

# Role, Scope, Criteria, Standards, and Procedures for the Formal Review of Tenurable Faculty

**College of Letters and Science  
Department of English**

*Effective July 1, 2008*

## **SECTION 100**

### **ROLE AND SCOPE STATEMENTS**

#### **112 ROLE AND SCOPE**

##### **112.2 Role and Scope of the Department**

###### **DEPARTMENT OF ENGLISH ROLE AND SCOPE**

The Department of English constitutes a core academic discipline at Montana State University, and contributes to the mission of the College of Letters and Science, the University, and the state of Montana through its instructional, research, service and outreach roles, activities which are closely intertwined.

The Department of English offers a focused undergraduate program for majors and minors who aspire to enter careers in higher education, secondary education and a broad range of professions. Additionally, the Department assumes a major responsibility for providing a quality liberal arts education for all Montana State University students through core courses and other offerings in literature, language and writing. Through its oversight role and ongoing collaboration with the MSU Writing Center and the writing-across-the-curriculum program, as well as its instructional program in writing, the English Department supports the University's commitment to develop and foster the writing and critical thinking skills of students. In addition, the Department offers an MA in English that focuses on the interconnectedness of writing, teaching, and literary studies. This graduate program expands the professional options of our graduate students by providing a broadly conceived course of study that emphasizes the process by which knowledge in the field of English is made.

Scholarship and creative activity are an integral part of the Department's mission. Our scholarship advances professional and public understanding and appreciation of our literary heritage, of our language, and of cultural, historical, professional and pedagogical issues. An equally important function of our discipline is the production of original creative works. These activities not only add to knowledge and art, but also serve to enhance instruction on both the undergraduate and graduate levels, providing rigorous educational challenges and resources for students and fostering on-going faculty development in their respective areas of

expertise.

The Department of English faculty fulfill active service and outreach functions locally, nationally and within the academic, professional and public spheres. The department is expressly committed to engendering excellence in the teaching of English in the State of Montana through its English Education program, providing continuing education and outreach services to English instructors around the region. Department members serve on national and state humanities committees, professional boards and organizations, various institutional committees, and community committees.

## **113 ACADEMIC PROGRAMS**

### **113.2 Academic Programs of the Department**

#### Undergraduate

A baccalaureate degree in English, with major options in Literature and in English Teaching, and minors in three options: Literature (Non-Teaching), Writing (Non-Teaching), and Teaching.

#### Graduate

A Master of Arts in English, an integrated program incorporating literary studies, writing, and teaching.

## **114 RESEARCH AND CREATIVE ACTIVITY**

### **114.2 Special Areas of Department Research and Creative Activity**

Faculty in the Department of English maintain research and creative interests in all fields of literature, literary theory, literary history, cultural studies, linguistics, and English pedagogy. Within these fields, the specific areas are defined by the special interests of individual faculty.

## **115 OUTREACH/PUBLIC SERVICE**

### **115.2 Special Areas of Department Outreach/Public Service**

Faculty in the Department of English perform outreach/public service in the fields of literature, literary theory, literary history, cultural studies, linguistics, and English pedagogy. Within these fields, the specific areas of outreach/public service are defined by the special interests/abilities of individual faculty.

## SECTION 200

### CRITERIA AND STANDARDS

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

#### 200 CRITERIA FOR THE FORMAL REVIEW OF FACULTY

#### 211 TEACHING CRITERIA

##### 211.3 Department Teaching Criteria

Criteria considered in the evaluation of teaching include, but are not limited to, student evaluations, self-evaluation, and peer evaluation. The following indicators of quality will be used to evaluate a faculty member's performance in teaching.

- Peer evaluation of teaching (both formal and informal);
- Student evaluations (university mandated quantitative forms and narrative testimonials);
- Self-assessment and personal reports;
- Nature of course assignments (new preparations, special-topics courses, number of students enrolled, number of credits taught, level of course offering, etc.);
- Course materials (course descriptions, reading lists, handouts, overhead presentations, textbook selection, assignments, etc.);
- Course design;
- Creation of new courses or new units in existing courses;
- Experiments with new teaching and writing strategies;
- Advising and career counseling;
- Advising and training student teachers;
- Supervision of student internships;
- Student tutorials and independent study;
- Advising and training other department and university faculty;
- Instructional development activities (grants, workshops, assigned teamwork for course and curriculum development);
- Graduate student advising, evaluation, and committee service;
- Participation in projects to improve department effectiveness in meeting instructional and curricular goals;
- Teaching awards and other recognition of teaching merit.

