

Speed School of Engineering Personnel Document

PERSONNEL POLICY AND PROCEDURES

J.B. Speed School of Engineering

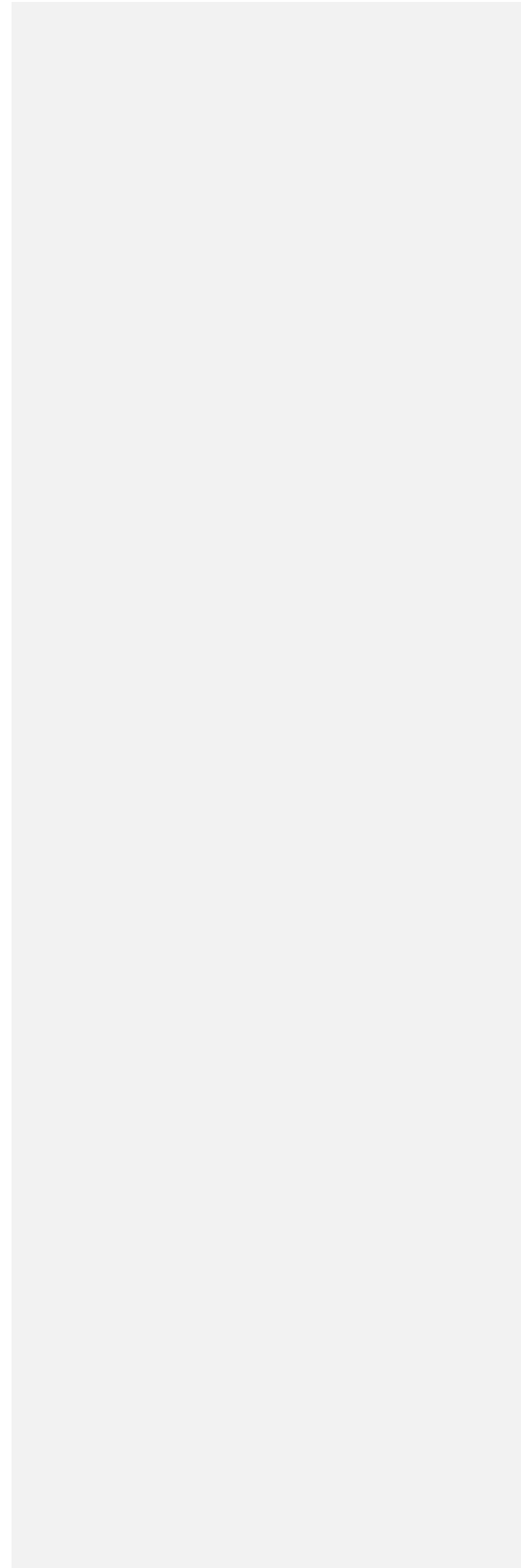


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Article 1.1. Faculty Appointments and Tenure

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Section 1.1. Types of Appointments

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Faculty appointments are "Full-time", "Part-time", "Emeritus", or "Other Appointments", as described in The Redbook, Section 4.1.1.

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Section 1.2. Non-Tenurable Appointments

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A. Full-Time Appointments

Temporary Appointments

1.

Temporary appointments to the various academic ranks may be made for specifically limited time periods less than one year or for special purposes. In no case shall a temporary appointment or renewal a renewal thereof result in the acquisition of tenure. Temporary appointees shall not be eligible for tenure or count toward time for acquisition of tenure, regardless of assignment or seniority.

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B. Part-time Faculty

Faculty members holding part-time appointments in the J.B. Speed School of Engineering shall not be eligible for acquisition of tenure as long as they have part-time appointments.

2. C. Term Faculty Appointments

a. Term faculty shall be full-time faculty appointments without tenure may be appointed for a stipulated contract period not to exceed three3 years. Such appointments are not probationary appointments and no such appointments shall not be tenurable. No term contract, continuation, or renewal thereof shall result in the acquisition of tenure or implied imply renewal for subsequent terms.

b. Term faculty appointments may be funded through general funds, restricted funds, or clinical revenues. In each unit, term appointments funded through general funds must number less than 50% of the total number of probationary and tenured appointments in that unit.

c. A nontenurable faculty member shall be eligible to apply for and be appointed to a tenurable position. The Executive Vice President and University Provost's letter of

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appointment shall state whether and to what extent the new appointment shall consider time served in nontenable status as prior service.

