

**POLICIES AND PROCEDURES FOR  
REAPPOINTMENT, PROMOTION, AND TENURE**

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**SCHOOL OF EDUCATION  
INDIANA STATE UNIVERSITY**

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## OVERVIEW

The School of Education (SOE) is a learning community with a mission to preserve, transmit, apply, and develop knowledge related to the profession of education in its many dimensions. The School seeks to foster the scholarly development of its faculty and to encourage their interaction with students and with their respective professional and disciplinary communities. As members of this learning community, faculty are expected to contribute to their departments, the school, and the university through the activities of teaching; research, scholarship, and creative activity; and service. Faculty are expected to evidence continuing growth and superior achievement in these areas throughout their careers. They bear responsibility to promote through engagement the values of knowledge acquisition, inquiry, and lifelong learning among students, colleagues, the community, and the profession.

Basic regulations concerning reappointment, promotion, and tenure decisions are contained in the Indiana State University Handbook. In the university faculty appointment, promotion, and tenure policies published in 2000 and effective July 1, 2003 for all faculty, colleges/schools and departments are charged with identifying the specific evaluative criteria and performance standards for use in promotion and tenure decisions. College/school and departmental policies and procedures are required to comply with the minimum standards in the University's guidelines and may be more exacting. Departmental guidelines require approval by the school promotion and tenure committee and by the school dean; school guidelines are approved by the school faculty, the school dean, the University Promotions and Tenure Oversight Committee, and the Provost. This document, School of Education Policy and Procedures for Reappointment, Promotion, and Tenure (approved 4/4/01) outlines the School's specific criteria and performance standard framework.

The evaluation of an individual faculty member's performance and decisions about continuing employment and advancement involve multiple independent, although related, decisions. Annual reappointment decisions at the school level are the shared responsibility of the department faculty, the department chair, and the Dean. Mid-term comprehensive reappointment decisions and promotion and tenure decisions at the school level are the shared responsibility of the department faculty, the chair, the SOE Promotion and Tenure Committee (PTC), and the Dean. Positive evaluations are required for reappointment, promotion, and tenure. Regular reappointment does not guarantee tenure, nor does tenure guarantee promotion beyond the level of associate professor.

The evaluation of faculty performance at all levels must be based on evidence and follow published criteria and standards. Evaluations for reappointment, tenure, and promotion are based on teaching activity; research, scholarship and creative activity; and service activity. Evidence supporting faculty activity and achievement should include evaluative input from individuals or groups who are the recipients of the faculty member's teaching; research, scholarship or creative activity; or service (e.g., students, departmental colleagues, departments, schools, agencies, etc.) and/or disciplinary peers both inside and beyond Indiana State University (ISU).

Significance and quality are the primary considerations in assessing faculty achievements in all three areas of faculty performance—teaching, scholarship, and service—and in decisions regarding reappointment, promotion and tenure. Quantity of faculty achievements, while not to be ignored, is not to be considered as important as significance and quality.

## **SPECIFIC GUIDELINES**

### **Appointment**

The appointment letter for new faculty identifies the expectations for teaching/librarianship, research, scholarship, and service. This letter also includes any years of previous service that have been awarded toward tenure and the faculty member's dates of eligibility for promotion and tenure.

### **Reappointment**

New faculty members serve a probationary period during which time they are appointed for a specified term, normally one year. The length of the probationary period is dependent upon the new faculty member's previous experience and is specified in the initial appointment letter. Early in the probationary period, reviews of faculty members who are new to the teaching profession usually emphasize teaching performance and departmental service; however, attention to research/creative activity should not be delayed. The awarding of promotion and tenure requires effectiveness in teaching, research, and service.

University policy requires that each department maintain specific evaluative criteria and performance standards for promotion and tenure. Furthermore, university policy requires that specific performance goals be established during the annual reviews of probationary faculty.

At the time of annual probationary reviews, probationary faculty members submit to their department materials documenting achievement in teaching; research, scholarship, and creative activity; and service during the specified period of service. Copies of the initial letter of appointment with any change or renegotiation, and annual evaluation reports must be included in the documentation. The department's chairperson and personnel committee review the materials independently and each makes a separate recommendation on the candidate's evaluation form. The candidate is notified of these recommendations and their rationales through a meeting with the department chairperson. Within 60 calendar days, the faculty member and the department chairperson cooperatively develop annual performance goals. These performance goals are placed in the faculty personnel file and should be included in future review documentation. The faculty member's materials and recommendations from the chair and personnel committee are forwarded to the Dean, who reviews them, makes an independent recommendation. The Dean then meets with the candidate to discuss the outcomes of the reviews and the recommendations and to provide the faculty member with copies of the departmental and Dean's comments and recommendations. The candidate signs the review form in the appropriate place to acknowledge the meeting and discussion have been held. The probationary faculty member has three working

Days to submit a rebuttal to the Dean. The Dean then forwards the recommendation and any faculty rebuttal to the Provost and Vice President for Academic Affairs.