It is expected for effective teaching that the majority of the faculty members' narrative student evaluations will be positive, and that he or she will exhibit no serious pedagogical deficiencies as reflected by the various teaching criteria. A faculty member's advising must also be deemed to have met expectations, as determined by the Department Certifying Officer and/or the Department Head.

## **212 RESEARCH CRITERIA**

### **212.3 Department Research Criteria**

Faculty members in the Department of English have an obligation to develop their research and/or creativity and to enhance the effectiveness of MSU--Bozeman in performing its mission in preserving, expanding, and transmitting knowledge. Evidence of an ongoing scholarly and or creative publication record appropriate to the faculty member's field(s) of interest and expertise is required of all faculty members. The Department recognizes individual differences in the quality and quantity of the scholarly and creative work, and takes into account in its assessments and recommendations both the resources and time available to the faculty member and the mission of the Department within the College and University. Regardless of the combination of professional activities, a continuous record of research/creativity and publication is expected of all faculty and necessary for advancement to tenure. Evidence of research activity includes, but is not limited to:

Publication of scholarly research, analysis, and/or theoretical work in such forms as: books, chapters in collections, on-line publications, textbooks, articles in journals appropriate to the individual's area(s) of professional interest, review articles, and other written documents;

Conference presentations at the local, state, regional, national, or international level; serving as respondents or discussants at conference sessions;

Performance or production of creative work in fiction, poetry, drama, film, song, or other media;

Recognition by experts in the field, in the form of reviews, references, and awards of merit;

Receipt of competitive grants, fellowships, and scholarships from local, regional, national, and international granting agencies;

Editing of scholarly journals and books;

Invited scholarly lectures or presentations at other academic institutions;

Development of source material for the profession (i.e., teaching aids and scholarly resources);

Manuscripts in preparation for submission to publication.

## **213 OUTREACH/PUBLIC SERVICE CRITERIA**

### **213.3 Department Criteria**

Service includes committee activities for the English Department, the College, and the University, as well as outreach and other forms of activity related to the Department's role and scope. A record of service is expected of all Department members as well as candidates for promotion and tenure. Everyone is expected to contribute to the common enterprises of the Department. Where necessary, statements of support and evaluation of service may be solicited from outside the English Department.

Services includes:

Departmental committees and governance;

Faculty governance and administration;

Participation in professional meetings and organizations, including holding office, organizing conferences and panels, chairing panels, reporting to colleagues on meetings;

Reviewing manuscripts for publication;

Consulting activities;

Community service and outreach which utilize the faculty member's professional training and professional expertise relevant to his or her faculty position;

Supporting other faculty inside and outside the Department in their teaching and research endeavors (that is, generally serving as a catalyst for growth within the academic community by calling attention to opportunities for publication, presentations, training, course development, teaching improvement, grant submission, etc.);

Initiatives beyond solicited assignments.

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

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

## **221 EFFECTIVENESS IN TEACHING**

### **221.3 Department Standard(s) of Effectiveness in Teaching**

A. Standard(s) of Effectiveness in Teaching for Faculty with Instructional Expectations

Faculty performance in teaching will be judged effective if it meets or exceeds Department expectations.

It is expected for effective teaching that the majority of the faculty members' narrative student evaluations will be positive, and that he or she will exhibit no serious pedagogical deficiencies as reflected by the various teaching criteria. A faculty member's advising must also be deemed to have met expectations, as determined by the Department Certifying Officer and/or the Department Head.

B. Standard(s) of Effectiveness in Teaching for Faculty with Professional Practice Expectations

Standards are the same as for 221.3.A.