- d. Term faculty shall meet the standards for probationary appointment to the designated rank and shall participate in annual and career reviews for faculty of the J.B. Speed School of Engineering. Temporary, part-time or term appointments to the rank of instructor shall be for stipulated terms of one year or less. Term faculty may apply for promotion in rank according to the criteria of the J.B. Speed School of Engineering— defined in Section 2.3. Term faculty appointments may be renewed by recommendation to the President or President’s designee by the Dean, upon initiation of the department chair after recommendation by the department faculty or faculty committee. Faculty on

B. Part-time Appointments

Part-time faculty shall be appointed by contract to teach specified courses or to engage in specified instruction, research or service less than full time for a designated period. No such appointment, continuation, or renewal thereof shall result in acquisition of tenure or implied renewal for subsequent periods. Part-time faculty may qualify for certain benefits as authorized by the University. Such service shall be accounted for and recognized in the individual contract. Part-time faculty shall hold rank according to education and experience. Part-time faculty shall have an appeal process as provided for in the terms of appointment. The Dean or Dean’s designee may appoint or reappoint part-time faculty for each academic term at the convenience of the University on standard contract terms approved by the Executive Vice President and University Provost. Part-time faculty appointments shall not be eligible for tenure or count toward time for acquisition of tenure.

Section 1.3 Probationary Appointments

Probationary appointments to the rank of Assistant Professor shall be for stipulated terms not to exceed two years on the initial appointment, nor three years for appointments made thereafter. In normal circumstances, persons appointed as Assistant Professors shall hold the recognized terminal degree in their field of specialization, or shall present evidence of having completed a body of research, or other creative activity equivalent in -scope and quality to -the similar shall, in any event, give promise of proficiency in all areas of activity listed in Article 2.

Probationary appointments to the rank of Associate Professor shall be for stipulated terms not to exceed two years on the initial appointment, nor three years for appointments made thereafter. In normal circumstances, persons appointed as Associate Professors shall hold the recognized terminal degree in their field of specialization, or shall present evidence of having completed a body of research or other creative activity equivalent in scope and quality to the similar component of such degree. Additional criteria for appointment (or promotion) to Associate Professor can be found in Section 2.3.

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Probationary appointments to the rank of Professor shall be for stipulated terms not to exceed two years on the initial appointment, nor three years for appointments made thereafter. In normal circumstances, persons appointed or promoted to the rank of Professor shall hold the recognized terminal degree in their field of specialization, or shall present evidence of having demonstrated a level of research and/or service equivalent in scope and quality to the similar component of such degree. Professors shall be awarded tenure if employed subsequent to the initial probationary period. Additional criteria for appointment (or promotion) to Professor can be found in Section 2.3.

Article 2, Faculty Personnel Reviews

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employment, and subsequent efforts to maintain and advance professional competency, ~~and,~~

tenure.

which dynamically interact to form an interdependent whole. ~~In~~ this regard, if a department has duly established guidelines for evaluating its faculty, then all evaluations ~~of these faculty~~ shall take guidelines into account.

teaching and research and creative activity will be acceptable for review. Reviewers will evaluate their quality and relevance in their recommendations.

~~2)", "proficient (rating of 3 or 4)", or "exceptional (a rating of 5 or 6)". Overall annual performance reviews will be rated as "not proficient" (a rating of less than 3), "proficient" (a rating of 3 to less than 5) and "exceptional" (a rating of greater than or equal to 5). The department chair will also prepare a cover letter to the Dean.~~

Each faculty member will meet with the department chair to discuss the evaluation. These will be held by ~~April 1, the date specified in Appendix IV.~~ In the event a faculty member is with ~~his/her~~ the evaluation, then the ~~process is for the~~ faculty member ~~to~~ may attach a letter of evaluation ~~to be included in his/her file.~~

Tenure shall be recommended for persons promoted to the rank of Associate Professor or Professor who already hold a probationary academic appointment in the J.B. Speed School of Engineering at the time of promotion. Tenure may be recommended for persons whose initial appointment is at the rank of Associate Professor or Professor.

Pre-tenure review, described in Section 4.2.2.G of The Redbook, is a procedure whose purpose is to determine whether or not a faculty member is making satisfactory progress toward achieving tenure. A positive pre-tenure review is not a promise of ~~an eventual~~ eventually granting tenure ~~grant~~.

and shall be completed before the midpoint of the fourth year of service counted towards tenure. No later than ~~October 1 of two months following the academic~~ 3rd year in which the review is to chair shall inform the faculty member, in writing, that the pre-tenure review is to take place. The department chair is responsible for the review. All such correspondence shall become a part of faculty member's documentation. In the event that an individual's career pattern does not fit the normal progression (e.g., the case of an individual coming to the University with three or more

years of credit toward tenure), that case shall be treated on its own merits, determining whether not the hiring process constituted a pre-tenure review.