Annual reviews will result in a recommendation for reappointment, conditional reappointment, or non-reappointment. Faculty members are notified of their reappointment or non-reappointment by written statement from the President or the Provost and Vice President for Academic Affairs, no later than the dates specified in the ISU Handbook.

Each year of probationary review, faculty members shall sign their evaluation forms to indicate awareness of the comments on the forms. Faculty members will have three working days to make written comments concerning the comments and recommendations. The signed forms and written comments are returned to the chairperson and the Dean to be forwarded. No rebuttals from committees, chairs, or the Dean will be allowed to be included in documentation that moves forward.

In the instance of conditional reappointment, the Dean and department chairperson will jointly prepare a plan for remediation in writing for the candidate. The Dean will present the remediation during the review meeting.

Recommendations of non-renewal during the probationary period may be appealed to the University Promotions and Tenure Oversight Committee as set forth in the Indiana State University Handbook *Faculty Appointment, Promotion, and Tenure Policies*.

### **Comprehensive Reappointment Review**

All probationary faculty members will undergo a comprehensive probationary review no later than the third year of service. At the time of comprehensive probationary reviews, probationary faculty members submit to their department materials documenting achievement in teaching; research, scholarship, and creative activity; and service during the specified three-year period of service. Copies of the initial letter of appointment with any change or renegotiation, and annual evaluation reports must be included in the documentation. The department's chairperson and personnel committee review the materials independently and each makes a separate recommendation on the candidate's evaluation form. The candidate is notified of these recommendations and their rationales through a meeting with the department chairperson. At this time, the faculty member and the department chairperson cooperatively develop annual performance goals. These performance goals are placed in the faculty personnel file and should be included in future review documentation. The faculty member's materials and recommendations from the chair and personnel committee are forwarded to the Dean and the SOE Promotion and Tenure Committee for their separate reviews and separate recommendations. The Dean then meets with the candidate to discuss the outcomes of the reviews and the recommendations and to provide the faculty member with copies of the departmental, SOE PTC and Dean's comments and recommendations. The candidate signs the review form in the appropriate place to acknowledge the meeting and discussion have been held. The probationary faculty member has three working days to submit a rebuttal to the Dean. The

Dean then forwards the SOE PTC and Dean recommendation and any faculty rebuttal to the Provost and Vice President for Academic Affairs.

Comprehensive probationary reviews will result in a recommendation for reappointment, conditional reappointment, or non-reappointment. Faculty members are notified of their reappointment or non-reappointment by written statement from the President or the Provost and Vice President for Academic Affairs, no later than the dates specified in the ISU Handbook.

Before evaluations are placed in faculty members' permanent files, they shall be given ample opportunity to append comments or rebuttal to the evaluation forms. In the event a substantive change is made in an evaluation at any point subsequent to the department level, the faculty member will be provided a copy of the revised evaluation and shall be given an opportunity to respond in writing. The response will be given to the Dean to be forwarded to Academic Affairs. No rebuttals from committees, chairs, or the Dean will be allowed to be included in documentation that moves forward.

In the instance of conditional reappointment, the Dean and department chairperson will jointly prepare a plan for remediation in writing for the candidate. The Dean will present the remediation during the review meeting.

Recommendations of non-renewal during the probationary period may be appealed to the University Promotions and Tenure Oversight Committee as set forth in the Indiana State University Handbook *Faculty Appointment, Promotion, and Tenure Policies*.

### **Tenure and Promotion**

Assistant professors are considered for promotion to associate professor and tenure at the same time. Individuals beginning their probationary period as assistant professors become eligible to apply for tenure during the sixth year of continuing regular faculty appointments in accredited institutions, at least four years of which must be served under a regular faculty appointment at ISU. Assistant professors must be considered for promotion and tenure by the year specified in their letter of appointment. Such individuals are awarded tenure only upon meeting ISU's evaluative criteria and performance standards for promotion to the rank of associate professor.

Individuals beginning their probationary period at the rank of associate professor may be given credit for up to three years of faculty achievements at other accredited institutions. Individuals beginning their probationary period at the rank of professor may be given credit for up to five years of faculty achievements at other accredited institutions. If such credit is granted, individuals may apply for tenure during the year in which the years credited and the years of service at ISU total six. Such individuals are awarded tenure only upon meeting ISU's evaluative criteria and performance standards for promotion to the rank of associate professor.

Associate professors are considered eligible to apply for promotion to full professor in the fourth year of service in their current rank.

While a faculty member's entire career record is relevant for tenure and promotion decisions, evidence produced since attainment of current rank are particularly important and should be submitted for review.

Procedures for promotion and tenure reviews and for appeals are outlined in the Indiana State University Handbook.

