

College of Liberal Arts and Sciences
Guidelines for Faculty Appointments, Promotion, Tenure, and Salary

Few matters are more important in the life of the College than decisions made about the appointment, promotion, tenure, and merit salaries of our faculty. There are general University policies that govern these matters. Within the College, we have been governed by the guidelines set forth in the memoranda of August 1985, August 1989, and September 1996. The purpose of this document is to update these guidelines. These common guidelines will serve as official College policy on matters related to appointments, promotion, tenure, and merit salary. Each department and program is asked to use these guidelines and to review its own policies to ensure consistency with the policies they represent.

A. FACULTY APPOINTMENTS

The caliber of appointments to the College faculty is rightly a concern of the whole faculty. The principal responsibility for academic recruitment lies with the individual department or program. It is the task of each department to serve as a steward for the interests of the College faculty in ensuring appointments of distinction in scholarship and teaching. The College is part of a comprehensive University, one emphasizing scholarship in its broadest sense (i.e., the generation and dissemination of knowledge within and outside the classroom). All faculty appointments should be made only after the department/program and the Dean are satisfied that the candidate exemplifies the highest possible scholarly caliber. Not only should the quality of the candidate be strong, but the commitment to affirmative action and cultural diversity should be high and evident at every stage of the process.

Departments should note that our University adheres to a general agreement among American universities that offers should not be made later than May 1, consistent with the faculty member's obligation to resign, in order to accept other employment, by no later than May 15. It is recognized that in special cases, it might be appropriate to make an offer after May 1, but in such cases, there should be an agreement by all concerned parties.

Authorization for Search At the beginning of the fiscal year, the Associate Deans will review with their respective department chairs and program directors any pressing faculty needs within their units. In these discussions, chairs should recommend a "competitive" starting salary for faculty, similar to that offered by other major institutions recruiting for similar positions. Disciplinary newsletters are good sources of information on the "market rate" for any particular position. During the summer, the Dean, in consultation with the College Dean's Office staff, will reach a decision on hiring priorities and whether a search will be conducted. Should a faculty search be approved, the College Dean's Office will send written authorization to the unit outlining the parameters of the search. Searches normally will be expected to be completed within a period not to exceed two years.

The Search A search committee should be appointed in accordance with the guidelines set forth in the Equal Opportunity Office's, *Recruitment Guidelines for Unclassified Staff and Faculty*. With regard to the composition of the search committee, the College Dean's Office requires that at least one faculty member from outside the department and a student representative serve on the search committee in an effort to increase full College participation in all searches. The services of the outside member and student representative should last throughout the duration of the search; they are considered full voting members of the committee.

The chair of the search committee shall have an initial meeting with a member of the Equal Opportunity Office to insure that procedures for search, selection, and screening are properly carried out. The search committee must endeavor to solicit candidates from underrepresented groups (i.e., women and minorities). There are many ways of doing this, including the use of contacts within the discipline likely to be aware of qualified candidates from underrepresented groups. The Equal Opportunity Office may be also consulted for assistance in this area.

During the search process, the department chair should provide the contact Associate Dean with the vitae, letters of reference, and other appropriate materials for the top three candidates identified. For any members of the affected class (e.g., women, minorities, persons with disabilities, and covered veterans), the chair should also furnish comparable materials for the highest-ranking members of the affected classes. Once the College Dean's Office approves the candidates during the "Pre-Interview Summary" stage, approval is then sought from the Equal Opportunity Office. With the approvals of the Dean and the Equal Opportunity Office, the department can then proceed to invite three candidates for on-campus interviews

The Interview The search committee should refer to the screening section in the *Recruitment Guidelines for Unclassified Staff and Faculty*. Normally, three candidates will be interviewed for a position. Candidates invited for an interview should be scheduled for half-hour meetings with the Dean and the contact Associate Dean. The Office of the Provost and the Graduate School, or their designees, must interview all candidates at the rank of Associate or Professor; they may also interview other candidates if such an interview is desired by the department or the College Dean's Office. The department should include in the interview schedule representatives of allied departments and affected classes. Members of allied departments should be encouraged to attend a colloquium or seminar presentation by the candidate.