**222 EFFECTIVENESS IN RESEARCH/CREATIVE ACTIVITY**

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

A. Standard(s) of Effectiveness in Research/Creative Activity for Faculty with Instructional Expectations

To be judged effective the candidate is expected to be actively engaged in research/creativity and to offer evidence of on-going activity. Evidence of research activity includes, but is not limited to:

Publication of scholarly research, analysis, and/or theoretical work in such forms as: books, chapters in collections, on-line publications, textbooks, articles in journals appropriate to the individual's area(s) of professional interest, review articles, and other written documents;

Conference presentations at the local, state, regional, national, or international level; serving as respondents or discussants at conference sessions;

Performance or production of creative work in fiction, poetry, drama, film, song, or other media;

Recognition by experts in the field, in the form of reviews,

references, and awards of merit;

Receipt of competitive grants, fellowships, and scholarships from local, regional, national, and international granting agencies;

Editing of scholarly journals and books;

Invited scholarly lectures or presentations at other academic institutions;

Development of source material for the profession (i.e., teaching aids and scholarly resources);

Manuscripts in preparation for submission to publication.

B. Standard(s) of Effectiveness in Research/Creative Activity for Faculty with Professional Practice Expectations

Standards are the same as in 222.3.A.

## **223 EFFECTIVENESS IN OUTREACH/PUBLIC SERVICE**

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

A. Standard(s) of Effectiveness in Outreach/Public Service for Faculty with Instructional Expectations

Standards for effective public service in the Department of English are consistent with College standards.

B. Standard(s) of Effectiveness in Outreach/Public Service for Faculty with Professional Practice Expectations

Standards are the same as in 223.3.A.

## **230 STANDARDS OF EXCELLENCE**

### **231 EXCELLENCE IN TEACHING**

#### **231.3 Department Standard(s) of Excellence in Teaching**

A. Excellence in Teaching for Department Faculty with Instructional Expectations

Excellence in teaching means that a faculty member has received substantial recognition from students, colleagues, and/or peers in the profession. Excellence is usually achieved by the faculty member exhibiting unusual creativity and exemplary professional commitment and leadership.

B. Excellence in Teaching for Department Faculty with Professional Practice Expectations

Standards are the same as in 231.3.A.

**232 EXCELLENCE IN RESEARCH/CREATIVE ACTIVITY**

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

A. Excellence in Research/Creative Activity for Department Faculty with Instructional Expectations

Excellence in research is established when the faculty member's documentation demonstrates that he or she has received substantial national or international recognition from peers in his or her field as having made a substantial contribution to the relevant body of knowledge.

B. Excellence in Research/Creative Activity for Department Faculty with Professional Practice Expectations

Standards are the same as in 232.3.A.

**233 EXCELLENCE IN OUTREACH/PUBLIC SERVICE**

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

A. Excellence in Outreach/Public Service for Department Faculty with Instructional Expectations

The Department of English standards of excellence in outreach/public service are those of the College of Letters and Science and Montana State University--Bozeman.

B. Excellence in Outreach/Public Service for Department Faculty with Professional Practice Expectations



Standards are the same as in 233.3.A.

### **240.1 DEMONSTRATION OF EFFECTIVENESS AND EXCELLENCE**

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

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

### **241 DEMONSTRATION OF EFFECTIVENESS AND EXCELLENCE IN TEACHING**

#### **241.3 Department Policies and Procedures**

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

Teaching effectiveness will be demonstrated through a narrative that reports student and peer evaluations of the candidate and by an assessment of advising quality. Specifically, the following will be utilized to demonstrate teaching effectiveness.

Student evaluations will be both qualitative and quantitative: quantitative in order to allow comparison with other teachers, and qualitative to enable students to elaborate on their perceptions of strengths and weaknesses of the teacher.

The Department will provide a comprehensive summary of student evaluations for all courses taught by the candidate with a narrative analysis of these data. Whenever possible, comparisons will be made to similar cases from within the department and, if appropriate, to college or university experience. The Knapp form and the Department's own narrative evaluation form will be used by all Department members. A copy of the Departmental teaching evaluation form will be included in the candidate's file. Letters from former students and graduates may be solicited by the Department head and/or the Departmental Promotion and Tenure Committee and will not be solicited by the candidate. The candidate will provide a list of names from which the committee will choose, although the committee will also solicit letters from other students formerly taught by the candidate. (The Departmental report will state clearly how the students were chosen; and a copy of the letter soliciting the students' responses will be included in the candidate's file.) The letters will address the lasting effects of the candidate's courses and the degree to which the students were prepared for their professions/further education or their lives were enriched.