## **CRITERIA FOR ACADEMIC RANK**

A terminal degree in a field appropriate to the discipline in which the candidate teaches and conducts research, scholarship, or creative activity is required for tenure or promotion. Exceptions may be made in cases of persons of indisputable national renown. Each department in the School of Education shall make appropriate determination as to what qualifies as a terminal degree within their academic disciplines.

## **STANDARDS FOR FACULTY RANKS**

The Indiana State University Handbook specifies the following standards of achievement for each faculty rank. These standards serve as the basis for the School of Education Promotion and Tenure Committee's evaluation of candidates and promotion and tenure decisions. Each department will determine the specifics standards of performance for each academic rank.

### **Assistant Professor**

Documented evidence of adequacy in teaching; of potential for achievement in research, scholarship or creative activity; and of service appropriate to the mission of the faculty member's academic unit are required. Faculty members are to demonstrate continuous professional growth in teaching; research, scholarship, or creative activity; and service.

### **Associate Professor**

Documented evidence of effective teaching; a record of research, scholarship or creative activity which has earned professional recognition at the national or regional level; and evidence of effective service to the University and to either the community or the profession are required.

### **Professor**

Documented evidence of sustained effective teaching; of a record of substantial accomplishment in research, scholarship or creative activity which has lead to professional recognition at the national level; and of active and substantive service to the University and to both the community and the profession are required.

## **SOE CRITERIA FOR THE EVALUATION OF PROFESSIONAL ACTIVITIES**

### **Departmental Criteria for Evaluation of Faculty Activities**

Because of the highly specialized nature of faculty expertise, departments are assigned a major role in assessing the significance and quality of discipline-specific faculty achievements for reappointment, promotion, and tenure decisions. The ISU Handbook stipulates that each academic department must publish guidelines that stipulate the discipline specific criteria and performance standards to be used in departmental faculty personnel decisions. Furthermore, it gives departments primary authority and responsibility for assessing discipline specific achievements of faculty for reappointment, promotion, and tenure decisions. This is not to say that departments have ultimate authority in evaluating all aspects of a candidate's research, scholarship, or creative activity. The evaluation of a candidate's total performance is a shared responsibility. On the other hand, the Handbook statements do help differentiate the roles of departmental reviewers and of school level reviewers in this critical evaluation and provide school reviewers with an opportunity to delegate part of their evaluation to the department reviewers.

In addition to discipline-specific evaluative criteria and performance standards, departments are encouraged to include the following in their personnel guidelines: departmental mission and goals; procedures for establishing and agreeing upon annual goals; procedures for annual and comprehensive reappointment reviews for probationary faculty including guidelines for documenting and presenting professional activities; procedures for tenure and promotion reviews; processes for providing candidates with feedback on performance and recommendations for continued progress toward tenure and/or promotion; and explication of the responsibilities of the departmental personnel committee, chair, and candidate.

### **SOE Criteria for the Professional Relevance of Faculty Activities**

Faculty are members of the University as well as the School of Education and are responsible for advancing the missions of both. In recognition of these institutional commitments, the School of Education employs the University's institutional strategic goals and the School of Education's mission and goals as criteria for evaluating the professional relevance of faculty activities in reviews at the school-level.

### **Criteria for the Significance and Quality of Faculty Activities**

Many of the professional activities of faculty members lead to results that can be evaluated by recipients of the activities—such as students and colleagues—and by established peer review procedures. However, much of what faculty are expected to do involves staying up-to-date as teachers, scholars, and professional servants and learning and refining methods which can increase the likelihood of significant results in their professional efforts. For these reasons, the criteria for evaluating the significance and quality of faculty accomplishments include adequate preparation and the use of appropriate methods as well as the significance of results. Evidence

for assessing the significance and quality of a faculty's teaching, scholarship, and service comes from three primary sources: recipient assessments, peer review processes, and the academic department.

- Adequate preparation. In teaching, research, and service the faculty member demonstrates adequate preparation for the work, including clarity of goals and knowledge of the field. This criterion poses the questions: Does the faculty member state basic purposes of the work clearly? Are the defined objectives realistic and achievable? Are the questions important to the field? Does the faculty member show an understanding of existing scholarship in the field? Does the faculty member have the necessary skills to do the work? Is the faculty member able to bring together the resources necessary to move the project forward?
- Appropriate methods. In teaching, research, and service the faculty member uses methods appropriate to the state goals. The criterion poses the questions: Does the faculty member use appropriate methods and are they applied effectively? Are procedures modified in response to changing circumstances?
- Quality of Results. In teaching, research, and service the faculty member achieves goals pursued and is able to effectively communicate the work to appropriate audiences. The criterion poses the questions: Does the faculty member achieve the goals? Does the work add consequentially to the field? Does the work open additional areas for further scholarship? Does the faculty member use suitable style and effective organization to present the work? Is it presented with clarity and integrity? Does the faculty member use appropriate forums for communicating the work to intended audiences?