The Offer At the conclusion of the interview process, the department should forward a recommendation for appointment and the required search paperwork to the contact Associate Dean. Once approved, the appointment recommendation is forwarded from the College Dean's Office to the Equal Opportunity Office, which in turn forwards the documentation to the Provost's Office for contract generation. Once the department has been given authorization to make an offer of appointment by the Equal Opportunity Office, the department chair may then make informal contact with the candidate and let him/her know the conditions of the appointment. All commitments to the candidate, including salary, starting date, appointment terms, and associated start-up costs, should be discussed with the contact Associate Dean and specified in writing to the candidate. The letter of appointment should carry the endorsement of the appropriate contact Associate Dean or Dean. Expectations about teaching, research, and service also should be clearly communicated to the candidate. From time to time, particularly in the case of appointments in the sciences, certain laboratory equipment, space commitments, or other commitments may be combined with the offer. Again, it is a firm College policy that such commitments will be made in writing at the time the offer is tendered. It is expected that the affected department should participate in any commitments for equipment from departmental funds. If such commitments are likely to be made, the chair should meet with the contact Associate Dean, review the written commitment, and obtain College Dean's Office endorsement, prior to forwarding the information to the candidate at the time the offer is made.

The terms of an offer to an individual should be consistent with the announcement of the position. Each of the following should be stated clearly in the letter offering an appointment: (a) the initial rank; (b) the length of the appointment; (c) conditions of renewal; (d) the salary; (e) the duties of the position;

(f) as applicable, whether the appointment is with tenure, the amount of credit toward tenure for prior service, and the maximum length of the probationary period; (g) as applicable, the institution's "start-up" commitments for the appointment (e.g., equipment, laboratory space, renovations); (h) the date when the appointment begins and the date when the candidate is expected to report; (i) the date by which the candidate's response to the offer is expected, which should not be less than two weeks from the tender of the offer; and (j) details of institutional policies and regulations that bear upon the appointment. Specific information on other relevant matters also should be conveyed in writing to the prospective appointee. A sample offer letter of appointment can be obtained from the College Dean's Office.

Determination of the amount of credit toward tenure for prior service and the maximum length of the probationary period is made by the Office of the Provost. This information will be specified on the official contract forwarded to the unit by the Provost's Office.

When the Provost's Office forwards a contract to the Department via the Dean, it should be promptly forwarded to the candidate, along with the letter of appointment. The written offer of appointment should be filed with the College Dean's Office and Provost's Office. The written offer of appointment should be given to the candidate within ten days of the institution's having conveyed an intention to make the offer; a candidate should be informed promptly if the offer is not to be forthcoming within ten days.

If, during the search process, all three candidates decline, requests for an extension of the search should be made then through the contact Associate Dean and the Equal Opportunity Office. The Office of Budget Management and Fiscal Services should be notified also about the status of the search.

Kinds of Academic Appointments in the College There are two kinds of regular faculty appointments in the College that are tenure-related: a) tenured appointments and b) probationary appointments. In addition to these two types of appointments, there are also other appointments. These include part-time appointments, adjunct and courtesy appointments, term appointments, visiting appointments, special visiting appointments (e.g., the Rose Morgan and Langston Hughes Professors), lecturers, and instructors. None of these other appointments are tenure accruing.

Appointment to Tenure

1. **Candidates without Tenure Elsewhere** As a general rule, the College does not grant "instant tenure" to a candidate who has not held a tenured position elsewhere. A department wanting to make an exception for an outstanding candidate must make the case for it to the Dean. If the Dean finds the case compelling, he or she will request the College Committee on Appointments, Promotion, and Tenure to review the record of the candidate and ask for its recommendation.
2. **Candidates with Tenure Elsewhere** If a candidate to be interviewed has tenure at another institution and, in the judgment of the department, is presumptively eligible for a tenured position at KU, the Dean will forward the candidate's vita and the research and teaching portfolios to a subcommittee of the College Committee on Appointments, Promotion, and Tenure (CCAPT) for review. An initial review is to take place prior to the campus visit. The subcommittee and the Dean will determine whether the subcommittee should be included in the interview process. The subcommittee will forward to the Dean a report assessing the tenure

potential of the candidate. The report, including the committee's recommendation, will be distributed to all members of CCAPT. If requested by four members, the Dean will call a special meeting of the committee to deliberate.

