

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

## College of Engineering

### Approvals:

- College: February 17, 2010
- UPTC: May 4, 2010

Note: Engineering faculty hired prior to Spring 2010 are "grandfathered in" to the previous version of the College's Role and Scope document until they have been through their tenure review. However faculty are allowed (and encouraged) to use the current Role and Scope document since it provides more guidance to the candidates.

## SECTION 100

### ROLE AND SCOPE STATEMENTS

#### 100 APPROVALS REQUIRED

Role, scope, criteria, standards and procedures documents shall be approved by the department faculty, department head, the college review committee, the college dean, the UPT Committee, and the Provost and Vice President for Academic Affairs. [FH 622.]

#### 110 UNIVERSITY ROLE AND SCOPE

Montana State University-Bozeman is committed to "undergraduate and graduate education, research of both a basic and applied nature, and professional and public service to the state, region and nation." (MSU Role and Scope Statement, 1990.) [See FH 100.00.] Faculty dedicated to this mission produce substantial benefits for society, including advances in fundamental and applied knowledge, technological innovation, new aesthetic experiences, improved health and well-being, and a broadly educated citizenry. Outreach is a fundamental component of this mission and is affirmed as an appropriate and laudable faculty activity. [FH 603.00]

Each department and college shall develop and annually update a document describing its role and scope, defining its responsibilities and obligations in furtherance of the mission of the University, and setting forth the criteria, standards and procedures for review of faculty members. If the document is not updated annually, the last updated and approved document shall be effective. [FH 620.00]

#### 111 COLLEGE AND DEPARTMENT ROLE AND SCOPE STATEMENTS

The role and scope statement of the department and college defines the responsibilities of the unit and guides the department in developing the criteria, standards and procedures for the review of faculty members. The role and scope statement of each college identifies how each department contributes to meeting the responsibilities of the college and forms the basis for the approval of departmental role and scope statements and for the review and approval of department criteria, standards and procedures. [FH 621.00]

#### 112 COLLEGE ROLE AND SCOPE

##### 112.1 ROLE OF THE COLLEGE OF ENGINEERING

The role of the College of Engineering is to provide and support professional engineering and affiliated programs within the Land-Grant framework of Montana State University. The primary focus of these programs is the application of engineering

principles and technical methodologies for the betterment of society. Educational programs in the College are principally oriented toward career preparation - providing students in the College with the engineering and technical educations appropriate to the challenges presented by today's complex and difficult problems. Research and service programs pursued to generate new knowledge and to support and complement the educational programs contribute to faculty development and apply the expertise of the College for the public benefit.

### **112.1 SCOPE OF THE COLLEGE OF ENGINEERING**

In order to fulfill our role, the College of Engineering has established the following objectives:

- Provide professionally accredited undergraduate engineering programs.
- Provide professionally accredited undergraduate computer science program.
- Provide professionally accredited undergraduate engineering technology programs.
- Provide graduate and other instructional programs (e.g., cooperative education) that support the undergraduate engineering, engineering technology and computer science programs.
- Promote ethnic and gender diversity in all College programs.
- Insure that the quality and orientation of instructional programs are such that graduates are marketable and competitive within their professional disciplines.
- Maintain active research programs that complement the educational programs, that are relevant to society's problems, and that contribute directly to faculty development.
- Recruit and support a quality faculty and staff that maintain their viability through continued professional development.
- Support the University's public service mission through application of the College's technical expertise and resources.

### **112.2 The Role and Scope of Engineering Departments**

The role and scope of the departments in the College of Engineering extend the role and scope of the College of Engineering to the unique disciplines of each department.

## **113 ACADEMIC PROGRAMS OF THE COLLEGE OF ENGINEERING**

The College of Engineering currently includes five academic departments, and two research centers. The five academic departments offer the following degree programs.

### **Chemical and Biological Engineering Department**

- Bachelor of Science in Chemical Engineering
- Bachelor of Science in Bioengineering
- Master of Science in Chemical Engineering
- Master of Science in Environmental Engineering

### **Civil Engineering Department**

- Bachelor of Science in Civil Engineering
- Bachelor of Science in Civil Engineering, Bio-Resources Option
- Bachelor of Science in Construction Engineering Technology
- Master of Science in Civil Engineering
- Master of Science in Engineering Mechanics
- Master of Science in Environmental Engineering
- Master of Construction Engineering Management

### **Computer Science Department**

- Bachelor of Science in Computer Science
- Master of Science in Computer Science
- Doctor of Philosophy in Computer Science

### **Electrical and Computer Engineering Department**

- Bachelor of Science in Computer Engineering
- Bachelor of Science in Electrical Engineering
- Master of Science in Electrical Engineering

### **Mechanical & Industrial Engineering Department**

- Bachelor of Science in Industrial & Management Engineering
- Bachelor of Science in Mechanical Engineering
- Bachelor of Science in Mechanical Engineering Technology
- Master of Science in Industrial & Management Engineering
- Master of Science in Mechanical Engineering

### **Doctor of Philosophy in Engineering**

The College of Engineering offers a college-wide Doctor of Philosophy in Engineering degree program. This degree has seven options:

- Applied Mechanics
- Chemical Engineering
- Civil Engineering
- Electrical and Computer Engineering
- Environmental Engineering
- Industrial Engineering
- Mechanical Engineering

### **Undergraduate Minors**

- Aerospace
- Computer Engineering
- Computer Science
- Electrical Engineering

While awarding no academic degrees, the research centers in the College, the Center for Biofilm Engineering and the Western Transportation Institute, play a vital role in helping meet the academic mission of the College.