## **ACTIVITIES CATEGORIES AND DOCUMENTATION**

A primary part of an application for reappointment, tenure, or promotion should be a listing of professional activities and achievements providing the detail specified by the School of Education's Faculty Report of Professional Activities (FRPA) form (Appendix A). The candidate is advised to follow carefully the instructions incorporated as part of that form. The same activity categories are used in judgments about reappointment, promotion, and tenure. In general, the candidate should apply the University's, school's, and the candidate's department's strategic goals as criteria in deciding which activities and achievements to include in the listing, particularly in the "Other activities" categories of the FRPA form. The activities and achievements listed in the application should have occurred during the period covered by the reappointment, tenure, or promotion review.

In addition to an organized listing, certain types of documentation facilitate the review of a reappointment, tenure, or promotion application and help ensure that the evaluation of the application reflects the true merit of the activities and achievements reported. Suggestions for assembling that documentation are presented below in the three categories in which faculty performance is evaluated.

## **Directions to Documentation**

A cumulative record of faculty work is presented for consideration of reappointment, promotion, or tenure. For regular reappointment consideration, accomplishments since the start of the appointment period under review are particularly important. For promotion consideration, accomplishments since appointment to current rank are particularly important.

To ensure that reviewers see documentation supporting the quality of the results or methods of or preparation for a certain activity, the candidate must provide convenient presentation and understandable directions. Candidates have the option of submitting a narrative statement with each set of documentation related to a category of faculty performance—teaching, scholarship, or service—and incorporating directions into each narrative. When important activities and achievements are not self-evidently important and the documentation associated with them is not self-explanatory, narratives for the three categories may be suitable and even desirable. Also, narratives are advisable early in a faculty member’s career when much work may still be “in process” and when few significant results—that is, trends, clusters, or bodies of accomplishment—can be presented. Similarly, narratives can be helpful for annual reviews for reappointment when the accomplishments of only the past twelve months may not by themselves demonstrate patterns of performance.

When the candidate is confident that her/his professional activities and achievements are primarily of a conventional nature, the documentation is easily understood, and their significance is evident, the directions to the documentation can be incorporated into the listing of activities and achievements. For instance, in the listing of classes taught, the candidate can add “Tab 1” beside the information on a certain class and then can provide evaluative documentation about the class at that tab. In the scholarship section, the candidate can add, for example, “Tab 15” beside the bibliographic information on an article and then can present the page copies documenting the article at that tab.

For third-year probationary reviews and for tenure and promotion applications, faculty members submit a one-inch notebook that includes:

1. the appointment letter with any changes that have been renegotiated;
2. copies of annual evaluations;
3. annual performance goals;
4. a descriptive listing of faculty work that adheres to the categories and subcategories outlined in the FRPA form;
5. self-assessment or other narrative related to the candidate’s work that she/he chooses to submit;
6. representative documentation of accomplishments in teaching; research, scholarship and creative activities; and service.

Faculty will include a maximum of four samples of their best work in research, scholarship or creative activities. All other documentation should be organized by the candidate in a supplemental binder and be available upon request.

## **TEACHING**

Teaching involves the transmission and transformation of knowledge that promote student learning and skills and attitudes necessary for continuing self-development and lifelong learning. Teaching happens in a variety of settings and involves multiple activities, including but not limited to teaching in traditional classroom and distance venues, supervision, and advising and mentoring.

The judgment of teaching performance is admittedly difficult. It is also a primary authority of the faculty. Therefore, each department will determine the criteria to be used by that department for evaluating teaching. The School of Education Congress will ensure that each department has a departmentally approved evaluation system in place. The department may decide to include student ratings, evaluations by faculty colleagues, the department chair, and/or others who are in the position to observe and evaluate the candidate's teaching performance that should be given considerable weight in determining the effectiveness of the candidate's teaching. Departmental policies and procedures shall not preclude the submission by individual faculty of additional, self-designed instruments that evaluate their teaching.

### **Documentation of Teaching**

For any review for reappointment, tenure, or promotion, documentation should be included regarding the effectiveness of the teaching of scheduled classes and the supervision of students in major practicums. Evidence of the quality of the results of instruction or supervision can be in the form of evaluations by students, evaluations by peers, products and achievements of students, and unsolicited written statements by students and others reflecting the quality of the candidate's teaching or supervision.

The School of Education requires that every faculty member will evaluate a scheduled class or a major supervisory responsibility each semester. Documentation related to at least one such evaluation for each semester covered by the review must be included. Summaries printed by the Office of Institutional Research and Testing of responses to the Student Instructional Report (SIR) form are satisfactory. Summaries of responses to candidate-constructed or department-constructed forms are also helpful. With both the SIR form and non-published forms, the candidate should include a statement of the circumstances in which the form was administered to students and the procedures by which the completed forms were collected and were submitted to the department chairperson for review. Similar documentation regarding the quality of advisement of students also enhances the teaching section of an application.