Subcommittee recommendations for candidates with or without tenure elsewhere should include a report assessing the tenure potential of the candidate. Provision of a concise statement of teaching, research, and service with the recommendation for appointment with tenure assists the Provost's Office in its final review of the Committee's recommendation.

Probationary Appointments All other appointments to the faculty (except for visiting, part-time, and "other" appointments outlined above) will be probationary appointments. A probationary contract is for one year only, but it is annually renewable for a probationary period not to exceed a total of six years. The appointment of a probationary faculty member who has completed all requirements for the terminal degree (normally the Ph.D.) is made at the rank of Assistant Professor. Only in rare circumstances is a probationary appointment made at the Associate Professor level. In the case of an appointment of a candidate without the terminal degree, the initial appointment will normally be made at the rank of Acting Assistant Professor. In such cases, the department should specify a point, within 18 months, at which time the degree must be completed. If a degree is not completed by that time, the next year's appointment will be a terminal one. **This policy is more stringent than the current University policy that allows a faculty member to complete the terminal degree within three years. For candidates for whom this applies, departments must communicate this statement in their written letter of appointment.**

Third-Year Progress Toward Tenure Reviews Each department periodically should review their "Department Faculty Evaluation Plan," as approved by the Office of the Provost. This document should be made available to all tenure-track faculty.

Faculty will receive a third year progress toward tenure review in the spring semester of their third year. A faculty member's years of prior service (as recognized and determined by the Office of the Provost) will be counted in calculating years of service. For example, a faculty member who has been given credit by the Provost Office for one year of prior service will be reviewed in the spring semester of his/her second year at KU; a faculty member with two years of prior service will be reviewed in the spring semester of his/her first year at KU.

A faculty member **may** be exempt from the progress toward tenure review process; if he or she has received credit for three years prior service, the hiring process will be considered the progress toward tenure review.

During a progress toward tenure review, the department shall review the research, teaching, and service record of the faculty member with a view to assessing the probability of subsequent tenure and promotion in the College. The Third Year Progress Toward Tenure Review form is the correct form to use and can be found on the Provost's Office website (www.ukans.edu/~provost/forms) along with Guidelines and Instructions. One signed original Third Year Progress Toward Tenure Review form, a letter from the chair/director addressing the faculty member's teaching, research, and service, and a current curriculum vitae shall be forwarded to the College Office by no later than **March 1**. Outside reviews are not required for the progress toward tenure review. The College Committee on Appointments, Promotion, and Tenure (CCAPT) will review the evaluation and report the Committee's evaluation of the faculty member to the faculty member and to the

department chair/director in a letter addressed to the faculty member. After the letter has been received, the chair/director and the faculty member are to meet and discuss the evaluation. The chair/director will then notify the College Dean's Office of the date of the Progress Toward Tenure Review discussion with the faculty member.

In addition to this progress toward tenure formal review, departments are required to make internal, annual reviews of faculty on tenure-track appointments in order to provide ongoing, constructive advice and direction to faculty seeking tenure and promotion in the College. Please refer to the "Department Faculty Evaluation Plan."

Tenure-track faculty are entitled to sound advice and guidance concerning their prospects for promotion and tenure at the University. The progress toward tenure review should document that guidance. The CCAPT review is designed to be a check to determine whether departmental standards of evaluation and assessment of the individual are in line with those of the College and University promotion and tenure committees. Of special concern is to identify any cases in which a department judges that a tenure-track faculty member is doing well, when the CCAPT would evaluate the candidate more critically. It is far better that any such discrepancies be discovered in the tenure-track period while there is still ample time for consultation and change.

Policy on Interruption on the Probationary Period Occasionally during the probationary period, personal circumstances may prevent a faculty member from carrying out a significant portion of the responsibilities of his or her tenure-earning position. In such cases, the faculty member may have difficulty maintaining the necessary progress toward meeting the required academic responsibilities for the award of tenure within the specified period. In some unusual situations, the personal circumstances may qualify the family member for certain types of leave or reduction in appointment that extend the tenure clock. Under such unusual circumstances, a faculty member in a tenure-earning position may request, and, if determined eligible, may receive (a) family medical leave under the Family and Medical Leave Act of 1993 (FMLA), (b) non-scholarly leave without pay, (c) part-time appointment or (d) under unexpected special and extenuating circumstances, an extension of the tenure clock for a maximum of one year. The effect of each of these options is to provide the faculty member a period of time that is not included in the probationary period to address the specific circumstances. No promotion and tenure committee at any review level will discriminate against faculty members who are granted extensions of the tenure clock under this policy. The complete text of this policy is available in the *Handbook for Faculty and Other Unclassified Staff*, Section C.2.c.2.