Each faculty member eligible for tenure must be evaluated within twelve months after five years of service applied to tenure. ~~-(This process is described in Section 4.2.2.H of The Redbook- years of service may extend longer than five calendar years in cases where extensions were granted as specified in Section 4.2.2.C of The Redbook.~~ Completion of the probationary period with positive annual performance evaluations and pre-tenure review shall not, in and of itself, constitute sufficient grounds for tenure.- Faculty members on probationary status shall be affected by any amendments to or changes in the criteria for tenure subsequent to their appointment. -In such evaluations, appropriate consideration will be given to the amount of time remaining in their probationary period when the change becomes effective.

In case the initial recommendation to deny tenure is by the President, the candidate shall first be notified of the reason in writing by the President and may appeal for reconsideration before the Board of Trustees takes action-challenged. If requested by the candidate on or before the tenth following the President's notice, the University Faculty Grievance Committee shall provide a hearing. The report of the committee, which shall summarize the case and make a recommendation for tenure or denial, shall be forwarded to the Board of Trustees, the President, and the candidate together with the record of the hearing. The President and the candidate shall have ten working days to submit a written response to the Board of Trustees.

C.- Proficiency for tenure

Possible methods for evaluating proficiency in teaching include, but are not limited to: publications in reviewed journals, monographs, textbooks, conference proceedings, etc., on teaching methodology; evaluation of teaching based upon student questionnaires, letters from current or former students, visitations by chairs or colleagues, or comments spontaneously received by the chair; syllabi and course material; the submission of proposals and success in obtaining improved teaching methods and/or the acquisition of equipment and instrumentation to enhance teaching effectiveness.

Proficiency in research also may be evidenced by any forum that demonstrates effectiveness in linking knowledge across fields of specialization. ~~-This~~These would include but are not limited to presentations; computer courseware; public speeches, and television and radio presentations. Proficiency in research and creative activity may also be evidenced by: publications in peer reviewed journals, monographs, textbooks, conference proceedings, etc., on teaching methodology; and the submission of proposals and success in obtaining funding of research directed toward improved teaching methods and/or the acquisition of equipment and instrumentation to enhance teaching effectiveness.

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expertise with the University, profession, or community, ~~regardless of the method of compensation; proposals, with and~~ success in obtaining funding, ~~for and completing~~ research directed toward knowledge useful as a guide for policy or practice. It is imperative that the quality as well as the quantity of the research be considered. External review of research is required as specified in [Section IV.D of the Minimum Guidelines \(Section IV.D.5 for Faculty Personnel Reviews \(addenda Redbook, Chapter 4, henceforth referred to as Minimum Guidelines\)\)](#).

extent possible. Most commonly, service does not automatically produce documentary results. Thus, written statements by witnesses, the people or organizations benefiting from the service, or colleagues evaluating such service may be obtained. Also included would be any products resulting from service activities along with evidence regarding the nature of the candidate's contribution. Minor activities, such as committee work of short duration, should have a less formal, aggregate evaluation.

Section 2.3 Criteria for Promotion in Rank

evidence of (a) having maintained proficiency in teaching, research, and service; (b) superior achievement in at least one of the three areas, consisting of teaching, research, and service; and (c) having achieved professional recognition— [as evidenced by the opinion of the majority of the extramural reviewers](#). The evidence of achievement in research, and the evidence of professional recognition, must include extramural evaluation as specified in the [Minimum Guidelines](#) (Section IV.D.5).

Each department will develop a statement of expectations for “proficient performance” by tenured faculty. This statement will then form the basis for periodic career reviews. Statements will be reviewed by the Dean to ~~insure~~ensure consistency with the mission of the J.B. Speed School of Engineering. After approval, each department will submit the statement to the ~~Promotion and Faculty Affairs~~ [Committee \(FAC\)](#) so that Stage 1 and Stage 2 reviews will have a contextual framework.

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~~problems is warranted, this recommendation~~ will be forwarded along with the summary of the review period to the ~~J.B. Speed School of Engineering Promotion and Tenure Committee. FAC. PBSI letters~~ annual reviews and the evidentiary base from which they were written, will be made the ~~J.B. Speed School of Engineering Promotion and Tenure Committee~~ FAC if requested. ~~The J.B.~~ and forward their recommendation ~~for~~ regarding the Stage 2 review to the Dean. The Dean will the materials and decide if a Stage 2 review is warranted (proceed to Section 2.4.B) or not (the PCR is concluded in the manner previously described).

Stage ~~2a~~ review ~~2~~ reviews will focus on tenured faculty selected for review during Stage 1 as not expected performance criteria. -In general, the purpose of this review is to provide useful feedback and appropriate intervention and assistance to these faculty members.

compile detailed information pertinent to the review. This information will in all cases include: (1) an up-to-date curriculum vitae, (2) annual reviews and annual work plans for the past five years; (3) Stage 1 documentation and recommendations. -Other evidence supporting areas of activity as listed in "General Criteria" (Section 2.0) may also be included by the faculty member, or may be requested by any of the reviewing bodies. If requested by the faculty member or the department chair, any materials may be sent out for extramural review, following all procedures outlined in Section 2.5.B.