Candidate-prepared documents related to courses taught, supervision provided, or advisement given may also be included in an application to demonstrate the preparation for an instructional activity or the methods employed in the activity. Such documents might include reading lists as evidence of preparation for a course, and syllabi, assignment statements, evaluations of students, or advisement handouts as evidence of the quality of instructional, supervisory, or advisement methods. In addition, letters documenting workshop completion might be submitted as evidence of preparation for an instructional activity, and statements by

peers might be provided as evidence of the quality of the methods used. In deciding what supplementary documentation to include with the listing of professional activities and achievements, the candidate should recognize that reviewers have limited time to examine applications and that the presence of unessential, marginally impressive documents can divert reviewers from more important or more impressive evidence of faculty performance.

See Appendix A for a more comprehensive list of suggested evidentiary sources for teaching and teaching-related activities.

## **RESEARCH**

Scholarship within the School of Education is broadly conceived as serving the interdependent functions of discovery, integration, application, and teaching (Boyer, 1990) and as leading to publicly acknowledged advancements in the faculty member's discipline or in higher education. The scholarship of *discovery* involves the generation of knowledge through disciplined inquiry. The scholarship of *integration* is the disciplined work that creates new insights or intellectual patterns through the synthesis and interpretation of existing knowledge. The scholarship of *application* refers to the dynamic process of applying theory into practice to solve individual and societal problems. The scholarship of *teaching* refers to inquiry into the art of and expansion of the body of knowledge about teaching.

When reviewing this portion of the candidate's promotion and tenure documentation, school level reviewers have a unique challenge in that they may be looking at some rather technical documents that reflect academic discipline-specific faculty achievements that may be difficult for them to evaluate. Evidence to make judgments about some aspects of a candidate's research, scholarship, or creative activity (i.e., quantity of work, relatedness to School and/or University missions, and judgments about whether it has reached a regional or national audience) should be relatively easy for the reviewers to evaluate, but other aspects might be more difficult (i.e., technical content of articles and the significance of the work vis-a-vis the candidate's national or regional professional recognition). With regards to these latter aspects of a candidate's performance, it is recommended that the reviewers not substitute their assessments of academic discipline-specific faculty achievements for that of the department's unless the reviewers have strong well-identified compelling reasons to do so.

### **Documentation of Research, Scholarship, and Other Creative Activity**

According to the University's policy statement on promotion, being eligible for the rank of professor requires "documented evidence of substantial accomplishment in research, scholarship or creativity which has led to professional recognition at the national level." Partly for that reason, it is advisable for faculty members to maintain records and prepare retention, promotion, and tenure applications with documentation verifying the nature of the recognition that a scholarly activity achieved. The specific suggestions that follow reflect that practice.

For each published article listed in an application, the candidate should include at least copies of the journal page describing the nature of the journal, the page stating the editorial policy of the journal, the table of contents page showing the title of the article, and the first page

of the article itself. For a book, the documentation should include at least copies of the title page, the page giving the publication date and copyright information, and the table of contents. If the publisher is not likely to be familiar to reviewers, a brief explanation should be included of the way in which the manuscript was made known to the publisher and selected for publication. For a chapter in a book, the same documentation should be provided as for an entire book, and a copy of the first page of the chapter should be added. Original or reprints of all publications must be included in the supplemental binder and made readily available for the reviewers.

For a conference presentation, the candidate should provide at least a copy of the page from the call for proposals describing the submission and review process and copies of the front of the conference program and of the page listing the presentation. For invited presentations, the candidate should provide information providing information about the conference and session.

For a publication or presentation, a citation of the scholarly product in a publication by another author can be suitable documentation of recognition of the scholarship. A copy of the page showing the citation and of pages identifying the source of the citation should be included in the application.

For a funded grant or contract, the candidate should include at least a copy of the award letter. A copy of the award letter or the award certificate is also suitable documentation for a research or scholarship award.

For a scholarly product for which evidence of conventional peer review is not available, the candidate should include in the application the entire item so that it can be examined by the faculty members and administrators who review the application. If such a product is expected to be weighted significantly in the evaluation of the candidate, a written statement by the candidate's department assessing the item should be provided as evidence of the quality of the scholarly product or of the methods employed in producing it.

See Appendix A for a more comprehensive list of suggested evidentiary sources for research, scholarship, and creative activities.

## **SERVICE**

Service is understood by the SOE as applying knowledge through service to the University, the School, the department, the discipline or profession, and the community. In keeping with University policy, service to the community refers to “service in which the faculty member offers discipline-related expertise in service to an external agency, company, or non-profit organization.”