## **114 RESEARCH AND CREATIVE ACTIVITY**

### **114.1 Unique Areas of Research and Creative Activity in the College of Engineering**

#### **Engineering Experiment Station**

The Engineering Experiment Station was created by the Montana state legislature to help improve the economy, efficiency and safety of engineering activities in Montana. Such activities include the conservation and utilization of Montana resources, encouraging appropriate new industrial activities, and performing engineering research as a part of the land-grant mission of the University.

## **Western Transportation Institute**

The Western Transportation Institute conducts basic and applied research in a variety of areas of rural transportation issues.

## **Center for Biofilm Engineering**

The Center for Biofilm Engineering addresses critical environmental and medical problems through the use of advances in biotechnology. The Center represents a focal point for College research activities.

## **Optical Technology Center**

The Optical Technology Center (OpTeC) promotes multidisciplinary education and research efforts involving optical science and technology at Montana State University and in our local community.

## **Montana Microfabrication Facility**

The MMF facility includes a 1500 sq. ft. lab consisting of a class 1000 lithography area, a class 1000 general processing area, and a 500 sq. ft. class 10,000 lab that is home to MMF's PVD deposition tools.

## **SubZero Laboratory**

The Subzero Lab includes eight room-sized cold laboratories; three low-temperature biological incubators; two additional environmental chambers; a temperature-controlled computed tomography (CT) scanner; and a refrigerated epifluorescence microscope.

## **115 OUTREACH / PUBLIC SERVICE**

### **115.1 Unique Areas of Outreach and Public Service in the College of Engineering**

#### **Montana Manufacturing Extension Center**

The Montana Manufacturing Extension Center plays a major role in helping the College meet its service mission to the State by providing technical, management, and quality control expertise to manufacturing companies throughout the State.

#### **Engineering Experiment Station**

The Engineering Experiment Station conducts outreach/public service activities consistent with its mission and the role and scope of the College of Engineering.

#### **Local Technical Assistance Program**

The Local Technical Assistance Program serves local government agencies throughout the state on topics related to transportation construction and maintenance.

#### **Western Transportation Institute**

The Western Transportation Institute provides expertise to Montana and throughout the western United States and Canada in areas related to rural transportation.

Additionally, individual faculty members in the College use their professional abilities, expertise, and judgment for the benefit of the University, profession, and community. General areas of faculty service include:

- Professional society activities with committees, conferences, boards, and reviews
- Technology transfer: locally, regionally, nationally, internationally
- Promotion of public understanding of engineering, technology, and computing sciences

- Preparation of textbooks and specialized monographs

## SECTION 200

### CRITERIA AND STANDARDS

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

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

*Montana State University-Bozeman is served by a faculty with a wide range of skills, interests, and responsibilities. Thus, different faculty members may have very different expectations in terms of teaching, research/creative activity and service. The Criteria and Standards portion of this document (FH 630.00 to 636.00) carries forth this principle by distinguishing two general categories of academic faculty, designated as those with "instructional" expectations and those with "professional practice" expectations. Each faculty member's letter of hire will specify which category of expectations apply.*

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

#### 202 AREAS OF RESPONSIBILITY

Montana State University strives to serve the citizens of Montana by providing:

- Teaching
- Research and other creative activities
- Public service and outreach

Individual faculty members are expected to participate in one or more of these *areas of responsibility*. The specific distribution of effort is listed in the faculty member's letter of hire, but can be modified over time as part of the annual review process.

#### 205 FACULTY CLASSIFICATIONS

Montana State University recognizes two general categories of tenurable academic faculty, designated as those with "instructional" expectations and those with "professional practice" expectations, and two categories of non-tenurable faculty, designated as "adjunct" and "research" faculty.

Each faculty member has an assigned expected distribution of effort in their assigned area(s) of responsibility. The distribution of effort can be changed by mutual consent of the faculty member and his/her supervisor. Any changes to distribution of percentages of expected effort must be documented.

Changing between faculty with instructional expectations and professional practice faculty is very rare and requires approvals at all levels.

Changing between non-tenure-track and tenure-track faculty is an appointment (hiring) process. Changing between Adjunct Instructor and Adjunct Assistant Professor is an appointment (hiring) process.

### **205.1 Faculty with Instructional Expectations – Tenurable**

*Faculty with instructional expectations will advance the teaching, research/creative activity, and service missions of the University. [FH 632.00]*

The “typical” faculty member at Montana State university is a faculty member with “instructional expectations”. Faculty members with instructional expectations are expected to contribute in all three *areas of responsibility*: teaching, research, and service. The typical distribution of effort is 45% teaching, 45% research, and 10% service – but this distribution can and does vary widely.

The *area of emphasis* must be either teaching or research/creative activity; the choice is up to the candidate, but should be made in consultation with his/her department head.

### **205.2 Professional Practice Faculty – Tenurable**

*Faculty with professional practice expectations will advance the mission of their departments through activities appropriate to their specific assignments. [FH 632.00]*

Professional Practice faculty members participate in one or two of the *areas of responsibility*. The required *areas of responsibility* are identified in each individual’s letter of hire.