Visiting and Term Appointments From time to time, visiting and term appointments will be made in a unit. Our Equal Opportunity policies require that the same scrutiny be given to these appointments that is given to probationary and tenured appointments. Units should refer to the Recruitment Guidelines for Unclassified Staff and Faculty for the process to be followed for making offers on a visiting basis. On-site interviews are not normally held in connection with a visiting or term appointment. The maximum duration for a term appointment is one academic year. Subsequent such appointments may be offered. Cumulative full-term appointments must not exceed three academic years (or six semesters at full-time employment.)

Graduate Teaching Assistants Graduate teaching assistants (GTAs) are an important component of the teaching and research programs of the College. The purposes of GTA appointments are threefold: 1) to strengthen the graduate programs of the College, 2) to provide apprenticeships to

students aspiring to be the faculty of tomorrow, and 3) to assist in providing undergraduate instruction.

All GTA appointments are governed by the Memorandum of Agreement between the University, Kansas Board of Regents, and the Kansas Association of Public Employees (KAPE), which represents graduate teaching assistants on the Lawrence campus. All GTA appointments must conform to the terms of the memorandum. Please visit the Provost's Office website for the complete texts of the memorandum at (<http://www.ukans.edu/~provost/gta.shtml>).

B. PROMOTION AND TENURE IN THE COLLEGE

University rules govern policies related to promotion and tenure. Nothing contained herein is intended to substitute for University policies and procedures that may be found in the *Handbook for Faculty and Other Unclassified Staff*. The purpose of this section, rather, is to set down certain common practices that the College and its departments and programs should follow in the nomination and review of candidates for promotion and/or tenure.

Although procedures governing promotion are very nearly identical to those governing tenure, the two are not the same thing. As a general rule, promotion to the rank of Associate Professor should carry a simultaneous recommendation for tenure.

Consideration for Promotion with Tenure Late in the spring semester of the academic year before a mandatory tenure review, the College Dean's Office will secure from the Provost's Office a list of all the candidates whose mandatory review falls in the next academic year. The College Dean's Office will then forward those names to the relevant chairs of the departments. The departmental chair should notify the candidate that the next academic year represents the mandatory review year and should discuss and review with the faculty member the departmental, College, and University procedures governing promotion and tenure.

Preparation of Departmental Promotion Recommendations A recommendation for promotion and tenure should be based upon the most careful scrutiny of the candidate's record of scholarship, teaching, and service. Also important are the preparation and organization of the promotion recommendation and supporting documentation. It is crucial that a candidate's consideration for promotion and tenure not be compromised by the poor preparation or organization of the promotion recommendation "packet" that is forwarded to the College by the department. Accordingly, in addition to the University's general statement of "Guidelines and Criteria for Tenure and Promotion," found in the *Handbook for Faculty and Other Unclassified Staff*, departments should conform to the following College guidelines:

1. Each department or program should submit to the College Dean's Office a concise statement that specifies the expectations and standards with respect to academic performance that would be sufficient for a recommendation for tenure and promotion applicable to a probationary faculty member in the academic area. This statement should be submitted to the Dean for endorsement and forwarded to the College Committee on Appointments, Promotion, and Tenure (CCAPT) for that committee's perusal as appropriate. The statement should be endorsed by the department's faculty prior to submission to the Dean. In some fields, scholarly activity cannot be measured in terms of books or articles published, grants received, etc. In such cases, it would be beneficial if the department could provide some background on normal expectations at peer institutions.