### **Documentation of Service**

Unlike teaching, much service is not evaluated in a formal way; and unlike scholarship, service opportunities rarely result from blind review by peers. Therefore, the faculty members and administrators who examine an application for retention, promotion, or tenure need other

means of judging the quality of service activities. For this reason, the candidate must be resourceful in identifying evidence of quality in the results of the service, in the methods used, or in the preparation for the service. Some of the possible types of documentation are described in the following paragraph.

A letter of appointment or invitation can verify that the candidate, for instance, served on a committee or performed a responsibility; but even more helpful to reviewers is a letter acknowledging service and thanking the candidate for carrying out certain tasks. This is evidence of the quality of the methods used in the service. An example of evidence of the quality of the results of service is a copy of a page from a committee report acknowledging the candidate's contributions. If the candidate was the person primarily responsible for a report or other document, a copy of the entire document might be included. A letter of thanks for a good speech made, for good leadership provided, or for other good service rendered is also appropriate documentation of the quality of results or methods. Again, however, the candidate should remember that reviewers have limited time to examine applications and that the presence of unessential, marginally impressive documents can divert reviewers from more important and more impressive evidence of faculty performance.

See Appendix A for a more comprehensive list of suggested evidentiary sources for service activities.

## **POLICIES AND PROCEDURES OF THE SOE PROMOTION AND TENURE COMMITTEE**

### **Committee composition and selection**

The School of Education shall annually constitute a Promotion and Tenure Committee comprised of representatives from each of the School's departments. Individual departments determine the means of selecting their representative. Department chairs and Deans may not serve on the School Promotion and Tenure Committee.

### **Independence of decisions**

Evaluations of third-year comprehensive reviews and of promotion and tenure applications require independent evaluations by the candidate's department committee, department chairperson, the School Promotion and Tenure Committee, and the Dean. Therefore, deans and faculty members shall not participate in more than one recommendation for any given case. In other words, deans and members of the SOE committee may not participate in a department's consideration of a candidate.

Any discussion of evaluations and recommendations between the Dean and the school committee will occur only after both parties have made their independent reviews of the faculty members' materials and departmental recommendations. This meeting may be called by the school committee or by the Dean. After this joint meeting, the Dean and the school committee may reconsider their recommendations in light of any new information received.

## **Committee procedures**

The School Promotion and Tenure Committee shall comply with the following guidelines:

Procedures for promotion and tenure

1. Order of consideration:

Applications for tenure and promotion to associate professor shall be considered first.

Applications for tenure only shall be considered second.

Applications for tenure and promotion to full professor shall be considered third.

Applications for promotion to full professor only shall be considered last.

2. Voting procedures:

Each school committee member will vote for promotion and/or tenure for each candidate with a simple "yea" or "nay" vote cast by secret ballot. A majority of the committee members must vote "yea" for a positive recommendation. Candidates will not be ranked.

3. Reporting initial vote results

A written rationale will accompany each recommendation. When the committee and the Dean have completed their independent reviews, a meeting between the Dean and the committee will occur to discuss the reviews of the Dean and of the committee.

4. Final report

The Dean will notify each candidate of the committee's and the Dean's recommendations and rationales. If both recommendations are positive, they are forwarded with the candidate's materials to the Provost and Vice President for Academic Affairs. If one or both are negative, the candidate may provide a rebuttal to the recommendations to the Dean within three working days which will be forwarded along with the recommendations provided by the academic unit and the Dean to the Provost and Vice President for Academic Affairs.

Procedures for mid-probationary period review:

1. Order of consideration:

The school committee shall consider candidates in alphabetical order.

2. Evaluation:

The school committee shall apply the recognized evaluative criteria and performance standards of the candidate's department and take into account the precise terms and conditions of the appointment letter and the comments generated during previous annual reviews in its evaluation of the candidate's performance.

### 3. Voting procedure:

Each school committee member will vote for a recommendation of reappointment, conditional reappointment, or nonreappointment for each candidate with a simple "yea" or "nay" vote cast by secret ballot. A majority of the committee members must vote "yea" for one of the options for it to become the recommendation of the committee.

### 4. Reporting

A summary of the school committee's evaluation of the candidate's teaching, research, and service and progress toward tenure will be completed and accompany the recommendation. The written evaluation and committee vote (recommendation) will be forwarded to the Dean.

## APPENDIX A

The SOE Guidelines for Reappointment, Promotion, and Tenure document includes references to the University Faculty Report of Professional Activities; however, it should be noted that the FRPA format is currently under review and may be changed in the future. Faculty members are advised to take note of these changes and their implications for these policies and procedures.

The following sections list the activities for each of the three areas of faculty performance—teaching; research, scholarship, and other creative activities; and professional service—specified in the current FRPA. In addition, suggested indicators of effectiveness are included in each section.