A. Overview

The faculty member, department chair or Department Faculty Activity Committee (DFAC) chair who initiated the review for promotion or tenure shall be responsible for compiling the evaluation file. —Individuals under review may include any material they wish in their file, however, should be substituted for voluminous material. -The department chair and other reviewers within the J.B. Speed School of Engineering may also include other materials as long as they are made available to the individual and previous reviewers within the J.B. Speed School of Engineering so that prior recommendations may be reconsidered.

review ~~and the faculty member must be able to add evidence at any time before the file is advanced~~ promotion and/or tenure file with the names and affiliations of the evaluators masked. Additionally, the faculty member may add newly available material evidence for reconsideration by the previous evaluators or rebuttals at any time before the file is advanced to the Executive Vice President and University Provost (The Redbook 4.2.2.H.4).

recommendations. —If they do not, the general procedure in this paragraph will be used. —~~The committee~~review cases, the DFAC will consist of those faculty in the department who have tenure. promotion ~~committee~~review cases, the DFAC will consist of the faculty in the department of higher the individual under consideration. If eligible to do so, the department representative to the J.B. Speed School Faculty Affairs Committee (FAC) will vote as a member of the DFAC. The recommendations of these committees will speak for the departmental faculty on the respective matters. —Departmental faculty should take special care to review the individual's file and not assume that they are familiar with all of the person's work. ~~Faculty who have appointments in more than one department shall be evaluated by each department.~~

Promotion and tenure recommendations at all levels shall be based on documented facts and written opinions.— Data should be quantified where appropriate.— Such evidence should permit recommendations on the most objective basis possible. Recommendations shall be in written form and presented with a clear and concrete explanation supported by the evidence in the evaluation file.

The ~~PAT Committee~~FAC shall serve as the representative faculty body on all matters pertaining to and, when necessary, career review. When appropriate, it will advise the Dean and the faculty and courses of action.

for promotion, tenure, or career review will be considered binding on the Dean. The committee members have the right to bring before the ~~committee~~FAC any matter relating to promotion, career review.— The committee has the right to obtain information as complete as possible on any matter brought before it. The committee shall obtain all available information required by The Redbook about a candidate for promotion, tenure, or career review.

evaluation file to the criteria which appear in The Redbook, this document, and their addenda. —Members should not act as advocates for any person or constituency, but rather as judges of the meeting of criteria. —It should be emphasized that salary information relative to the individual and to the rank to which the individual is being recommended will not be considered by the it is irrelevant to the criteria for promotions, tenure, and career reviews.

and career reviews.

be given only to the Dean, the individual affected by the recommendation, and ~~his or her~~file

department chair.- The recommendation will also become a part of the promotion, tenure, and career review file.

faculty member or his/her department chair. -Self-initiation of the claim shall not work to the detriment of the candidate. —However, the ~~committee~~FAC will not act upon a request for or a career review evaluation without prior referral to the appropriate departmental faculty committee and department chair for recommendations. -Such recommendations must be made in timely manner-(see Appendix II).

~~The committee shall, with the concurrence of the individual involved, initiate similar promotion review for any faculty member it deems deserving of such review, if such action is not initiated from another source.~~
The conventions of shared governance are such that individual faculty members should vote on personnel decisions only once. A member of Engineering Bylaws the FAC shall vote, if eligible, in consideration of a candidate. In the FAC, that FAC member shall recuse from voting, and the DFAC vote shall be used instead; however, the FAC member may fully participate in the FAC discussions regarding the candidate.

~~Dates given~~Steps in the promotion and tenure evaluation procedure are described below. The for the Promotion and Tenure process are provided in Appendix II; these dates should normally be followed unless circumstances warrant alterations. ~~The majority of the cases considered by the~~ notified the Dean of the final date for receiving the files of nominees from J.B. Speed School of Engineering, a schedule (consistent with Appendix II) will be set for the remaining evaluation steps. -The Dean shall formulate the schedule in consultation with the Promotion~~FAC~~ and Tenure and Department Chairs. ~~The schedule will~~it shall be published ~~no later than September 15~~in a timely

Promotion and/or tenure reviews initiated by the DFAC: The DFAC will issue memoranda to the appropriate department chairs indicating that it plans to initiate a promotion/tenure review.- A copy of the memorandum will also be transmitted to the Office of the Dean and to the concerned faculty member.
of the memorandum of transmittal shall also be forwarded to the Office of the Dean and to the faculty member.

date, the committee will transmit a memorandum to that effect to the appropriate department chair, to the Office of the Dean and to the individual faculty member concerned.

Dean's recommendation to the [Executive Vice President and](#) University Provost. The appropriate department chair will also receive a copy.