2. In the context of its evaluation of promotion and tenure recommendations, the CCAPT may conduct interviews with candidates recommended for tenure. Candidates should be advised of this possibility early in the year of the evaluation for tenure.
3. The timetable for tenure and promotion review calls for the process to begin in the spring with the solicitation of external letters of support. In the review process, evaluators attach considerable weight to external letters from faculty peers. These should represent searching assessments from distinguished scholars in the candidate's field. In conformity with University policy, comments and reviews by six external scholars and professionals in the same discipline or performance area shall be provided as part of the material forwarded to the CCAPT. The outside evaluators must not include dissertation advisors, postdoctoral supervisors, former professors, graduate school colleagues, co-authors, KU faculty, and one's own former students. Candidates whose specialized research requires drawing on such persons must make a special case to the appropriate department or College committee. Those reasons should be transmitted to the CCAPT and will be forwarded to the University Committee on Promotion and Tenure (UCPT).
 - a. Requests for letters of evaluation must be mailed in late spring or in the summer to have ample time to review the file in question.
 - b. At the outset of the review process, the department chair should ask the candidate to provide up to four (4) names of potential external evaluators. This list should include brief explanations of why the individuals were named. The candidate may also supply the names of no more than two (2) individuals who should not be used as referees; no explanation is required.

The department unit is responsible for using its judgment in the final selection of external evaluators and will then compile a primary list of six referees, with several alternates, and provide that information to the College Dean's Office. The list should include a brief explanation of how and why individuals were selected.

Candidates must not themselves solicit recommendations, nor must they provide recommendations or evaluations for themselves. The criteria and process for selection of external evaluators must be communicated to the candidate, however, the candidate will not be informed of the final selection for referees nor should they see the letters that are obtained on behalf of the candidate.

- c. Evaluators should be sent an appropriately representative body of the candidate's work to review. The candidate should have input into the selection of work to be sent. Evaluators should be requested to review and evaluate the quality of the candidate's work, including published materials and any work submitted for publication or completed and ready for submission.

All letters to external evaluators must contain the following: College confidentiality statement, a request for a short form of the individual's CV, and identification of the following evaluation areas which must be addressed by the evaluator at a minimum:

- 1) Length and capacity of his/her association with the candidate;
- 2) The quality of the candidate's work;
- 3) The significance of the candidate's work to the discipline/profession

- 4) The pattern of productivity reflected in the candidate's record compared to discipline characteristics
 - 5) The level of state, regional, national and/or international stature of the candidate as a result of this work;
 - 6) Any special distinction achieved by the candidate
- d. The College's confidentiality policy regarding soliciting external reviewers for the promotion and tenure review process, is as follows:
- “As a part of the promotion and/or tenure review process, we are soliciting assessments of Professor _____’s research contributions from academic colleagues and distinguished professionals. These letters will become part of the candidate’s promotion and tenure dossier and are treated as confidential by the University to the extent we are permitted to do so by law.”*
- e. The department will mail letters to the six referees selected. If anyone declines, letters may be sent to alternates as needed. There should be no more than six requests active.
 - f. Original signed letters on official letterhead of all responses (including declinations or explanations of non-response) must be included as part of the candidate's file.
 - g. The list of external referees, alternates, and the brief explanation of selection criteria should be provided to the College Dean's Office prior to the time the solicitations are made, and no later than June 1.
 - h. The following documentation must be provided in the folder containing the external evaluations:
 - A sample copy of the letter sent to the evaluators.
 - Original signed letters on official letterhead of **all** responses to requests for external evaluations (including those who declined).
 - List of materials sent to the evaluators.
 - A brief biographical statement concerning the qualifications of the evaluators indicating stature in the field and identification of the relationship to the nominee, if any, and
 - Evaluator's vita.
4. In the event that a candidate withdraws from the non-mandatory promotion process, the following guidelines are to be followed regarding the disposition of external letters of support.
- a. If the candidate desires that these letters be used in the following year, then the departmental committee on promotion and tenure should write to the external referees, inform them of the situation, and request permission to retain the letters for use the following year. Under this option, all letters received must be retained for subsequent review and used no later than the following year after receipt of such letters. Only if an external referee is not agreeable to future use may a letter be discarded.