### I. Teaching

#### Activities

- A. Scheduled and arranged classes taught (including course name, prefix and number; credit hours; contact hours; semester/session offered; and number of students enrolled)
- B. Independent study enrollments completed (including course name, prefix, and number; number of students; and date of course completion for each item)
- C. Dissertation, Educational Specialist, and thesis committees served on or chaired (including name of student, name of degree, position on committee, and dates of committee formation and final document approval for each item)
- D. Number of undergraduates advised during each year of the review (including number of students and year of the fall semester involved)
- E. Number of master's degree students advised (including number of students and year of the fall semester involved)
- F. Teaching awards received (including title of award, sponsor, and date for each item)
- G. Courses developed (including course name, prefix, and number and date of University approval for each item)
- H. Courses transformed for distance delivery (including course name, prefix, and number and date first ready for delivery for each item)
- I. Professional development activities completed to enhance teaching including for-credit courses and degree programs completed (including course or degree name, credit hours, institution, and date of completion for each item) and seminars, workshops, and conferences attended (including title, sponsor, location, and dates for each item).

J. Other activities

**Possible indicators of teaching effectiveness**

The following is a limited sample of indicators that might serve to document effective teaching:

- A. Documents indicating that the instruction/supervision that the candidate provides to students is considered to be effective when rated by department faculty colleagues, chair, and/or current students.
- B. SIR reports and/or alternative assessment instruments indicating that students have ranked the overall quality of the candidate's instruction/supervision as being effective
- C. Reports from colleagues, chair, students, and/or others provide evidence of effectiveness in such areas of instruction/supervision as 1) course organization and/or planning, 2) classroom communication, 3) faculty/student interaction, 4) assignments, exams, and/or grading, and/or 5) supplemental instructional methods
- D. Documentation provides evidence that the candidate keeps abreast of new material, e.g., attendance at continuing education workshops, reading, updating, and/or developing new materials
- E. Award(s) for outstanding (effective) teaching/supervision
- F. Course syllabi, exams, and/or assignment sheets reflect revision and currency of information presented to students and/or instructional/supervision methods used in interacting with students
- G. Documents indicate commitment to teaching through such activities as participation on dissertation committees, independent studies and/or arranged courses, and/or other "other than traditional" course delivery venues
- H. Evidence of collaborative projects completed with students as part of teaching/supervision assignments (e.g., projects, reports, articles, presentations)
- I. Evidence of presentations that arise from work with students in class, practicum, and/or related academic activities
- J. Evidence of participation as guest lecturer in others' classes
- K. Evidence of appropriate teaching/supervision load given other goals and university assignments
- L. Evidence of participation in and effectiveness of student academic advising

- M. Participation in activities, workshops, and/or conferences designed to improve teaching/supervision
- N. Evidence related to the development of new courses, programs, or delivery modalities
- O. Insightful statements reflecting self-evaluation, self-reflection, and goal oriented plans with regards to teaching/supervision effectiveness made by the candidate not immediately evident in previous evidence provided

## **II. Research, Scholarship, and Other Creative Activity**

### **Activities**

- A. Books and monographs published (including complete bibliographic information—author(s) in published order, title, place of publication, publisher, date of publication, and number of pages—for each item)
- B. Chapters published (including complete bibliographic information—author(s) in published order, title, book editor(s) or author(s), book title, place of publication, publisher, date of publication, and pages of chapter—for each item)
- C. Articles published (including complete bibliographic information—author(s) in published order, title, journal, volume, issue number, month, year, and pages of article—for each item)
- D. Creative works published, performed professionally, or awarded prizes (including title of work, complete bibliographic information as indicated above or name of performing group and location and date of performance or name of prize and sponsor for each item)
- E. Electronic media materials published (including author(s) in published order, title, place of publication, publisher, and date of publication for each item)
- F. Conference presentations made (including presenter(s) in published order, title of presentation, organization, location, and date for each item)
- G. Art exhibits or artistic performances given (including name or description of show or performance, sponsor, location, and dates for each item)
- H. Books and journals edited (including, for each item, editor(s) in published order and complete bibliographic information as indicated above)
- I. Reviews published (including complete bibliographic information—author(s) in published order, title, journal, volume, issue number, date, and pages of review—for each item)
- J. Other contributions to published works (including complete bibliographic information as indicated above and a brief description of the contribution for each item)

- K. Research, scholarship, or creativity awards received (including title of award, sponsor, and date for each item)
- L. Extramural grants and contracts awarded (including project director(s), other project participants, project title, amount of award, sponsoring agency, and date of award for each item)
- M. Extramural grant and contract proposals submitted but not yet funded (including project director(s), project title, receiving agency, and date of submission for each item)
- N. Intramural grants awarded (including project director(s), project title, amount of award, and sponsor for each item)
- O. Professional development activities completed to enhance research, scholarship or creative activities including for-credit courses and degree programs completed (including course or degree name, credit hours, institution, and date of completion for each item) and seminars, workshops, and conferences attended (including title, sponsor, location, and dates for each item).
- P. Other activities

**Possible indicators of research and scholarship effectiveness**

The following is a limited sample of indicators that might serve to document the quality and/or quantity of a candidate's research, scholarship, or creative activity.

