the Provost and Vice President for Academic Affairs. Dossiers shall include those materials specified in the Cover Sheet and any other materials required by the department and college criteria and standards document. Pages of the dossier submitted by the candidate shall be consecutively numbered. Candidates may submit supporting documentation in accordance with Section 812.00. [FH 471]

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:

- A. *updating the status of materials in support of tenure unknown at the time the dossier was submitted,*
- B. *responding to a review committee's or reviewing administrator's request for additional materials or notice that materials in addition to those required by the role, scope, criteria, standards and procedures document have been added to the dossier (See 812.03), or*
- C. *responding to a negative recommendation from the departmental review committee and/or the department head as set forth in Section 812.04. [FH471.03]*

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for a description of additional materials candidates should submit, if any.

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)

421.6 Deadline for the Submission of Dossiers

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

The candidate who fails to submit the dossier by the established deadline forfeits his or her opportunity for review. In cases of retention, tenure or special review for retention, the faculty member who fails to submit a dossier shall be issued a terminal contract for the next contract term. [FH 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. The annual review with ratings and any written appeals to the review shall be included in the candidate's personnel file. [FH 711]

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]

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for a description of the procedures by which faculty develop and update the Role Statement.

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

At the beginning of each year, the Dean and the department heads will develop an evaluation instrument for review of department heads' administrative performance. Faculty and staff will use this instrument for evaluation of their department head's performance for the previous calendar year. The completed evaluation document will be returned to the Dean's Office for confidential

compilation. Prior to the annual evaluation meeting with the Dean, department heads will submit to the Dean a written goals statement and other previously agreed upon documents. At the annual evaluation meeting, the Dean will review the faculty and staff evaluations and provide an evaluation of the department head. The Dean's evaluation will also include an assessment of the department head's teaching, research and outreach productivity for the previous calendar year at levels appropriate to the administrative assignment. The Dean will send a written assessment to each department head outlining the items discussed during the annual review.

510.02 Department Procedures

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for a description of additional departmental procedures concerning the conduct of annual reviews, if any.

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]

See the appropriate Departmental Role, Scope, Criteria, Standards and Procedures document for a description of additional responsibilities of the department head for the annual review process.

511.1 Procedures for Making Salary Recommendations

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

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

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

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

512 RESPONSIBILITIES OF THE SALARY REVIEW COMMITTEE

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

513 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. (See 461.00.) In the special case of a faculty member receiving an annual review after an unsatisfactory rating the previous year, the new written annual review with performance rating is due to the faculty member no later than March 15; this early deadline helps expedite the lengthy post-tenure review process (See Sec. 618.00). [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 appeal by appending to the annual review document a rationale for his or her disagreement and forwarding it to the college dean. The rationale must be filed with the dean within ten (10) days of signing the rating card. The dean shall consider the appeal and assign a performance rating. The dean shall notify the faculty member, in writing, of the decision regarding the appeal within ten (10) days of receipt of the request.

The Salary Review Committee does not hear appeals or grievances from individual faculty regarding their salaries. A faculty member who disagrees with a salary recommendation may appeal by sending 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. The dean shall notify the faculty member, in writing, of the decision regarding the disagreement within ten (10) days. Faculty members who are not satisfied with the decision of the dean may seek conciliation. (See 1320.00.) [FH 462.00]