The *area of emphasis* must be the area with the highest assigned percentage of effort.

### **205.3 Adjunct Faculty – Non-Tenured**

Adjunct faculty members are non-tenure-track faculty who may participate in any number of the *areas of responsibility*. The required *areas of responsibility* are identified in each individual’s letter of hire.

The *area of emphasis* must be the area with the highest assigned percentage of effort.

### **205.4 Research Faculty – Non-Tenured**

Research faculty members are non-tenure-track faculty who focus on the research *area of responsibility*.

The *area of emphasis* is research.

## **210 UNIVERSITY CRITERIA**

The University criteria on which faculty performance will be reviewed are teaching, research, and service.

## **211 TEACHING CRITERIA**

### **211.1 University Teaching Criteria**

*Teaching, the imparting of knowledge, skills, and abilities to learners, is the heart of the University's mission. Faculty performance in teaching must be evaluated in terms of a wide range of criteria including course content and objectives, classroom effectiveness, student learning and achievement and student advising. This document challenges faculty and administrators to adopt rigorous strategies for the assessment of teaching performance, including peer, student and self-evaluations. [FH 602.03]*

### **211.2 College Teaching Criteria**

Evidence used to demonstrate teaching performance may include, but is not limited to:

- Publications in Education Journals
- Grant Activity
- Summary of Student Evaluations
- Course Materials
- Student Work Samples

- Classroom Observations
- Awards or honors for teaching
- Evidence of Innovation
- Contributions Beyond the Candidate's Classroom

## **212 RESEARCH CRITERIA**

### **212.1 University Research Criteria**

*Research and creative activity, the means through which society increases its understanding of the natural world and the human condition, is a fundamental responsibility of the University community. In submitting documentation for tenure and promotion, faculty are expected to submit for review their scholarly works which have advanced their discipline or profession. [FH 602.03]*

### **212.2 College Research Criteria**

Evidence used to demonstrate performance in research/creative activity may include, but is not limited to:

- Research funding and proposal writing
- Student (graduate and undergraduate) research productivity and performance
- Documented research reports, conference presentations, refereed journal articles, conference articles, monographs, texts
- Substantiveness of journals
- Invited papers and presentations
- Professional assignments with technical committees, technical editing
- Awards or honors for research or similar recognition
- Use of research and creative activities to improve instruction

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

### **213.1 University Criteria**

*Outreach and public service, the strategies through which the practical impacts of scholarship are made available to the state and nation, are essential to the University's Land Grant mission. This document calls upon faculty and their departments to revitalize their commitments to outreach and public service and challenges them to reward effectiveness and excellence in these activities. Departments and colleges shall establish procedures, criteria and standards for the evaluation of service, outreach, and consulting activities submitted for faculty review. [602.03]*

### **213.2 College Criteria**

Evidence used to demonstrate performance in outreach/public service may include, but is not limited to:

- Memberships in professional societies
- Leadership roles in professional societies
- Conference chair positions
- Service on University, College, Department committees
- Service on advisory boards
- Journal and proposal reviews

## **220 GENERAL UNIVERSITY STANDARDS**

The University standards on which faculty performance will be reviewed are effectiveness and excellence.

For the various reviews of faculty, these standards are applied as follows:

- Sustained Effectiveness – for all areas of responsibility, all types of reviews other than annual review.
- Promise of Excellence – for the candidate’s area of emphasis during tenure review and review for promotion to associate professor.
- Excellence – for the candidate’s area of emphasis during review for promotion to professor.

*Sustained effectiveness in all areas of a faculty member's assignment is a University-wide requirement for retention, tenure and promotion. [FH 603.04]*

*In addition, the potential for excellence is required for tenure and promotion to Associate Professor rank; a record of excellence is required for promotion to Professor rank. [FH 603.04]*

*The University criteria and standards defined herein are the minimum acceptable standards for the university; departments and colleges are expected to develop criteria and standards based on, and no less rigorous than, those described herein. [FH 622.00]*

*Each faculty member must meet the following University-wide standards for appointment, retention, tenure, and promotion as well as the standards of her or his department and college. [FH 633.00]*

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

*Faculty with instructional expectations will advance the teaching, research/creative activity, and service missions of the University. [FH 632.00]*

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

*Faculty with professional practice expectations will advance the mission of their departments through activities appropriate to their specific assignments. [FH 632.00]*

### **221 EFFECTIVENESS IN TEACHING**

Each candidate must demonstrate sustained effectiveness in each of their assigned areas of responsibility for every review.

#### **221.1 University Standard of Effectiveness in Teaching**

*Faculty performance in teaching will be judged effective if it meets or exceeds the standards of the candidate's department and college. [FH 633.01]*

#### **221.2 College Standard(s) of Effectiveness in Teaching**

The College of Engineering requires that faculty performance continues, over time, to be effective. Effectiveness as performance that is “significant and of high quality.”

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

The Departments in the College of Engineering have adopted the College Standards.