- b. The rule of confidentiality applied to all letters, including those not used, at all stages of the review process.
 - c. If the candidate desires new letters, whether from previously or newly selected external referees, the letters should be solicited according to the guidelines of the CCAPT. “Old letters” shall be destroyed or returned to the external referee.
5. The evaluation procedure also places considerable weight on the documented evaluation of teaching, including student evaluation data and peer review of teaching. Student advising should be regarded as part of teaching responsibilities. In addition to the sort of data acquired by routine student evaluations, departments are urged to secure letters from departmental alumni, over the past three to five years. Such letters should not be sent to the candidate but to the departmental chair, and all responses should be included in the tenure and promotion materials. Departments should devise an appropriate procedure for a constructive peer review of teaching, and the results of such reviews should be included in the tenure and promotion materials sent to the College.
 6. The College Committee on Appointments, Promotion, and Tenure has consistently used as a rule of thumb the “40-40-20 criteria” for respectively weighting research, teaching, and service. In the case in which the 40-40-20 formula does not reflect the responsibilities of a tenured faculty member, a unit should be encouraged to permit tenured faculty to adjust their allocation of effort to teaching, research, and service in a manner that promotes the most effective utilization of their expertise and helps the faculty, unit, and the University to achieve their overall missions. Such adjustments should be reflected in merit salary recommendations and other appropriate recognitions but not affect the current criteria for promotion and tenure reviews. Faculty whose allocation of effort does not reflect the traditional distribution should be informed specifically of the consequences of their allocation on future promotion reviews.
 7. With respect to service, the CCAPT assumes that what constitutes very good performance for a candidate for promotion to Professor is much more demanding than what is required for a candidate being considered for tenure and promotion to the rank of Associate Professor. Departments should advise their candidates of this distinction well in advance.

Through Chancellor Hemenway’s Initiative 2001 process, the Serve Kansans Task Force recommended that the following Philosophy of Service statement be adopted:

“The University of Kansas as a comprehensive public research and teaching university has a commitment to the State of Kansas. This commitment goes beyond the institution’s commitment to the creation, preservation, and dissemination of knowledge through teaching and research. The University of Kansas has a special responsibility to participate in assisting communities and State agencies in achieving the best quality of life possible for Kansas citizens. The commitment is consonant with our responsibility to the State to create and maintain academic and research programs. We cannot assume that our commitment to serving Kansans is met solely through the institutes and centers whose individual missions include the provision of specific services to Kansans. We should strive to provide our students with the opportunity to serve Kansans as a way of encouraging their participation in service when they become members of communities and pursue their respective careers. The University community (faculty, staff, and students) shares in meeting the institution’s commitment to addressing what matters to the people of the State.”

8. With respect to research, candidates for tenure and promotion to the rank of Associate Professor must present clear evidence of developing a research program that goes well beyond research completed for the Ph.D., that has already resulted in products of high quality (as demonstrated in part by publication in sources of high quality that use critical standards for review), and that exhibits promise of continuing productivity. Candidates for the rank of Professor must provide clear evidence of a well-established research program that has already demonstrated its quality, that promises continuing productivity, that has established the researcher's national contributions and reputation in the field, and that is confirmed as such by distinguished, independent, external reviewers. At both levels, when a candidate has participated primarily or exclusively in group research projects, the department should document, to the best of its ability, the candidate's unique contribution to these projects. It should also be noted that research includes appropriate forms of creative activity and artistic production.
9. Departments should prepare promotion and tenure materials so that the relevant information is available to the CCAPT in a clear and concise form, with the supporting documentation presented in a well-organized way. The department should provide a brief summary statement that outlines the credentials of the candidate, states the overall recommendation and evaluation, and indicates the contents and organization of the supporting documents. Typically, this summary statement can be attached to the "Blue Form" and supporting data distributed in clearly identified appendices. The CCAPT should not be required to ferret out information from poorly prepared or excessively "rhetorical" materials.
10. Departmental criteria and procedures for promotion and tenure should be incorporated in departmental bylaws or guidelines and distributed to all departmental faculty. Faculty should also receive copies of the College's guidelines and the department's statement requested under #1 above.
11. Members of the faculty who are themselves candidates for promotion and/or tenure should not serve on departmental or College promotion committees during the year of their candidacy.
12. Members of the faculty should not serve on departmental or College promotion and tenure committees if a member of their household is a candidate for promotion and/or tenure.

Years of Service and Promotion/Tenure Promotion in academic rank is not given for the completion of a particular number of years of service. A promotion with tenure in the fourth or fifth year of service is quite exceptional. Promotion in the sixth year of an appointment is more typical. It is the responsibility of the department to justify its evaluation of an individual as "exceptional" if she/he is recommended before the fifth and sixth years.