[step are specified in Appendix IV. The department chair will provide](#) his or her faculty with a list of proposed instruction and other duties for the upcoming calendar year. Each faculty member drafts an annual work plan agreement and submits it to the department chair ~~by January 31.~~ This faculty activity based on teaching, research, and service. Evaluations must consider only those areas of activity for which the approved annual work plan indicates a faculty member's responsibility.

a significant change in a faculty member's situation occurs.

his or her own career and the School's various needs, and shall accordingly permit or require the faculty member to perform various functions at different stages in his or her career. In order to achieve this flexibility, a policy shall be applied to all tenured faculty in Speed School with appropriate adaptations when necessary to reflect Speed School's specific needs.

Speed School of Engineering Personnel Document

| APPROVED BY BOARD OF TRUSTEES ~~02-08-11~~

Appendix I. Scope and Definitions

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Section I.A.— Purpose

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The Redbook requires units to adopt policy and procedure documents on faculty appointment, promotion, tenure, as consistent with its Minimum Guidelines—This document for Faculty Personnel Reviews (Addenda to Chapter 4 of The Redbook). Appendix I is intended to fulfill that requirement.

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Section I.B.— Scope

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The criteria and procedures in this document apply on a school-wide basis, except that established departments may adopt procedures compatible with this document for processing their evaluations and recommendations. When, and if, such departmental procedures are developed, they should be made an addition to this document.

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Section I.C.— Definitions

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1. —Teaching

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Teaching includes all work that involves the use of the faculty's expertise to communicate subject matter to students. The essential element of teaching is the didactic relationship between teacher and students. Good teaching also involves the ability to interact effectively with students. Pedagogical procedures must be carefully planned, continuously examined, and directly related to the subject taught. Good teachers stimulate active, not passive, learning, and encourage students to be critical, creative thinkers with the capacity to go on learning after their college days are over.

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2. Research and Creative Activity

For most faculty, research, basic or applied, is delving into some question in that faculty member's field and seeking to add to the reservoir of knowledge. Such endeavors not only result in the creation of knowledge, but also invigorate student-faculty relationships inside the classroom and out. Research includes the act of knowledge creation through the publication or dissemination of original or innovative theoretical, empirical, or creative work. The intellectual excitement and progress that are generated by research are vital to a university such as ours.

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Research also means making connections across the disciplines, placing the specialties in a larger context, illuminating data in a revealing way, and/or educating non-specialists. There is a need for scholars who give meaning to isolated facts by putting them in perspective. Research is also serious, disciplined work that seeks to draw together, interpret, and bring insight to bear on new developments.

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Research also occurs when one applies information, interpretation, or techniques characteristic of one's discipline to consequential problems in the real world. The key to defining application is that the activity must be tied directly to one's special field of knowledge and relate to one's professional activity.

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As a scholarly enterprise, teaching begins with what the teacher knows. Those who teach must be above all, well informed, and steeped in the knowledge of their fields. Hard work and serious study underpin good teaching. Good teaching means that faculty, as scholars, are also learners. Research and creative activities aimed at teaching involve not only transmitting knowledge, but transforming and extending it as well.

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3. Service

Service is the application of general academic expertise that results from experience as a university educator, as when one participates in faculty governance within the university or when service activities outside the university are linked to one's general academic expertise. Service is distinguished from research in that service does not require that the activity be related to one's area of professional expertise. Additionally, service does not include activities that one might engage in as a citizen of a civic community, but is restricted to those activities required by the students, department, college, university or profession.

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4. Tenure

Tenure is the right of certain full-time faculty personnel who hold academic rank to continuous full-time employment without reduction in academic rank until retirement or termination as provided in Section 4.5.3 of The Redbook. Tenure is granted in an academic unit in accordance with the procedures established in Section 4.2.2.H8 of The Redbook.

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5. Proficiency

Whenever used in this document, the word "proficient" shall be understood to mean "to satisfy capably all the special demands or requirements of a particular situation, craft, or profession."

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Appendix II. Promotion and Tenure Review Schedules

The following schedules describe the review process for promotion and tenure cases. Should any date fall on a holiday or weekend, the associated correspondence is due on the previous business day. Reviews initiated by the department chair (DC) are referred to as standard reviews. Reviews initiated by the faculty member (FM) or the department faculty activity committee (DFAC) are referred to as self-initiated reviews and DFAC-initiated reviews, respectively. The DFAC in this usage is to be interpreted as the subset of members comprising either the department tenure committee or department promotion committee depending on the type of review (see Section 2.5.A). The Speed School Faculty Affairs Committee is referred to below as the FAC.

Section II.A Standard Schedule for Chair-Initiated Promotion and Tenure Reviews

This schedule applies for all promotion cases of tenured faculty, and for tenure / promotion and tenure cases for faculty with tenure dates falling between May 1 and November 30 in which the department chair initiates the review. For tenure cases that are not early, the process timing is such that the triptych is delivered to the Provost on January 15th at least 1 year, but not more than 2 years, prior to the tenure date.