### **222 EFFECTIVENESS IN RESEARCH/CREATIVE ACTIVITY**

#### **222.1 University Standard of Effectiveness in Research/Creative Activity**

*Faculty performance in research/creative activity will be judged effective if it meets or exceeds the standards of the candidate's department and college.*

## **222.2 College Standard(s) of Effectiveness in Research/Creative Activity**

The College of Engineering requires that faculty performance continues, over time, to be effective. Effectiveness is defined as performance that is “significant and of high quality.”

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

The Departments in the College of Engineering have adopted the College Standards.

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

### **223.1 University Standard of Effectiveness in Outreach/Public Service**

*Faculty performance in outreach and public service will be judged effective if it meets or exceeds the standards of the candidate's department and college. [FH 633.01]*

### **223.2 College Standards of Effectiveness in Outreach/Public Service**

The College of Engineering requires that faculty performance continues, over time, to be effective. Effectiveness is defined as performance that is “significant and of high quality.”

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

The Departments in the College of Engineering have adopted the College Standards.

## **231 EXCELLENCE IN TEACHING**

### **231.1 University Standard of Excellence in Teaching**

*Faculty performance in teaching will be judged excellent if it receives substantial recognition from peers and colleagues as well as current and former students. [FH 633.02]*

### **231.2 College Standard(s) of Excellence in Teaching**

Performance in activities associated with teaching that is judged by peers and colleagues to be substantial and demonstrate *teaching leadership*.

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

The Departments in the College of Engineering have adopted the College Standards.

## **232 EXCELLENCE IN RESEARCH/CREATIVE ACTIVITY**

### **232.1 University Standard of Excellence in Research/Creative Activity**

*Faculty performance in research/creativity activity will be judged excellent if it receives substantial, international, or national recognition from peers and clients as having made a substantial contribution to the body of knowledge and creativity germane to the candidate's discipline or profession. [FH 633.02]*

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

Excellent performance will be measured by accomplishments in activities associated with research/creative activity. Performance will be judged excellent if it receives national or international recognition from peers and colleagues as having made a substantial contribution to the candidate's field.

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

The Departments in the College of Engineering have adopted the College Standards.

## **233 EXCELLENCE IN OUTREACH/PUBLIC SERVICE**

### **233.1 University Standards of Excellence in Outreach/Public Service**

*Faculty performance in service will be judged excellent if it receives substantial recognition by colleagues and peers outside the University. [FH 633.02]*

### **233.2 College Standards of Excellence in Outreach/Public Service**

Excellent performance will be measured by accomplishments in activities associated with outreach/service activity. Performance will be judged excellent if it receives substantial recognition from peers and colleagues outside the university.

### **233.3 Department Standard(s) of Excellence in Outreach/Public Service**

The Departments in the College of Engineering have adopted the College Standards.

## **240 DEMONSTRATION OF EFFECTIVENESS AND EXCELLENCE**

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

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

### **241.1 University Policy and Procedures**

*Effectiveness, excellence, and potential for excellence in teaching shall be demonstrated through evaluation by peers and colleagues within the University and through in-depth assessment of teaching performance, that draws upon current and former students, graduates, colleagues and clients. Candidates shall follow the methods for in-depth assessment of teaching performance established by the department. [FH 633.03]*

### **241.2 College Policies and Procedures**

The amount of information required in various sections of a candidate's dossier will vary depending on:

- Type of faculty (e.g., instructional expectations, professional practice)
- Type of review (e.g., retention review, tenure review)
- Area of emphasis (e.g., teaching, research)

### **Demonstrating Effectiveness in Teaching**

A faculty member must demonstrate **sustained effectiveness** and the **potential for sustained future effectiveness** in each assigned *area of responsibility* (teaching, research, and/or service). If one or more years of credit towards tenure was/were awarded at time of hire, data from the previous position should be used to demonstrate **sustained effectiveness**.

### **Retention Reviews**

A separate in-depth assessment of teaching is not required for retention reviews. For retention reviews the assessment of teaching performance is performed by those who review the candidate's dossier. Items indicating performance of teaching are expected to be included in the dossier, such as (but not limited to):

- Publications in Education Journals
- Summary of Student Evaluations
- Peer Classroom Observations
- Awards or honors for teaching

### **Tenure and Promotion Reviews**

Effectiveness in teaching is demonstrated by means of an in-depth assessment of teaching performance. Both the data used in the assessment and the result of the assessment (the letter from the assessors) are to be included in the candidate's dossier. Items indicating performance of teaching are expected to be included in the dossier, such as (but not limited to):

- Publications in Education Journals
- Grant Activity
- Summary of Student Evaluations
- Course Materials
- Student Work Samples
- Classroom Observations
- Awards or honors for teaching
- Evidence of Innovation
- Contributions Beyond the Candidate's Classroom

When the candidate's assigned percent effort in teaching is less than 20%, the candidate's Department P&T Committee members act as the assessors for the in-depth review of teaching. This assessment is performed as part of the departmental review of the candidate's dossier.

### **Demonstrating Excellence and Potential for Excellence in Teaching**

Demonstrating excellence or potential for excellence in teaching is not required for retention reviews, and only required for tenure and promotion reviews for those candidates for whom teaching is their area of emphasis.