Peer evaluations, such as reviewing teaching materials or observation of the teaching, will be a regular part of the review process.

The amount and quality of advising will be documented by the Department Head or Department Promotion and Tenure Committee.

The Department P&T Committee will present the following information for each faculty member being reviewed: list of courses taught during the review period, number of credit and/or contact hours for each course, number of students per course, student evaluation data for every course, and some comparative information contextualizing the candidate's teaching within the Department.

The Department may conduct a Danforth Review of teaching to supplement other empirical evidence in a candidate's review.

Teaching excellence must be demonstrated as above; however, excellence in teaching differs from effectiveness in teaching in that 1) there is a creative component, such as interesting juxtapositions of knowledge, new course development, and 2) the work receives substantial recognition from peers, students, and/or former students. Documentation of both creativity and substantial recognition will be provided. Such documentation will include student evaluation, materials from former students, and elements of peer review, including internal assessment of course materials to ascertain the degree to which course content is solid and current. (Departmental committees may solicit external reviewers from those in the candidate's field in accordance with CLS guidelines for reviews.) Documentation of excellence also may include teaching awards, materials demonstrating curriculum development, evidence of successful collaboration with public schools or with other institutions of higher education, grants, workshops, participation in experimental projects, or teaching materials such as textbooks. Candidates will prepare teaching portfolios to be reviewed by the department, and if appropriate by external evaluators. Such portfolios will include a brief statement from the candidate about teaching responsibilities and teaching philosophy, objectives, and strategies; representative course syllabi, with readings, handouts, and assignments; and summaries of student evaluation data. The portfolio will also include description of steps taken to evaluate and improve teaching; statements from colleagues who have observed classes and reviewed materials; sample student work; statements from former students and graduates; teaching honors or recognition; and invitations from outside agencies or other campuses to demonstrate teaching methods or participate in activities related to teaching.

## **242 DEMONSTRATION OF EFFECTIVENESS AND EXCELLENCE IN RESEARCH/CREATIVE ACTIVITY**

### **242.3 Department Policies and Procedures**

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

The candidate's vita will separately indicate a) refereed books or book chapters, b) refereed journal articles, c) invited conference presentations, d) contributed conference presentations, e) seminars and/or colloquia, f) grant proposals submitted and grants funded, and g) other. Co-authorship of the above will be indicated; where appropriate, the candidate's specific contributions will be noted with dates and places of submission indicated. Work in progress and in submission/circulation will be noted. If included, letters of reference will include an evaluation of a candidate's scholarship/creativity.

The Departmental report will indicate the quality and the reputation of the vehicles in which the candidate publishes and will evaluate also the quality of the work in submission/circulation.

For tenure and promotion reviews, a minimum of four confidential external letters of evaluation from outside Montana State University are required, and all such letters received will be included in the candidate's file. These letters will address the candidate's professional potential and accomplishments rather than personal qualities. Specific assessments of scholarship/creativity and specific comments on the quality of the written scholarship and the candidate's productivity are essential.

Evaluators will be specialists in the candidate's field and familiar with the usual expectations for faculty performance. Letters from mentors, former colleagues, close collaborators, or personal friends will not be solicited. Evaluators will receive a copy of the vita and a selection of relevant publications and/or submitted work, and other materials, as appropriate.

The Department Head and/or the Department committee must select a majority of the external evaluators, and a minority of the names may come from a list submitted by the candidate. In order to protect confidentiality, the candidate should not know the final choice of outside evaluators.

Only the Department Head and/or the chairperson of the Department committee will request external review letters. In the letter of solicitation, the evaluator must be asked to comment on his/her knowledge of, or relationship to, the candidate, if any. A copy of this letter must be included in the candidate's file.

The Departmental report will state clearly the procedure used for choosing the external reviewers and a brief statement of their status in the field. Reviewers will be required to submit their own vita which will then be forwarded with the report.

Deadlines for requesting and receiving external review letters will be determined by the Department Head and the Department committee. Initiation of the review process in the spring semester is strongly recommended.