Date* Correspondence Due _____

Sep 1 Memo from DC to DFAC chair indicating name of FM to be reviewed. Copy sent to FM, FAC chair and Dean.

Oct 25 DC recommendation letter, DFAC letter, and complete evaluation file sent from DC to FAC. Copy of DFAC letter and DC recommendation letter sent to FM. For tenure cases only: If DC recommendation letter is negative, copy to FM must be sent to home address by certified mail.

Nov 15 FAC recommendation letter and evaluation file sent from FAC to Dean. Copy of FAC recommendation letter sent to FM and DC.

Dec 15 Dean notifies FAC regarding each promotion and tenure case recommendation. FAC has opportunity to draft response letter and add it to the evaluation file prior to delivery of triptych to the Provost. Copy of Dean's recommendation letter sent to FM and DC. For tenure cases only: If Dean's recommendation letter is negative, copy to FM must be sent to home address by certified mail.

Jan 15 Triptych sent from Dean to Office of the University Provost.

* If a date falls on a holiday or weekend, correspondence is due on the previous business day.

Section II.B Alternate Schedule for Chair-Initiated Promotion and Tenure Reviews

This schedule applies for tenure / promotion and tenure cases for faculty with tenure dates falling between December 1 and April 30 in which the department chair initiates the review. For tenure cases that are not early, the process timing is such that the triptych is delivered to the Provost on September 1st at least 1 year, but not more than 2 years, prior to the tenure date.

Date* Correspondence Due _____

Feb 15 Memo from DC to DFAC chair indicating name of FM to be reviewed. Copy sent to FM, FAC chair and Dean.

Apr 10 DC recommendation letter, DFAC letter, and complete evaluation file sent from DC to FAC. Copy of DFAC letter and DC recommendation letter sent to FM. For tenure cases only: If DC recommendation letter is negative, copy to FM must be sent to home address by certified mail.

May 1 FAC recommendation letter and evaluation file sent from FAC to Dean. Copy of FAC recommendation letter sent to FM and DC.

Jun 1 Dean notifies FAC regarding each promotion and tenure case recommendation. FAC has opportunity to draft response letter and add it to the evaluation file prior to delivery of triptych to the Provost. Copy of Dean's recommendation letter sent to FM and DC. For tenure cases only: If Dean's recommendation letter is negative, copy to FM must be sent to home address by certified mail.

Sep 1 Triptych sent from Dean to Office of the University Provost.

* If a date falls on a holiday or weekend, correspondence is due on the previous business day.

Section II.C Standard Schedule for Self-/DFAC-Initiated Promotion and Tenure Reviews

This schedule applies for all promotion cases of tenured faculty, and for tenure / promotion and tenure cases for faculty with tenure dates falling between May 1 and November 30 in which either the faculty member or the DFAC initiates the review. While this approach is permitted, the chair-initiated review process is typical (see Sections II.A and II.B). For tenure cases that are not early, the process timing is such that the triptych is delivered to the Provost on January 15th at least 1 year, but not more than 2 years, prior to the tenure date.

Date* Correspondence Due

Sep 1 Self-Initiated Review: Memo from FM to DFAC chair requesting a review. Copy sent to DC, FAC chair and Dean.

DFAC-Initiated Review: Memo from DFAC chair to DC indicating DFAC intention to review FM. Copy sent to FM, FAC chair and Dean.

Sep 15 DFAC-Initiated and Self-Initiated Reviews: Evaluation file sent from FM to DFAC. Copy of cover memo sent to DC and Dean. If file is found to be incomplete, DFAC notifies FM and requests required information with a copy of memo sent to DC and Dean.

Oct 1 DFAC-Initiated and Self-Initiated Reviews: Complete evaluation file received and reviewed by DFAC. Evaluation file sent from PAT to DC for review. Copy of cover memo sent to FM and Dean.

Oct 25 DFAC-Initiated and Self-Initiated Reviews: DC recommendation letter, DFAC letter, and complete evaluation file sent from DC to FAC. Copy of DFAC letter and DC recommendation letter sent to FM. For tenure cases only: If DC recommendation letter is negative, copy to FM must be sent to home address by certified mail.

Nov 15 FAC recommendation letter and evaluation file sent from FAC to Dean. Copy of FAC recommendation letter sent to FM and DC.

Dec 15 Dean notifies FAC regarding each promotion and tenure case recommendation. FAC has opportunity to draft response letter and add it to the evaluation file prior to delivery of triptych to the Provost. Copy of Dean's recommendation letter sent to FM and DC. For tenure cases only: If Dean's recommendation letter is negative, copy to FM must be sent to home address by certified mail.