Excellence or potential for excellence in teaching is demonstrated by means of an in-depth assessment of teaching performance. Both the data used in the assessment and the result of the assessment (the letter from the assessors) are to be included in the candidate's dossier. Items indicating performance of teaching are expected to be included in the dossier, such as (but not limited to):

- Publications in Education Journals
- Grant Activity
- Summary of Student Evaluations
- Course Materials
- Student Work Samples
- Classroom Observations
- Awards or honors for teaching
- Evidence of Innovation
- Contributions Beyond the Candidate's Classroom

External peer reviews of the dossier items indicating performance in teaching are required as part of the in-depth assessment of teaching when the standard of excellence or potential for excellence in teaching is to be demonstrated.

The College of Engineering requires candidates to provide evidence of *teaching leadership* as part of demonstrating excellence or potential for excellence in teaching.

### 241.3 Department Policies and Procedures

Departments in the College of Engineering have adopted the College Policies and Procedures.

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

### 242.1 University Policy and Procedures

*Effectiveness, excellence and potential for excellence in research/creative activity shall be demonstrated through evaluation by on-campus review committees and administrators and external reviewers. Candidates shall list all publications, presentations, exhibits, and performances in their dossiers and, in addition, shall submit for review a set of articles, publications, creative endeavors, or other evidence that, in their judgment, represents their best efforts to advance the discipline or profession. [FH 633.03]*

### 242.2 College Policies and Procedures

The amount of information required in various sections of a candidate's dossier will vary depending on:

- Type of faculty (e.g., instructional expectations, professional practice)
- Type of review (e.g., retention review, tenure review)
- Area of emphasis (e.g., teaching, research)

### Demonstrating Effectiveness in Research/Creative Activity

A faculty member must demonstrate **sustained effectiveness** and the **potential for sustained future effectiveness** in each assigned *area of responsibility* (teaching, research, and/or service). If one or more years of credit towards tenure was/were awarded at time of hire, data from the previous position should be used to demonstrate **sustained effectiveness**.

#### Retention Reviews

A separate in-depth assessment of research/creative activity is not required for retention reviews. For retention reviews the assessment of performance in research/creative activity is performed by those who review the candidate's dossier. Items indicating performance of research/creative activity are expected to be included in the dossier, such as (but not limited to):

- Research funding and proposal writing
- Documented research reports, conference presentations, refereed journal articles, conference articles, monographs, texts
- Substantiveness of journals
- Invited papers and presentations
- Awards or honors for research or similar recognition

#### Tenure and Promotion Reviews

Effectiveness in research/creative activity is demonstrated by means of an in-depth assessment of performance in research/creative activity. Both the data used in the assessment and the result of the assessment (the letter from the assessors) are to be included in the candidate's dossier. Items indicating performance of research/creative activity are expected to be included in the dossier, such as (but not limited to):

- Research funding and proposal writing
- Student (graduate and undergraduate) research productivity and performance

- Documented research reports, conference presentations, refereed journal articles, conference articles, monographs, texts
- Substantiveness of journals
- Invited papers and presentations
- Professional assignments with technical committees, technical editing
- Awards or honors for research or similar recognition
- Use of research and creative activities to improve instruction

When the candidate's assigned percent effort in research/creative activity is less than 20%, the candidate's Department P&T Committee members act as the assessors for the in-depth review of research/creative activity. This assessment is performed as part of the departmental review of the candidate's dossier.

### **Demonstrating Excellence and Potential for Excellence in Research/Creative Activity**

Demonstrating excellence or potential for excellence in research/creative activity is not required for retention reviews, but is required for tenure and promotion reviews for those candidates for whom research/creative activity is their area of emphasis.

Excellence or potential for excellence in research/creative activity is demonstrated by means of an in-depth assessment of performance in research/creative activity. Both the data used in the assessment and the result of the assessment (the letter from the assessors) are to be included in the candidate's dossier. Items indicating performance of research/creative activity are expected to be included in the dossier, such as (but not limited to):

- Research funding and proposal writing
- Student (graduate and undergraduate) research productivity and performance
- Documented research reports, conference presentations, refereed journal articles, conference articles, monographs, texts
- Substantiveness of journals
- Invited papers and presentations
- Professional assignments with technical committees, technical editing
- Awards or honors for research or similar recognition
- Use of research and creative activities to improve instruction

External peer reviews of the dossier items indicating performance in research/creative activity are required as a significant input to the in-depth assessment of research/creative activity when the standard of excellence or potential for excellence in research/creative activity is to be demonstrated.

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

Departments in the College of Engineering have adopted the College Policies and Procedures.

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

### **243.1 University Policy and Procedures**

*Effectiveness in service shall be demonstrated through evaluation by peers and colleagues within the University. Excellence and potential for excellence in service shall be demonstrated through evaluation of professional and public service activities by peers outside the University. Candidates shall list all service activities in their dossiers and, in addition, shall submit for review a set of articles, publications, professional endeavors or other evidence that, in their judgment, represents their best efforts to contribute to and advance the University, public, and profession. [FH 633.03]*

## 243.2 College Policies and Procedures

The amount of information required in various sections of a candidate's dossier will vary depending on:

- Type of faculty (e.g., instructional expectations, professional practice)
- Type of review (e.g., retention review, tenure review)
- Area of emphasis (e.g., teaching, research)

### Demonstrating Effectiveness in Service/Outreach

A faculty member must demonstrate **sustained effectiveness** and the **potential for sustained future effectiveness** in each assigned *area of responsibility* (teaching, research, and/or service). If one or more years of credit towards tenure was/were awarded at time of hire, data from the previous position should be used to demonstrate **sustained effectiveness**.