### **243 DEMONSTRATION OF EFFECTIVENESS AND EXCELLENCE IN OUTREACH/PUBLIC SERVICE**

### **243.3 Department Policies and Procedures**

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

The Department report will describe the candidate's professional service activities to the University, the profession, and the people of the state of Montana. Information about committee assignments, offices held, editing duties, service to professional organizations, outreach, and other professional tasks relevant to the candidate's defined role will be provided. Review of service will be conducted internally and/or by external reviewers as appropriate. Guidelines for the solicitation of reviewers are the same as for teaching and research/creativity.

## **SECTION 300**

### **STANDARDS FOR APPOINTMENT, PROMOTION, RETENTION AND TENURE**

#### **310 RETENTION AND SPECIAL REVIEW**

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

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

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

#### **310.3 Department Standards for Retention**

The Department standards for retention are:

Teaching:

A candidate is expected to be an effective teacher.

Research/Creativity:

A candidate is expected to be effective in research/creativity. He or she is expected to have delivered at least one conference paper and to have

published or had accepted at least one peer reviewed scholarly article or book chapter or comparable creative work since appointment.

Service:

A candidate must be effective in service.

### **320 TENURE**

Faculty members will be reviewed for tenure in their sixth year (or equivalent year if credited for prior service) of full-time service in a tenurable position. No more than three (3) years of full-time service at another institution may be credited toward determining the sixth year of service. The amount of creditable prior service is determined at the time of initial appointment and must be confirmed in writing by the Provost and Vice President for Academic Affairs.

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

### **321 STANDARDS FOR TENURE**

#### C. Department Standards

The Department standards for tenure are:

Teaching:

A candidate must be an effective teacher.

Research/Creativity:

A candidate must be effective in research/creativity, which at this level means evidence of a productive research/creativity program and the promise of sustained scholarly productivity that has already resulted in at least two substantial peer-reviewed publications and several scholarly papers delivered at the regional or national level. For those whose professional profile as defined by their role statement depends upon artistic creativity, substantial readings of original material or production of other artistic works will be expected.

Service:

A candidate must be effective in service.

A candidate must demonstrate potential for excellence in teaching or research/creative activity.

## **321.2 Standards for Faculty with Professional Practice Expectations**

### C.Department Standards

### **330 APPOINTMENT AND PROMOTION**

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

Normally, promotion is awarded after the completion of no fewer than five (5) years of service, which is generally considered the minimum time needed to meet the standards for promotion described in 660.00 and in the college and department documents.

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

### **331 STANDARDS FOR APPOINTMENT AND PROMOTION TO THE RANK OF ASSISTANT PROFESSOR**

#### C.Department Standards

The Department of English standards are consistent with 331. 1.A:

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

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

A candidate of Associate Professor rank shall be expected to be approved for tenure and promotion to Associate Professor simultaneously, unless Associate Professor rank has been previously awarded. [FH 662.00]

#### **332.1 Standards for Faculty with Instructional Expectations**

C.Department Standards

Standards for Rank of Associate Professor are consistent with 332. 1A:

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

**332.2 Standards for Faculty with Professional Practice Expectations**

C.Department Standards

Appointments with Professional Practice Expectations are as above.

**333 STANDARDS FOR APPOINTMENT AND PROMOTION TO THE RANK OF PROFESSOR**

**333.1 Standards for Faculty with Instructional Expectations**

C.Department Standards

The Department of English standards for appointment as Professor are consistent with 333.1A, 1-3:

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

**333.2 Standards for Faculty with Professional Practice Expectations:**

C.Department Standards

Appointments with Professional Practice Expectations are as above.

**SECTION 400**

## PROCEDURES FOR FORMAL REVIEW OF FACULTY PERFORMANCE

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

### 400 GENERAL PROCEDURES

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

### 401 REVIEW BASED ON EVALUATION OF TOTAL PERFORMANCE

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

### 402 MANDATED CONTENTS OF DOCUMENTS

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

*A. The criteria and standards used to assess faculty members' contributions to the role of the department and evaluate their performance in their assigned responsibilities and in teaching, research/creative activity, and service, according to the type and level of review. (See Section 200 above.)*

*B. Any quantitative and qualitative expectations in terms of job performance, teaching, research/creative activity, and/or service. (See Section 300 above.)*