- A. Copies of publication(s) in international, national, or regional journal(s)
- B. Publication(s) of a nature recognized by the candidate's professional peers as being a significant contribution to the field
- C. Artifacts (e.g., program announcements, acceptance letters, evaluations, printed copies of presentations) associated with presentations of papers at international, national, or regional professional meetings
- D. Creation of audiovisual materials for marketing or distribution along with evidence that the materials have been judged and accepted by a publisher or professional review board
- E. Publication of a book, book chapter, or other major written work
- F. Successful funding of an authored external grant
- G. Writing an external grant, but not necessarily funded
- H. Successful funding of an authored internal grant

- I. Writing an internal grant, but not necessarily funded
- J. Writing a book, book chapter, or other major written work not yet published
- K. Evidence of continuing education efforts including such things as courses taken for credit and workshops, seminars, and conferences attended
- L. Evidence of research and/or publications in progress
- M. Classroom artifacts (e.g., syllabi, handouts, exams, rubrics) reflect scholarly basis upon which instruction is based
- N. Evidence of serving as an editor or on the editorial board of scholarly professionally-related journal
- O. Evidence of serving as a reviewer for referred journal or grant committee
- P. Award(s) for research, scholarly activity, and/or creative activity
- Q. Insightful statements reflecting self-evaluation, self-reflection, and goal oriented plans with regards to the scope, quality, and direction of the candidates research, scholarship, or creative activity not immediately evident in evidence previously provided

### **III. Professional Service**

#### Off Campus

- A. Organizational offices held (including title of office, professional organization, and dates of service for each item)
- B. Committee memberships and offices held (including name of committee, professional organization, office, and dates of service for each item)
- C. Committees served on for schools or other discipline-related agencies (including name of committee, name of agency, and dates of service for each item)
- D. Accreditation team memberships and leadership roles (including name of the accrediting body; name of school, college, or university visited; leadership role; and dates of service for each item)
- E. Special organizational responsibilities performed, such as contributing, managing, or section editorships, or juror duties in a competition (including nature of responsibility, professional organization, and dates of service for each item)

- F. Special responsibilities performed for schools and other discipline-related agencies (including nature of responsibility, name of agency, and date(s) of service for each item)
- G. Conference responsibilities performed (including nature of responsibility, professional organization, location, and date(s) for each item)
- H. Speeches and workshops given (including title of presentation, sponsor, location, and date for each item)
- I. Consultantships and other professional services performed (including purpose or nature of service, organization, location, and date(s) for each item)
- J. Professional service awards received (including title of award, sponsor, and date for each item)

On Campus

- K. Governing body memberships and offices held (including name of body, office, and dates of service for each item)
- L. University, school or college, and departmental standing committee, administrative committee, and ad hoc committee memberships and offices held (including name of committee, parent body, office, and dates of service for each item)
- M. Special responsibilities performed, such as administrative assignments (including title or nature of responsibility and dates of service for each item)
- N. Speeches and workshops given (including title of presentation, sponsor, location, and date for each item)
- O. Student organizations sponsored (including name of organization and dates of service for each item).
- P. Service awards received (including title of award, sponsor, and date for each item)
- Q. Professional development activities completed to enhance professional service including for-credit courses and degree programs completed (including course or degree name, credit hours, institution, and date of completion for each item) and seminars, workshops, and conferences attended (including title, sponsor, location, and dates for each item).
- R. Other activities

**Possible indicators of professional service**

The following is a limited sample of indicators that might serve to document the quality and/or quantity of a candidate's service.

- A. Evidence of professional leadership in state and/or national professional associations directly related to areas of expertise and/or the good of the profession
- B. Evidence of professional involvement in state and/or national professional associations directly related to areas of expertise and/or the good of the profession
- C. Evidence of active participation on university, school, and departmental committees
- D. Evidence of active participation in university, school, and departmental governance
- E. Evidence of leadership on university, school, and/or departmental committees
- F. Evidence of commitment to the delivery of professional services as functions of the department, e.g., clinic, workshops, conferences, public-school related activities
- G. Evidence of an award for service to the University or professional association
- H. Evidence of professional involvement in local and/or state professional associations
- I. Evidence of active participation and/or leadership in department, school, and/or university committees
- J. Evidence of involvement with student organizations
- K. Award(s) for service
- L. Insightful statements reflecting self-evaluation, self-reflection, and goal oriented plans with regards to the scope, quality, and direction of the candidates service not immediately evident in previous evidence provided