#### Retention Reviews

A separate in-depth assessment of service/outreach is not required for retention reviews. For retention reviews the assessment of performance in service/outreach is performed by those who review the candidate's dossier. Items indicating performance of service/outreach are expected to be included in the dossier, such as (but not limited to):

- Memberships in professional societies
- Leadership roles in professional societies
- Conference chair positions
- Service on University, College, Department committees
- Service on advisory boards
- Journal and proposal reviews

#### Tenure and Promotion Reviews

Effectiveness in service/outreach is demonstrated by means of an in-depth assessment of performance in service/outreach activities. Both the data used in the assessment and the result of the assessment (the letter from the assessors) are to be included in the candidate's dossier. Items indicating performance of service/outreach are expected to be included in the dossier, such as (but not limited to):

- Memberships in professional societies
- Leadership roles in professional societies
- Conference chair positions
- Service on University, College, Department committees
- Service on advisory boards
- Journal and proposal reviews

When the candidate's assigned percent effort in service/outreach is less than 20%, the candidate's Department P&T Committee members act as the assessors for the in-depth review of service/outreach. This assessment is performed as part of the departmental review of the candidate's dossier.

### Demonstrating Excellence and Potential for Excellence in Service/Outreach

Demonstrating excellence or potential for excellence in service/outreach is not required for retention reviews, but is required for tenure and promotion reviews for those candidates for whom service/outreach is their area of emphasis. Only professional practice faculty can have service/outreach as their area of emphasis.

Excellence or potential for excellence in service/outreach is demonstrated by means of an in-depth assessment of performance in service/outreach activities. Both the data used in the assessment and the result of the assessment (the letter from the assessors) are to be included in the candidate's dossier.

External peer reviews of the dossier items indicating performance in service/outreach are required as part of the in-depth assessment of service/outreach when the standard of excellence or potential for excellence in service/outreach is to be demonstrated.

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

Departments in the College of Engineering have adopted the College Policies and Procedures.

## **SECTION 300**

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

#### **300 RESPONSIBILITY TO ESTABLISH STANDARDS**

*Departments and colleges will establish specific criteria for the review of faculty performance. [FH 632.00]*

*Departments and colleges shall establish standards for retention, tenure and promotion that are no less rigorous than those described below. [FH 633.00]*

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

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

*Faculty 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]*

#### **310.1 University Standards for Retention**

*The University-wide standards for retention of faculty members are:*

- A. effectiveness in the performance of their responsibilities,*
- B. promise of continuing effectiveness, and*
- C. if appropriate to the level of review, the promise of attainment of the standards for tenure and promotion, as demonstrated by a clear progression of accomplishment. [FH 640.00]*

### **310.2 College Standards for Retention**

The College of Engineering adopts the University standards as the College standards.

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

The Departments in the College of Engineering apply no additional standards beyond those of the University and College.

### **320 TENURE**

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

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

### **321 STANDARDS FOR TENURE**

#### **321.1 Standards for Faculty with Instructional Expectations.**

##### **A. University Standards**

*The University-wide standards for the award of tenure to faculty with instructional expectations are:*

- 1. demonstrated and sustained effectiveness in the performance of their responsibilities in the three areas of teaching, research/creative activity, and service, appropriate to the assignment as set forth in the letter of hire and role statements*
- 2. demonstrated potential for sustained effectiveness in each of these areas in the future, and*
- 3. demonstrated potential for achieving excellence in teaching and/or research/creative activity. [FH 651.00]*

##### **B. College Standards**

The College of Engineering adopts the University standards as the College standards.

##### **C. Department Standards**

The Departments in the College of Engineering apply no additional standards beyond those of the University and College.

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

##### **A. University Standards**

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

- 1. demonstrated and sustained effectiveness in the performance of the responsibilities of the assignment as set forth in the letter of hire and the role statements,*
- 2. demonstrated potential of sustained effectiveness in the future, and*
- 3. demonstrated potential for achieving excellence in at least one of the areas of teaching, research/creative activity, or service, appropriate to the responsibilities of the assignment. [FH 652.00]*

##### **B. College Standards**

The College of Engineering adopts the University standards as the College standards.

### C. Department Standards

The Departments in the College of Engineering apply no additional standards beyond those of the University and College.

## **330 APPOINTMENT AND PROMOTION**

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

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

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

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

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

#### A. University Standards

*To be appointed as an Assistant Professor, a faculty member with instructional expectations shall, at a minimum, have:*

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

#### B. College Standards

The College of Engineering adopts the University standards as the College standards.

#### C. Department Standards

The Departments in the College of Engineering apply no additional standards beyond those of the University and College.

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

#### A. University Standards

*To be appointed as an Assistant Professor, a faculty member with professional practice expectations shall, at a minimum, have:*

- 1. a terminal degree appropriate to the field or department, and*
- 2. demonstrated potential to carry out the primary duties of his or her assignments. [FH 661.02]*

#### B. College Standards

The College of Engineering adopts the University standards as the College standards.

### C. Department Standards

The Departments in the College of Engineering apply no additional standards beyond those of the University and College.