*C. The procedures used in selecting the membership of [college and/or department] review committees. (See Sections 413.1 and 415.1 below.)*

*D. The department's designation as to courses and presentations which are to be evaluated using student evaluation forms and the evaluation instruments to be used. (See 241 above.)*

*E. A description of the methods, in addition to student evaluations, to be*



*used to obtain formal, in-depth assessment of a faculty member's teaching performance. (See 241 above.)*

*F. The type of materials accepted or required in the documentation of research and creative activities and of outreach and public service. (See 242 above.)*

*G. The dates and times of review. (See 412 below.)*

*H. The procedures for obtaining outside peer reviews and soliciting internal letters of support/evaluation. (See 243. above and 415.3 below.)*

*I. The methods for designating and handling confidential materials. [See 415.2 below.] [FH 623.00]*

#### **410 PROCEDURES FOR THE CONDUCT OF FORMAL REVIEWS OF FACULTY**

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

Third year, tenure, promotion, and, unless otherwise specified, special reviews are conducted on the following levels: review by department committee, department head, college committee, college dean, University committee, and Provost and Vice President for Academic Affairs. [FH 810.00]

B. Departments must indicate explicitly the means by which their recommendations are determined. Since different departments may use different methods, it is essential to CLSPTRC and to the University Promotion and Tenure Committee to know what those methods are. For example, does the entire department vote, or only certain ranks, or only a departmental promotion and tenure committee? What documents are made available to the voters? What is the vote tally? In addition, the department head's vote and recommendation should be clearly differentiated from the departmental committee's; and the head's degree of concurrence with the candidate's peers should be clearly stated and supported.

C. Departments must describe the standards used in their department for evaluating candidates in each of the three criteria areas. Included should be a general statement as to what the department expects from all faculty in terms of teaching, scholarship/creativity, and service. Departments should include the candidate's departmental role statement.

D. Dissenting or minority opinions about the candidates by members of the department committee must be explained within the report.

#### **411 MANDATORY CONSIDERATIONS AT ALL LEVELS OF REVIEW**

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

- A.the University criteria and standards described above,
- B.the previously approved role and scope, criteria and standards document of the college,
- C.the previously approved role and scope, criteria and standards document of the department,
- D.the letter of hire and any subsequent faculty role statements, including any differential staffing/differential assignment, and
- E.in cases of review for promotion and tenure, the written evaluations of external peer reviewers. [FH 811.00]

#### **414 RESPONSIBILITIES OF THE DEPARTMENT HEAD**

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

The department head is also responsible for:

- A. Accurately describing, in the initial letter of hire, the primary duties, responsibilities and conditions of employment, including the instructional or professional practice expectations of the appointment and years of credit toward tenure, of the faculty member.
- B. Informing the faculty member of the University, college, and department role and scope, criteria and standards documents which form the basis of formal review.
- C. Ensuring that each faculty member has a copy of the University, college, and department documents related to annual review, retention, tenure, and promotion.

Faculty may access all review, retention, tenure and promotion documentation as electronic media through MSU INFO on the World Wide Web or, as an alternative, the English Department main office maintains a paper copy on file. A copy of this document will accompany the letter of hire presented to each new faculty hire in the English Department.

- D. Preparing role statements, after negotiation with the faculty member that accurately describe the faculty member's current responsibilities, including any agreement

regarding differential assignments which have been approved by the dean and Provost and Vice President for Academic Affairs.

E. Informing faculty members of the applicable time lines for review.

The English Department Head will provide dates and times consistent with those established by the Dean. In most instances, the department will initiate and complete reviews during fall semester. Candidates will be notified through campus mail or in writing by the Head of deadlines and they will receive ample time to assemble materials to be incorporated in the dossier. Notification will be given the candidate by April 30 of the academic year preceding the review.

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

The English Department review committee will have access to all review materials put forward by the candidate or the department head. These shall include, but not be limited to, teaching evaluations, publications, outreach/public service, such as those specified in 213.3.