C. FACULTY EVALUATION

Each faculty member shall be evaluated annually in the early spring by his/her department using criteria and methods in accordance with approved Departmental Faculty Evaluation Plans. The departmental plan sets forth the expectations for the evaluation of teaching, scholarship, and service appropriate to the unit. The department may utilize the advice, services, and counsel of a chair/director/faculty committee for this purpose. The annual evaluation shall be provided to the faculty member in writing; the faculty member and chair should discuss the evaluation. The process calls for inviting faculty to submit a portfolio of relevant information for the purposes of evaluation.

1. In accordance with the Departmental Faculty Evaluation Plan, each faculty member shall be asked, by a publicized date, to make available to the chair (or appropriate departmental committee) information on teaching, research, and service activities during the previous calendar year. The minimal normal period of evaluation is the previous calendar year (i.e., from January 1 to December 31), but departments are also encouraged to take a longer and broader view to one's contributions. In many disciplines, research endeavors are slow to start and slow to finish, but the quality may be well worth the wait. This requires careful weighing of evidence on the part of a chair and a departmental committee.
2. There is clearly no perfect formula which might encapsulate the varying mixes of departmental needs for weighting research, teaching, and service. Over the years, however, the 40-40-20 criteria for respectively weighting research, teaching, and service has gained pre-eminence. It is recommended to departments that their weighting criteria be reviewed periodically, in light of the needs of the tenured faculty member and the departmental needs and aspirations. Such review may uncover compelling, professional reasons for applying an alternative formula or redistribution of effort with some faculty. Changes to the formula should be made at the beginning of a rating period and not at the time of the evaluation.
3. Multiple sources of information must be used to evaluate teaching. The portfolio shall include students' ratings of instruction and additional sources of appropriate information. Departments should have appropriate procedures established for the student evaluation and peer evaluation of faculty teaching. Advising at all levels (e.g., freshman/sophomore, undergraduate majors, graduate students, etc.) should be a component of the relevant data presented during the faculty evaluation process, as well as commitment to Equal Employment Opportunity (EEO) and cultural diversity.
4. Multiple sources should also be used to evaluate the areas of scholarship and service. The evaluation of faculty research and creative work should not place undue emphasis on quantity at the expense of quality.
5. After the chair/departmental committee makes its annual evaluation of the faculty, the faculty member should be informed of the evaluation in writing and be given the opportunity to respond to the evaluation with the chair, director, or relevant committee. University guidelines require that the chair and the faculty member meet to discuss the information submitted and the resulting evaluation of performance. All written evaluations and recommendations, as well as any written responses to the evaluation, should be kept on file in the department or program office. If the evaluation reveals that a faculty member's performance requires improvement in some areas, the written evaluation shall be specific in describing those areas and ways for improving performance in each area.
6. The annual evaluation should also include a review of the assignment of differential allocation of effort with the faculty member to determine if any changes are needed and what changes are appropriate and practical. If a faculty member's performance requires improvement in any area, the department chair will explore, with the faculty member, reallocation of effort from problem areas to areas where performance is more satisfactory, subject to the necessity for the unit to meet its teaching, research, and service obligations and the need for all faculty members to contribute appropriately. Changes in the distribution of effort will be documented in the faculty member's personnel file.

Specific procedures concerning the evaluation of faculty can be found in each department's Faculty Performance Evaluation Plan, as approved by the Office of the Provost.

D. SALARIES

The “Merit Only” Principle The University makes an annual request to the Legislature for a salary increment for unclassified personnel that is justified on a “merit only” basis. It is the obligation of the College and its departments to adhere to the merit principle. Therefore, merit salary increments may not be justified as a “cost-of-living increment” or simply on the basis of time-in-rank or seniority.

Research, Teaching, and Service Merit allocations are awarded for the purpose of recognizing meritorious teaching, research, and service. It is important, both for legal and ethical reasons, that departmental merit policies be mutually compatible and consistent with the policy guidelines of the University. It is also important to remember that all of our faculty members are colleagues within the same College and deserve to be evaluated by comparable standards.