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

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

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

#### A. University Standards

*To be appointed as an Associate Professor, a faculty member with instructional expectations shall, at a minimum, have:*

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

#### B. College Standards

The College of Engineering adopts the University standards as the College standards.

#### C. Department Standards

The Departments in the College of Engineering apply no additional standards beyond those of the University and College.

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

#### A. University Standards

*To be appointed as an Associate Professor, a faculty member with professional practice expectations shall, at a minimum, have:*

- 1. a terminal degree appropriate to the field or department,*
- 2. a record of demonstrated and sustained effectiveness in the primary responsibilities of the assignment as set forth in the letter of hire and role statements,*
- 3. demonstrated potential for the achievement of excellence in at least one of the three areas of teaching, research/creative activity, and service. [FH 662.02]*

#### B. College Standards

The College of Engineering adopts the University standards as the College standards.

#### C. Department Standards

The Departments in the College of Engineering apply no additional standards beyond those of the University and College.

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

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

#### A. University Standards

*To be appointed as a Professor, a faculty member with instructional expectations shall, at a minimum, have:*

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

#### B. College Standards

The College of Engineering adopts the University standards as the College standards.

#### C. Department Standards

The Departments in the College of Engineering apply no additional standards beyond those of the University and College.

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

#### A. University Standards

*To be appointed as a Professor, a faculty member with professional practice expectations shall, at a minimum, have:*

- 1. a terminal degree appropriate to the field or department,*
- 2. a record of demonstrated and sustained effectiveness in the primary duties of their assignment,*
- 3. a record of excellence in at least one of the three areas of teaching, research/creative activity, or service as demonstrated by recognition of the outstanding nature of the candidate's contributions to the public, the discipline and/or profession from peers outside the University. [FH 663.02]*

#### B. College Standards

The College of Engineering adopts the University standards as the College standards.

#### C. Department Standards

The Departments in the College of Engineering apply no additional standards beyond those of the University and College.

## **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]*

#### **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]*

#### **412 RESPONSIBILITIES OF THE COLLEGE DEAN**

*The dean shall determine, to the best of her or his ability, whether the candidate's preceding reviews were conducted in substantial compliance with the procedures set forth by the department, college and this Handbook. The dean 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 a preceding review, the recommendation shall include a written rationale for non-concurrence.*

*The college dean is also responsible for:*

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

The Dean of Engineering will establish deadlines each year and announce them to all College Department Heads and faculty. These deadlines will provide adequate time for candidate preparation and substantive reviews within the department and college.

- B. *Ensuring that the election of faculty representatives to the college and UPT Committees is conducted in a timely manner.*

The Dean of Engineering will assure that departments are adequately represented and shall establish appropriate deadlines for committee election.

The Provost and Vice President shall establish the deadlines for the election of the College representative to the UPT Committee.

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

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

#### **413 REVIEW BY THE COLLEGE PROMOTION AND TENURE COMMITTEE**

*Each college shall establish a "college review committee" to consider the dossier submitted by each candidate and formulate its recommendation for retention, tenure, and/or promotion. [FH 815.00]*

##### **413.1 Membership and Procedures for Selection**

*Each college shall establish the policies and procedures by which the membership of the committee shall be established. The college review committee shall be composed only of tenured faculty, at least a majority of whom shall be elected by college faculty. A department head may serve on the committee only if elected by the college faculty. Whenever possible, the committee shall have 25% female and/or minority representation. If that representation is not achieved by election, the dean shall appoint such additional members as may be necessary to achieve that representation.*

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

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

*[FH 815.00]*

At least two-thirds of the college committee must be elected by vote of tenured faculty of the College of Engineering. The remaining one-third will be appointed by the Dean of Engineering. These appointed positions cannot include Department Heads. The Dean shall use his/her appointments, when possible, to ensure female and minority representation on the

committee, if this has not been achieved through election. The term length of membership service shall be three years for elected members and two years for appointed members.

#### **413.2 Responsibilities of the Committee**

*The committee shall determine, to the best of its ability, whether a candidate's preceding reviews have been conducted in substantial compliance with the procedures set forth by the department, college and [the Faculty] Handbook. The committee also conducts a fair, objective, independent, and substantive review of the candidate's dossiers based on department, college, and University criteria and standards. In cases of non-concurrence with a preceding review, the recommendation shall include a written rationale for non-concurrence.*

*The college review committee is also responsible for:*

- A. reviewing, making suggestions for modification, and approving the role and scope, criteria and standards documents of the departments and*
- B. preparing a written recommendation, with vote tally, concerning the retention, tenure, and/or promotion of each candidate for review.*

[FH 815.00]

No additional College responsibilities.

#### **413.3 Actions of the Committee**

*The college review committee:*

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

No additional College committee actions required.

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

Nominations shall be solicited by the Dean from the Department Heads and faculty at large. The names of all nominated faculty shall be placed on the ballot. Tenured and tenure-track faculty shall vote for one candidate. The candidate receiving the majority of votes shall be elected.

#### **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.*

The Department Head is responsible for providing a copy of this document to a faculty member at the time of initial appointment.

- 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.*

Following the general deadlines established by the Dean, the Department Head is responsible for establishing departmental deadlines for review and announcing them to faculty members with sufficient time for material preparation. These deadlines shall also provide adequate time for substantive review by the departmental committee prior to College deadlines.