Jan 15 Triptych sent from Dean to Office of the University Provost.

* If a date falls on a holiday or weekend, correspondence is due on the previous business day.

Section II.D Alternate Schedule for Self-/DFAC-Initiated Promotion and Tenure Reviews

This schedule applies for tenure / promotion and tenure cases for faculty with tenure dates falling between December 1 and April 30 in which either the faculty member or the DFAC initiates the review. While this approach is permitted, the chair-initiated review process is typical (see Sections II.A and II.B). For tenure cases that are not early, the process timing is such that the triptych is delivered to the Provost on September 1st at least 1 year, but not more than 2 years, prior to the tenure date.

Date* Correspondence Due

Feb 15 Self-Initiated Review: Memo from FM to DFAC chair requesting a review. Copy sent to DC, FAC chair and Dean.

DFAC-Initiated Review: Memo from DFAC chair to DC indicating DFAC intention to review FM. Copy sent to FM, FAC chair and Dean.

Mar 1 DFAC-Initiated and Self-Initiated Reviews: Evaluation file sent from FM to DFAC. Copy of cover memo sent to DC and Dean. If file is found to be incomplete, DFAC notifies FM and requests required information with a copy of memo sent to DC and Dean.

Mar 15 DFAC-Initiated and Self-Initiated Reviews: Complete evaluation file received and reviewed by DFAC. Evaluation file sent from PAT to DC for review. Copy of cover memo sent to FM and Dean.

Apr 10 DFAC-Initiated and Self-Initiated Reviews: DC recommendation letter, DFAC letter, and complete evaluation file sent from DC to FAC. Copy of DFAC letter and DC recommendation letter sent to FM. For tenure cases only: If DC recommendation letter is negative, copy to FM must be sent to home address by certified mail.

May 1 FAC recommendation letter and evaluation file sent from FAC to Dean. Copy of FAC recommendation letter sent to FM and DC.

Jun 1 Dean notifies FAC regarding each promotion and tenure case recommendation. FAC has opportunity to draft response letter and add it to the evaluation file prior to delivery of triptych to the Provost. Copy of Dean's recommendation letter sent to FM and DC. For tenure cases only: If Dean's recommendation letter is negative, copy to FM must be sent to home address by certified mail.

Sep 1 Triptych sent from Dean to Office of the University Provost.

* If a date falls on a holiday or weekend, correspondence is due on the previous business day.

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Appendix III. Periodic Career Review Schedule

The following describes the periodic career review (PCR) schedule. PCRs are conducted on a five-year cycle for all tenured faculty during the Spring semester. This schedule is designed to: 1) allow enough time for chairs to complete the most recent annual faculty evaluations by March 15 so that they can be included in the PCR review process; and 2) to be completed prior to summer break, during which it is difficult for Speed School Faculty Affairs Committee (FAC) to meet. For more information of the PCR process, see Section 2.4 of this document or Section 4.2.4 of The Redbook. Should any date fall on a holiday or weekend, the associated correspondence is due on the previous business day.

Date* Correspondence Due

Feb 15 Dean's Office notifies faculty member (FM) scheduled for PCR review as well as the associated department chair (DC).

Mar 1 FM sends updated Curriculum Vitae (CV) to DC.

Mar 15 DC sends CV and copies of previous five FM annual performance reviews (including most recent year) to department faculty activity committee (DFAC).

Apr 1 DFAC sends the recommendation letter and the summary of annual performance reviews to DC as separate documents.

April 15 If a Stage 2 review is not warranted (see Section 2.4.A), the DC sends the recommendation letter and the DFAC summary to the Dean (copy to FAC chair and FM) and the PCR process is complete.

April 15 If a Stage 2 review is warranted (see Section 2.4.A), the DC sends the recommendation letter and the DFAC summary to the FAC (copy to FM).

May 1 If a Stage 2 review is warranted (see Section 2.4.A), the FAC sends the recommendation regarding Stage 2 review to the Dean. If the Dean agrees that a Stage 2 PCR review is warranted, the process is described in Section 2.4.B.

* If a date falls on a holiday or weekend, correspondence is due on the previous business day.

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Appendix IV. Annual Work Plan and Review Schedule

The following describes the schedule for annual work plans and review. Annual work plans and annual reviews are conducted each year for all tenure-track, tenured and term faculty. This schedule is designed to allow enough time for chairs to complete the most recent annual faculty evaluations by March 15 for incorporation into the PCR review process (if applicable). Should any date fall on a holiday or weekend, the associated correspondence is due on the previous business day.

Date* Correspondence Due

Dec 20 Department chair (DC) communicates with department faculty with list of proposed instruction and other duties for the upcoming calendar year.