Process and Guidelines After departments have conducted their annual evaluation of faculty in accordance with established Faculty Evaluation Plans, the College Office will then request departmental merit recommendations according to a fixed timetable. These recommendations are normally due in the College Office in early May of the academic year. Recommending merit salaries to the Dean is the responsibility of the departmental chair or program director who should conform to the appropriate departmental/program procedures and criteria for these recommendations. Furthermore, each department and/or program should conform to the following guidelines in making salary recommendations to the College Office:

1. Merit salary procedures and criteria for each department should be made known to each faculty member. Such procedures shall be incorporated in departmental bylaws or other formal documents of the department. These procedures and criteria should be endorsed by the department and followed by the chair.
2. The chair or appropriate departmental committee is expected to make discriminating judgments based upon merit reflecting the range of merit within the department.
3. Prior to the final determination of the merit budget for the College and its departments – a process by which determinations of these recommendations are based on data from the annual Faculty Evaluation process – performance recommendations given to the faculty should take the form of qualitative evaluations (depending on the specific procedures of each department).
4. The first recommendation for merit increments is set by the department and should be transmitted with the endorsement of the chair. In making salary recommendations to the Provost Office, it is the responsibility of the Dean to ensure first that salary recommendations are made according to settled, known policies applied to all members of the faculty. When the Dean believes that an individual salary is not commensurate with individual performance in a given year, it is the responsibility of the Dean to review the salary with the chair before transmitting his or her recommendations to the Provost.
5. The College Dean’s Office, upon receipt of an allocation from the Provost Office, will set aside a portion of that increment to be used for special purposes such as (1) promotion bonuses, (2) addressing inequity issues, and (3) responding to market equity.
6. Before the end of the academic year, when the available merit budget is determined, faculty members should be informed in writing of the merit increment in dollars.

Promotion Merit Increment Normally, the College Dean's Office will provide a "step level increment" for each promotion in the College. In the case of appointments split between the College and some other unit, the College's contribution will be proportional to the split of the appointment.

E. LEAVES WITHOUT PAY

A leave without pay (LWOP) may be granted for one semester, the academic year, or the fiscal year by the Chancellor of the University to nurture faculty development. A leave without pay is for one year only with subsequent annual requests for extensions required. Under Regents policy, the Chancellor may grant a maximum of three (3) consecutive one-year leaves.

A leave may be requested to teach at another institution, to receive a research grant, to work on special research opportunities, to undertake a public responsibility, or, from time to time, for personal reasons. No leave may be granted to any employee who has accepted a permanent position (i.e., a tenure-track or tenured position) within another post-secondary education institution. The College and University have been very supportive of leaves without pay, believing that they are usually in the best interest of faculty professional development. Normally, the College Dean's Office and the Provost Office are predisposed to endorse a departmental recommendation for a LWOP if the leave is judged to be in the best interest of the University.

Each department/program within the College should develop and maintain written policies concerning the circumstances under which LWOP will be recommended by the chair/director to the College. The departmental policy should indicate a date by which an application must be made. Ordinarily, a leave application for the full academic year or the fall semester should be in the hands of the departmental chair as early as possible, but no later than May 1. An application for spring semester leave should be made before November 1. Only under exceptional circumstances should a department forward a LWOP request after these dates.

A request for LWOP should be forwarded to the chair of the department in which the member of the faculty holds his or her primary appointment. If the chair approves it, the request should be endorsed and forwarded to the Dean with a statement concerning the value to the University of granting the leave. If the Dean approves it, he or she will forward the endorsed request to the Provost's Office for subsequent endorsement.

If there is some uncertainty about whether a faculty member intends to return to the College after a leave, the department should reach an agreement on a date when a decision can be expected from the faculty member on leave. This is an altogether reasonable request to make, since planning for the future will be affected significantly by an impending departure.

Normally, a leave without pay for up to three years may be granted by the Chancellor. Any extension of a leave without pay beyond three years requires the approval of the Board of Regents. The request for an extension should explain the extraordinary circumstances that justify a leave beyond three years and should address the value of the leave activity to the University, the measures taken to provide for teaching and other responsibilities of the faculty member, and assurance that the individual plans to return to the University at the end of the extended leave.

The replacement of faculty members who are working on a grant, are on LWOP, or on sabbatical must be negotiated with the contact Associate Dean.