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

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

#### **415 RESPONSIBILITIES OF THE DEPARTMENT REVIEW COMMITTEE**

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

##### **415.1 Membership and Procedures for Selection**

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

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

The four-member Department Promotion and Tenure Committee is elected and/or appointed from the tenured members of the faculty at the rank of Associate Professor or higher. The majority of members shall be elected by the Department, and remaining members may be elected or appointed. The committee shall have 25% female and/or minority representation whenever possible; when such representation does not occur through the election, the Department Head may appoint the remaining member to achieve balance. Because the Department believes in the principle of rotating service obligations, committee membership shall not be exactly the same for any two consecutive years.

#### **415.2 Responsibilities of the Committee**

The department committee shall review all submitted materials and may solicit and obtain additional materials it deems necessary to make a thorough and substantive review of the candidate's qualifications. [The] committee shall conduct a fair, objective, independent, and substantive review of the candidates' dossiers based on department, college, and University criteria and standards. (See 600.00.) [FH 813.00]

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

The P&T Committee gathers, summarizes, and evaluates the information and documentation, both the external reviews and the internal materials called for in the Faculty Handbook and in this statement, and makes a formal recommendation in each case. This recommendation is forwarded by the Department Head, along with a transmittal letter indicating his or her degree of concurrence, to the CLS Dean and to the candidate. The Department Head's letter is shared with the committee.

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

Nothing may be added to a candidate's file after P&T deliberations are completed. If, before deliberations are closed, unsolicited laudatory materials are received by the committee or the Department Head, the candidate will be allowed to read such materials and determine whether they will be included in the dossier. Unsolicited complaints or criticisms that have not been investigated or made known to the candidate shall not be placed in the dossier or considered in the committee's decision.

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

#### **415.3 Establishing Procedures for Obtaining External Peer Reviews**

Each department shall establish the specific procedures by which external peer reviews shall

be conducted. If they are required, peer reviews shall be obtained from no fewer than three (3) external reviewers, the majority of whom shall be recommended by the department committee, the minority of whom shall be recommended by the candidate. [FH 813.03]

Each candidate shall submit to the P&T Committee a list of persons from whom the committee may solicit external evaluations. Candidates shall indicate their relationships with persons on the list, to insure that evaluations are not requested from persons too close to the candidate to be considered objective, such as dissertation directors or co-authors. Candidates shall not themselves solicit letters of support. In addition, the P&T Committee shall assemble a separate list of qualified external evaluators. The final set of at least four evaluators shall be chosen by the P&T Committee and include names from both lists, with a majority from the list assembled by the committee; the evaluators shall be solicited by the chair of the P&T Committee.

All external letters of evaluation are confidential and are available only to the Department Head and to members of the P&T Committees of the Department, College, and University.

#### **415.4 Establishing Procedures for Obtaining Internal Reviews**

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

Since University and CLS principles and policies support the principle of peer review, all tenure-track Department faculty members shall be given the opportunity to review the candidate's dossier and to submit confidential ballots in retention/tenure/promotion cases to the Department P&T Committee.

In tenure cases, all tenured faculty members are required to submit confidential ballots for or against tenure and to provide, on the ballot form, a brief rationale for those votes to the Department P&T Committee. All other faculty members are encouraged to submit similar confidential advisory ballots to the Department P&T Committee.

In retention/promotion cases, all faculty members senior in rank to the candidate are required to submit confidential ballots for or against retention/promotion and to provide, on the ballot form, a brief rationale for those votes to the Department P&T Committee. All other tenure-track faculty members are encouraged to submit similar confidential advisory ballots to the Department P&T Committee.

The faculty ballots submitted are confidential and are available only to the Department Head and to members of the Department P&T Committee.

#### **415.5 Actions of the Committee**

The department review committee:

- A. prepares a written recommendation, with vote tally, concerning the retention, tenure, and/or promotion of each candidate, and
- B. forwards the recommendation to the department head, sending a copy to the candidate. The recommendation becomes a permanent part of the faculty member's personnel files maintained in the department office. [FH 813.00]

## **420 RIGHTS AND RESPONSIBILITIES OF THE CANDIDATE**

### **421 RESPONSIBILITY TO PREPARE AND SUBMIT DOSSIER**

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

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

#### **421.1 Personal Statement or Self-Evaluation**

The case for retention, tenure and/or promotion shall be made, in part, through a personal statement or self-evaluation in which the candidate shall discuss his or her accomplishments in teaching, research, creative activity, outreach and service and provide the framework for the review of the dossier. This personal narrative shall be included in the dossier and may be forwarded to external and internal reviewers according to the procedures of the college and/or department.