Jan 20 Annual work plan submitted by faculty member (FM). Any digital faculty effort reporting system in use by Speed School is updated by the FM.

Feb 15 DC approves annual work plan that is mutually agreeable to DC and FM. If the FM and DC cannot agree on an annual work plan, the DFAC will review the matter and specify a suitable annual work plan (see Section 3.1).

Feb 28 FM submits activity report for previous academic year.

Mar 15 DC completes annual review of FM.

Apr 1 Meeting between DC and FM to discuss annual review of FM is completed. See Section 2.1 should disagreements about the annual review remain between the DC and the FM.

* If a date falls on a holiday or weekend, correspondence is due on the previous business day.

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Appendix V. Procedure for Extramural Review Letters

The following describes the procedure by which extramural review letters are to be solicited and received for use in promotion and tenure cases. The faculty member (FM), department chair (DC), and department faculty activity committee (DFAC) chair each have a role in completing this process. This appendix does not provide a schedule but the steps below should be undertaken after careful consideration of the dates outlined in Appendix II (Promotion and Tenure Review Schedules).

This procedure satisfies Section IV.D.5(a) of the Minimum Guidelines for Faculty Personnel Reviews (Addenda to Chapter 4 of The Redbook, henceforth referred to as the Minimum Guidelines), which states: "Each unit document must specify the process by which extramural evaluators shall be solicited. This process shall be designed to certify the professional expertise and objectivity of the evaluators, whose comments regarding the quality of the work under review shall be solicited along with justification of those comments." The promotion and tenure process determines what constitutes objectivity; however, it is stipulated that close colleagues, close collaborators, former mentors, co-authors, and so on, are not generally considered objective evaluators. The FM and DC statements regarding the suitability of potential reviewers may be used by the Speed School Faculty Affairs Committee (FAC) to satisfy Section IV.D.5(c) of the Minimum Guidelines which states, in part, that "The unit personnel committee shall provide a written analysis of the validity and significance of the evaluations received." The FAC may choose, at its discretion, to create its own written analysis of the extramural evaluators in place of the FM and DC suitability statements.

The steps for the extramural review letters are listed below. However, it is understood that individual circumstances may require alteration of these steps; in such cases, the DC should discuss the matter with the FM and the DFAC chair, outline the proposed changes in writing, and forward to the Dean for approval (with a copy to the FM, DFAC chair and FAC chair).

- 1) FM shall provide to the DC (copy to DFAC chair) a list of 4-6 potential reviewers, along with a brief statement for each one as to why they are suitable to serve as extramural reviewers.
- 2) DC shall provide to the FM (copy to DFAC chair) a list of 4-6 potential reviewers, different from those in (1), along with a brief statement for each one as to why they are suitable to serve as extramural reviewers.
- 3) DC and FM will review the combined lists from (1)(2) and come to consensus regarding a list of 8-12 potential reviewers, eliminating and/or adding additional potential reviewers if necessary.
- 4) DC sends requests for 6 extramural letters, selecting 3 from the candidate's list and 3 from the chair's list in a manner of his/her choosing. The DFAC chair receives copies of each request.
- 5) If a potential reviewer declines, an additional review request should be sent, with the chair selecting from the remaining potential reviewers by alternating between the FM and DC lists.
- 6) The triptych must contain 4-6 extramural review letters. The department chair and the DFAC chair will determine when the period to receive extramural review letters has closed. Any

letters received by this date will be included in the triptych, while any received after this date will be discarded without consideration.

- 7) The DFAC chair is responsible for adding the extramural review letters to the triptych; the associated statement written about the reviewer's suitability in (1)(2) also becomes part of the record. Once extramural review letters are added to the triptych, the candidate no longer has access to the triptych to ensure the confidentiality of the reviewers.
- 8) Once the letter receipt period has closed in (6), the DFAC chair will create a single text document consisting of the redacted language of each extramural letter (e.g. beginning after the salutation and ending prior to the signature). These letters will be labeled in order of receipt as Extramural Reviewer 1, Extramural Reviewer 2, etc. Reviewers should be encouraged to avoid including identifying information in the body of the letter to ensure anonymity. (This process can also be facilitated by requesting that the individual reviewers email this language as a text file along with their letter.)
- 9) The DFAC chair will provide the candidate with the text document from (8), with a copy to the DC. This will include a cover letter indicating that the FM has 7 days to respond, in writing, to the extramural review letters if desired; the DFAC chair has the discretion to grant additional time if requested by the candidate. A response to the extramural letters received in the allowed timeframe must be added to the triptych prior to consideration by the DFAC. The FM has the right to add a response at a later time but this will not alter any discussions or decisions that have preceded it.
- 10) Upon conclusion of the 7 day (or longer if agreed) extramural reviewer letter response period, the DFAC chair calls a meeting of the DFAC to consider the FM candidate further.

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