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

The Department Head shall ensure the review committee is provided with the following materials as they apply to each faculty member and as they relate to the criteria and standards set forth in this document:

1. Name and rank
2. Date of first hire at the University and any special conditions of hire
3. Date of last promotion and/or tenure
4. Letter(s) of appointment
5. Summary of education (institutions, degrees, dates)
6. Curriculum vitae or resume
7. All previously approved goals statements and review documents for the faculty member
8. Personal statement and self-evaluation
9. In-depth assessments in each area of performance as required for the level of review
  - a. teaching
  - b. research and creative activities
  - c. service activities
10. Appendices for support material (as needed).

- 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]*

No additional responsibilities apply.

#### **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 departmental review committee shall consist of a minimum of three members and a maximum of five. The size of the departmental committee will ultimately depend upon the size of the department and the number of eligible faculty. At least two-thirds of the membership shall be elected from the faculty and the Department Head may appoint up to one-third of the membership. Elected members will serve for three years and appointed members will serve two year terms.

#### **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]*

Confidential materials, including support letters, letters from external and internal reviewers, and other evaluation materials, shall be solicited, handled and maintained in accordance with the applicable policies stated above and elsewhere in this document.

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

Materials for inclusion in the candidate's dossier are outlined in Section 414(F) of this document. Once submitted by the candidate, the dossier shall not be altered or amended. In the event that the committee receives material after the deadline and is applicable to a candidate's dossier, the candidate must be notified and allowed the opportunity to respond in writing.

- 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.*

No additional responsibilities apply.

#### **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]*

#### **College Requirements**

External peer reviews are a required part of the in-depth assessment of performance in the candidate's *area of emphasis*, and may be used in the in-depth assessments in the candidate's other area(s) of responsibility.

The procedure for the in-depth assessment of performance, including external reviews, is as follows:

1. The candidate provides his/her department head with the lists of prospective external reviewers.
2. The department head also creates lists of prospective external reviewers.

3. The department head selects five or more proposed external reviewers, with 50% or more of the names coming from the department head's list.
4. The department head will contact the proposed external reviewers to ask if they are willing to serve in this role. (At least five willing reviewers must be identified.)
5. The department head will send external reviewers the following information to be reviewed:
  - Applicable Role and Scope document
  - Candidate's CV
  - A description of the applicable standards for the review

Additionally, the following materials will be sent based on the candidate's area of emphasis.

Research Empahsis

- Candidate's research summary
- Candidate's set of selected works

Teaching Empahsis

- Candidate's teaching summary
- Candidate's educational portfolio

6. The external returned reviews are added to the dossier by the department head.

#### **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]

#### **College Requirements**

Internal peer reviews are optional for retention reviews, but required for tenure and promotion reviews.

The internal (internal to the University) peer reviews serve two primary purposes:

1. Providing an opportunity for faculty members inside the candidate's department, but not on the Department's P&T Committee, to provide input to the review process.
2. Providing an opportunity for colleagues within the University to provide input to the review process.

Internal reviews can provide comments regarding any or all of a candidate's areas of responsibility.

The process for obtaining internal peer reviews is as follows:

1. The candidate provides his/her department head with the names and contact information for individuals that you believe can provide significant input to your review.
2. The department head invites letters of review from all members of the department faculty and from the individuals nominated by the candidate. The department head should also solicit letters of review from other MSU faculty members that he/she believes can provide significant input to the review.
3. Your department head adds the internal review letters to the dossier.

#### **Department Requirements**

Departments in the College of Engineering follow the College procedures for soliciting internal reviews.

## **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]*

No additional actions by the committee are required.

## **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.

No additional College of Engineering requirements for personal statements or self-evaluation apply.

No additional departmental requirements for personal statements or self-evaluation apply.

#### **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 judgment, 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.

In addition, the candidate shall include all required materials for all mandated in-depth assessments. The required materials are described in the College of Engineering policy on In-Depth Assessment.

Departments in the College of Engineering do not add additional requirements beyond those specified by the College.

#### **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 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 reviewing administrator(s). [FH 812.00]

No other changes to the dossier may be considered.

#### **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]*

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

*The following procedures should be used in conducting annual reviews:*

- A. The faculty member, Associate Dean and Dean meet annually to review the faculty member's performance relative to the faculty member's role statement 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 Associate Dean and Dean rate the performance of each faculty member 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 College. These files shall be kept confidential and maintained in conformity with 453.00. [FH 720.00]*

### **510.01 College Procedures**

Each year, by March 31 (or for new faculty, at the time of contract signing), the staff member and the department head will reach an agreement on goals and duties for the upcoming year. A short memorandum, for departmental use only, outlining the agreement is signed by both the staff member and the department head. The agreement is changeable at any time (by mutual agreement) during the year for cause, and in no way should it act to inhibit the staff member and department head from assigning additional duties to the staff member.

For continuing faculty, the previous calendar year's performance will be evaluated in writing by the staff member and department head using the memo from the previous year as a basis for discussion. Pending items or activities in progress may also be considered. This evaluation will also be accomplished annually by March 31.

For new faculty, the first review will be similar to the procedure described above but will cover the period from the time of contract signing through March 31.

### **510.02 Department Procedures**

No additional departmental procedures apply.

## **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]*

No additional responsibilities apply.

### **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]*

#### **513.1 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]*