Department requirements for a Personal Statement are the same as above.

#### **421.2 Other Materials to be Submitted with the Dossier**

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

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

### **Procedures for the Conduct of Formal Review**

#### **A. Mechanical Procedures**

1. Notebooks containing the materials presented by the Departments are prepared by the Dean's Office. The material should include the dossier assembled in the order listed on the "Candidate's Cover Sheet," namely:

- I. Title Page (listing name, department and college)
  - II. Review documents (for review committees and administrators)
  - III. Letter of Hire; Role Statements
  - IV. Curriculum Vitae
  - V. Self-Evaluation or Personal Statement
  - VI. Teaching Performance
  - VII. Research/Creative Activity
  - VIII. Service
- Plus the additional documents, such as solicited confidential letters.

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

The candidate should assemble his dossier in the form of a looseleaf notebook which contains a detailed table of contents describing the contents of each section. Section dividers should be used to allow easy navigation of the dossier. Appendices may be assembled for specific documentation that may be excessive in volume or not be essential for deliberations by the College Committee. A summary page for such material should be included in the dossier and identified in the Table of Contents. Such material should be made available on request.

#### **421.3 Requests for Additional Documentation**

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

#### **421.4 Prohibition Against Altering Dossier Once It Has Been Submitted**

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

- 1. updating the status of materials in support of tenure unknown at the time the dossier was submitted,
- 2. responding to a review committee's or reviewing administrator's notice that materials in addition to those identified in the role, scope, criteria, standards and procedures documents have been added to the dossier (see 471.00 and 813.00), or
- 3. responding to a request for further documentation from an reviewing administrator or review committee. [FH 812.00]

#### **421.5 Soliciting Letters of Support Prohibited**

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

themselves solicit letters of support. [FH 471.01] [See Section 415.2 above for description of department and/or college policy regarding soliciting and handling letters of support and other confidential materials.]

#### **421.6 Deadline for the Submission of Dossiers**

Each candidate shall submit the dossiers by the dates established by the Provost, dean, and department head. Materials submitted after this date shall not be considered.

The candidate who fails to submit the dossier by the established deadline forfeits his or her opportunity for review. In cases of third year review, the faculty member who fails to submit a dossier shall receive notice of termination effective at the end of the academic year, In cases of tenure review or special review for retention, the faculty member shall be issued a terminal contract for the next contract term. [FH 472.02]

#### **422 CANDIDATE'S RIGHT TO GRIEVE/TIME LIMITS**

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

### **SECTION 500**

#### **ANNUAL REVIEW**

##### **500 PURPOSE OF ANNUAL REVIEW**

Annual review assesses the faculty member's performance over the preceding calendar year and is based upon the faculty member's letter of hire, role statements, annual assignments, self-assessment, and the department head's evaluation of the individual's performance. Reviews must be completed by April 10 or the date specified by the Provost and Vice President for Academic Affairs.

##### **501 LETTER OF HIRE/FACULTY ROLE STATEMENT**

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



negotiation with the faculty member.

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

Faculty develop and update the Role Statement in consultation with the Department Head.

## **510 PROCEDURES FOR CONDUCTING ANNUAL REVIEWS**

The following procedures should be used in conducting annual reviews:

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

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

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

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

### **510.02 Department Procedures**

## **511 RESPONSIBILITIES OF THE DEPARTMENT HEAD**

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

### **511.1 Procedures for Making Salary Recommendations**

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

A. The department head shall submit a proposed salary recommendation for each faculty member to the college dean.

B. The dean will approve or modify the salary recommendation, and submit it to the Salary Review Committee by the established deadline.

C. A written copy of the salary recommendation will be given to the faculty member. [FH 722.00]

## **512 RESPONSIBILITIES OF THE SALARY REVIEW COMMITTEE**

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

## **513 CANDIDATE'S RIGHTS RELATIVE TO ANNUAL REVIEW**

### **513.1 Right to Timely Review**

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

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

### **513.2 Right to Appeal Annual Performance Evaluation**

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

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

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